



Simply put, this is a volume that has always intended to convey the key features of world history.

—[Preface to the Sixth Edition.](#)

# The Encyclopedia of World History

## Ancient, Medieval, and Modern

### Sixth Edition

Renowned historian Peter N. Stearns and thirty prominent historians have combined their expertise over the past ten years to perfect this comprehensive chronology of more than 20,000 entries that span the millennia from prehistoric times to the year 2000.

### CONTENTS

[Preface](#) [Contributing Editors](#) [Maps](#) [Genealogical Tables](#)  
[Bibliographic Record](#)

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#### Table of Contents

- I. [Prehistoric Times](#)
- II. [Ancient and Classical Periods, 3500 B.C.E.–500 C.E.](#)
- III. [The Postclassical Period, 500–1500](#)
- IV. [The Early Modern Period, 1500–1800](#)
- V. [The Modern Period, 1789–1914](#)
- VI. [The World Wars and the Interwar Period, 1914–1945](#)
- VII. [The Contemporary Period, 1945–2000](#)

#### Appendixes

- I. [Roman Emperors](#)
- II. [Byzantine Emperors](#)
- III. [Caliphs, to 1256](#)
- IV. [Roman Popes](#)
- V. [Presidents of the United States](#)
- VI. [Members of the United Nations in Order of Admission](#)

#### [Subject Index](#)

## Table of Contents

### Page 1

#### I. Prehistoric Times

##### A. Introduction

1. History and Prehistory
2. The Study of Prehistory
  - a. Archaeology as Anthropology and History
  - b. Culture and Context
  - c. Time and Space
  - d. Finding and Digging up the Past
  - e. Analysis and Interpretation
  - f. Subdividing Prehistoric Times
  - g. Theoretical Approaches to Prehistory

##### B. Prehistory and the Great Ice Age

##### C. Human Origins (4 Million to 1.8 Million Years Ago)

##### D. *Homo Erectus* and the First Peopling of the World (1.8 Million to 250,000 Years Ago)

1. *Homo Erectus*
2. Fire
3. Out of Africa

##### E. Early *Homo Sapiens* (c. 250,000 to c. 35,000 Years Ago)

1. The Neanderthals

##### F. The Origins of Modern Humans (c. 150,000 to 100,000 Years Ago)

##### G. The Spread of Modern Humans in the Old World (100,000 to 12,000 Years Ago)

1. Europe
2. Eurasia and Siberia
3. South and Southeast Asia

H. The First Settlement of the Americas (c. 15,000 Years Ago)

I. After the Ice Age: Holocene Hunter-Gatherers (12,000 Years Ago to Modern Times)

1. African Hunter-Gatherers
2. Asian Hunter-Gatherers
3. Mesolithic Hunter-Gatherers in Europe
4. Near Eastern Hunters and Foragers
5. Paleo-Indian and Archaic North Americans
6. Central and South Americans

J. The Origins of Food Production

K. Early Food Production in the Old World (c. 10,000 B.C.E. and Later)

1. First Farmers in the Near East
2. Early European Farmers
3. Egypt and Sub-Saharan Africa
4. Asian Farmers

L. The Origins of Food Production in the Americas (c. 5000 B.C.E. and Later)

M. Later Old World Prehistory (3000 B.C.E. and Afterward)

1. State-Organized Societies
2. Webs of Relations
3. Later African Prehistory
  - a. Egypt and Nubia
  - b. West African States
  - c. East and Southern Africa
4. Europe after 3500 B.C.E.
5. Eurasian Nomads
6. Asia
  - a. South Asia
  - b. China
  - c. Japan
  - d. Southeast Asia
7. Offshore Settlement in the Pacific

N. Chiefdoms and States in the Americas (c. 1500 B.C.E.–1532 C.E.)

1. North American Chiefdoms

## 2. Mesoamerican Civilizations

a. Olmec

b. Teotihuacán

## 3. Andean Civilizations

a. Beginnings

b. Chavin

c. Moche

d. Tiwanaku

e. Chimú

## O. The End of Prehistory (1500 C.E. to Modern Times)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[NEXT](#)

---



## I. [Prehistoric Times](#)

### A. [Introduction](#)

#### 1. [History and Prehistory](#)

Human beings have flourished on Earth for at least 2.5 million years. The study of history <sup>1</sup> in its broadest sense is a record of humanity and its accomplishments from its earliest origins to modern times. This record of human achievement has reached us in many forms, as written documents, as oral traditions passed down from generation to generation, and in the archaeological record—sites, artifacts, food remains, and other surviving evidence of ancient human behavior. The earliest written records go back about 5,000 years in the Near East, in Mesopotamia, and the Nile Valley. Elsewhere, written history begins much later: in Greece, about 3,500 years ago; in China, about 2,000 years ago; and in many other parts of the world, after the 15th century C.E. with the arrival of Western explorers and missionaries. Oral histories have an even shorter compass, extending back only a few generations or centuries at the most.

**History**, which remains primarily though not exclusively the study of written documents, <sup>2</sup> covers only a tiny fraction of the human past. **Prehistory**, the span of human existence before the advent of written records, encompasses the remainder of the past 2.5 million years. **Prehistorians**, students of the prehistoric past, rely mainly on archaeological evidence to study the origins of humanity, the peopling of the world by humans, and the beginnings of agriculture and urban civilization.

**Archaeology** is the study of the human past based on the material remains of human <sup>3</sup> behavior. These remains come down to us in many forms. They survive as archaeological sites, ranging from the mighty pyramids of Giza built by ancient Egyptian pharaohs to insignificant scatters of stone tools and animal bones abandoned by very early humans in East Africa. Then there are caves and rock shelters adorned with ancient paintings and engravings, and human burials that can provide vital information, not only on biological makeup but also on ancient diet and disease and social rankings.

Modern scientific archaeology has three primary objectives: to study the basic culture <sup>4</sup> history of prehistoric times, to reconstruct ancient lifeways, and to study the processes by which human cultures and societies changed over long periods of time. Archaeology is

unique among all scientific disciplines in its ability to chronicle human biological and cultural change over long periods of time. The development of this sophisticated approach to the human past ranks as one of the major scientific achievements of this century.

Archaeology, by its very nature, is concerned more with the material and the environmental. It is basically an anonymous science, dealing with generalities about human cultures derived from artifacts, buildings, and food remains rather than with the individuals who appear in many of the historians' archives. But by using complex theoretical models and carefully controlled analogies from living societies, it is sometimes possible for the archaeologist to gain insights into prehistoric spiritual and religious life, and into the great complexities of ancient human societies living in worlds remote from our own.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[NEXT](#)

---

## **2. The Study of Prehistory**

### **a. Archaeology as Anthropology and History**

In contrast to classicists and historians, prehistoric archaeologists deal with an enormous time scale of human biological and cultural evolution that extends back at least 2.5 million years. Prehistoric archaeology is the primary source of information on 99 percent of human history. Prehistoric archaeologists investigate how early human societies all over the world came into being, how they differed from one another, and, in particular, how they changed through time. 1

No one could possibly become an expert in all periods of human prehistory. Some specialists deal with the earliest human beings, working closely with geologists and anthropologists concerned with human biological evolution. Others are experts on stone toolmaking, the early peopling of the New and Old Worlds, or on many other topics, such as the origins of agriculture in the Near East. All of this specialist expertise means that archaeologists, whatever time period they are working on, draw on scientists from many other disciplines—botanists, geologists, physicists, zoologists. 2

Prehistoric archaeologists consider themselves a special type of anthropologist. Anthropologists study humanity in the widest possible sense, and archaeological anthropologists study human societies of the past that are no longer in existence. Their ultimate research objectives are the same as those of anthropologists studying living societies. Instead of using informants, however, they use the material remains of long-vanished societies to reach the same general goals. Prehistorians also share many objectives with historians, but work with artifacts and food remains rather than documents. In some parts of the world, such as tropical Africa, for example, prehistoric archaeology is the primary way of writing history, since oral traditions extend back only a few centuries, and in many places written records appear no earlier than the 19th century C.E. 3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Culture and Context**

Anthropology, and archaeology as part of it, is unified by one common thread, the concept of **culture**. Everyone lives within a cultural context—middle-class Americans, Romans, and Kwakiutl Indians of northwestern North America. Each culture has its own recognizable cultural style, which shapes the behavior of its members, their political and judicial institutions, and their morals. 1

Human culture is unique because much of its content is transmitted from generation to generation by sophisticated communication systems. Formal education, religious beliefs, and daily social intercourse all transmit culture and allow societies to develop complex and continuing adaptations to aid their survival. Culture is a potential guide to human behavior created through generations of human experience. Human beings are the only animals that use culture as their primary means of adapting to the environment. While biological evolution has protected animals like the arctic fox from bitterly cold winters, only human beings make thick clothes in cold latitudes and construct light thatched shelters in the Tropics. 2

Culture is an adaptive system, an interface between ourselves, the environment, and other human societies. Throughout the long millennia of prehistory, human culture became more elaborate, for it is our only means of adaptation and we are always adjusting to environmental, technological, and societal change. 3

The great Victorian anthropologist Sir Edward Tylor described culture as “that complex whole which includes knowledge, belief, art, morals, law, custom, and any other capabilities and habits acquired by man as a member of society.” Prehistoric archaeologists prefer to define culture as the primary nonbiological means by which people adapt to their environment. They consider it as representing the cumulative intellectual resources of human societies, passed down by the spoken word and by example. 4

Human cultures are made up of many different parts, such as language, technology, religious beliefs, ways of obtaining food, and so on. These elements interact with one another to form complex and ever-changing cultural systems, systems that adjust to long- and short-term environmental change. 5

Archaeologists work with the tangible remains of ancient cultural systems, typically such <sup>6</sup> durable artifacts as stone tools or clay pot fragments. Such finds are a patterned reflection of the culture that created them. Archaeologists spend much time studying the linkages between past cultures and their archaeological remains. They do so within precise contexts of time and space.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## c. [Time and Space](#)

Archaeologists date the past and study the ever-changing distributions of ancient cultures across the world by studying the context of archaeological finds, whether sites, food remains, or artifacts, in time and space. This is the study of **culture history**, the description of human cultures as they extend back thousands of years. <sup>1</sup>

### 1. Time

Human prehistory has a time scale of more than 2.5 million years and a vast landscape of archaeological sites that were occupied for long and short periods of time. Some, like the Aztec capital, Tenochtitlán, in the Valley of Mexico, were occupied for a few centuries. Others, like Olduvai Gorge in East Africa, were visited repeatedly over hundreds of thousands of years. The chronology of prehistory is made up from thousands of careful excavations and many types of dating tests. These have created hundreds of local sequences of prehistoric cultures and archaeological sites throughout the world. <sup>2</sup>

Historical records provide a chronology for about 5,000 years of human history in Egypt and Mesopotamia, less time in other regions. For earlier times, archaeologists rely on both relative and absolute dating methods to develop chronological sequences. <sup>3</sup>

**Relative dating** is based on a fundamental principle of stratigraphic geology, the Law of Superposition, which states that underlying levels are earlier than those that cover them. Thus any object found in a lower level is from an earlier time than any from upper layers. Manufactured artifacts are the fundamental data that archaeologists use to study human behavior. These artifacts have changed in radical ways with passing time. One has only to look at the simple stone choppers and flakes made by the first humans and compare them with the latest luxury automobile to get the point. By combining the study of changes in artifact forms with observations of their contexts in stratified layers in archaeological sites, the prehistorian can develop relative chronologies for artifacts, sites, and cultures in any part of the world. <sup>4</sup>

The story of prehistory has unfolded against a backdrop of massive world climatic change <sup>5</sup>

during the Great Ice Age (See [Prehistory and the Great Ice Age](#)). Sometimes, when human artifacts come to light in geological strata dating to the Ice Age, one can place them in a much broader geological context. But in such cases, as with relative chronologies from other archaeological sites, determining the actual date of these sites and artifacts in years is a matter of guesswork, or of applying absolute dating methods.

**Absolute chronology** is the process of dating in calendar years. A whole battery of chronological methods have been developed to date human prehistory, some of them frankly experimental, others well established and widely used. The following are the best known ones.

6

### a. Historical Records and Objects of Known Age

Historical documents can sometimes be used to date events, such as the death of an ancient Egyptian pharaoh or the Spanish conquest of Mexico in 1519–21 C.E. Clay tablet records in Mesopotamia and ancient Egyptian papyri provide dates going back to about 3000 B.C.E. The early Near Eastern civilizations traded many of their wares, such as pottery or coins with precise dates, over long distances. These objects can be used to date sites in, say, temperate Europe, far from literate civilization at the time.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **d. Finding and Digging up the Past**

The finding and excavating of archaeological sites is a meticulous process of uncovering and recording the finite archives that make up the archaeological record. The sites, large and small, that make up this record are finite resources. Once destroyed and the context of their artifact contents disturbed, they are gone forever. 1

Although the destruction wrought by early archaeologists and treasure hunters was devastating, that of modern industrial development, deep plowing, professional looters, and amateur pothunters has been far worse. In some parts of North America, experts estimate that less than 5 percent of the archaeological record of prehistoric times remains intact. In recent years, massive efforts have been made to stem the tide of destruction and to preserve important sites using federal and state laws and regulations. While some progress has been made in such **cultural resource management**, the recent archaeological record of human prehistory is a shadow of its former self and in many parts of the world is doomed to near-total destruction. 2

### **1. Finding Archaeological Sites**

Many archaeological sites come to light by accident: during highway or dam construction, through industrial activity and mining, or as a result of natural phenomena such as wind erosion. For example, the famous early human sites at Olduvai Gorge in Tanzania, East Africa, were exposed in the walls of the gorge as a result of an ancient earthquake that cut a giant fissure through the surrounding plains. Well-designed archaeological field surveys provide vital information on ancient settlement patterns and site distributions. 3

Increasingly, archaeologists are relying on **remote sensing techniques**, such as aerial photography, satellite imagery (digital images of the earth recorded by satellites), or side-scan radar (airplane-based radar used to penetrate ground cover). These allow them to identify likely areas, even to spot sites without ever going into the field. The latest approach involves the use of **Geographic Information Systems** (mapping systems based on satellite imagery that inventory environmental data). The combination of satellite 4

imagery with myriad environmental, climatic, and other data provides a backdrop for interpreting distributions of archaeological sites. For instance, in Arkansas, archaeologists have been able to study the locations of river valley farming villages and establish that they were founded close to easy routes to the uplands, where deer could be hunted in winter.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. Analysis and Interpretation**

For every month of excavation there is at least six months' laboratory analysis—a long process of classifying, analyzing, and interpreting the finds from the dig. Such finds come in many forms. Stone tools, clay potsherds, and other artifacts tell us much about the technology of our forebears. Broken animal bones, seeds, shells, and other food remains, even desiccated human feces, are a mine of information on ancient subsistence, and sometimes diet. All of these finds are combined to produce a reconstruction of human behavior at the site. <sup>1</sup>

### **1. Analysis of Artifacts**

Human artifacts come in many forms. The most durable are stone tools and clay vessels, while those in wood and bone often perish in the soil. Archaeologists have developed elaborate methods for classifying artifacts of all kinds, classifications based on distinctive features like the shapes of clay vessels, painted decoration on the pot, methods of stone flaking, and so on. Once they have worked out a classification of artifact types, the experts use various arbitrary units to help order groups of artifacts in space and time. <sup>2</sup>

These units include the **assemblage**, which is a diverse group of artifacts found in one site that reflect the shared activities of a community. Next is the **component**, a physically bounded portion of a site that contains a distinct assemblage. The social equivalent of an archaeologist's component is a **community**. Obviously a site can contain several components, stratified one above another. The final unit is the **culture**, a cultural unit represented by like components on different sites or at different levels of the same site, although always within a well-defined chronological bracket. <sup>3</sup>

Archaeological “cultures” are concepts designed to assist in the ordering of artifacts in time and space. They are normally named after a key site where characteristic artifacts of the culture are found. For instance, the Acheulian culture of early prehistory is named after the northern French town of St. Acheul, where the stone hand axes so characteristic of this culture are found. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **f. Subdividing Prehistoric Times**

The 2.5 million years of human prehistory have seen a brilliant diversity of human societies, both simple and complex, flourish at different times throughout the world. Ever since the early 19th century, archaeologists have tried with varying degrees of success to subdivide prehistory into meaningful general subdivisions. 1

The most durable subdivisions of the prehistoric past were devised by Danish archaeologist Christian Jurgensen Thomson in 1806. His **Three Age System**, based on finds from prehistoric graves, subdivided prehistory into three ages based on technological achievement: the **Stone Age**, the **Bronze Age**, and the **Iron Age**. This scheme has been proven to have some general validity in the Old World and is still used as a broad label to this day. However, the term Stone Age has little more than technological significance, for it means that a society does not have the use of metals of any kind. Stone Age has no chronological significance, for although societies without metal vanished in the Near East after 4000 B.C., some still flourish in New Guinea to this day. We only use the Three Age System in the most general way here. 2

Sometimes, the three ages are subdivided further. The Stone Age, for example, is conventionally divided into three periods: the **Palaeolithic**, or Old Stone Age (Greek: from *palaios*, old; and from *lithos*, stone), which applies to societies who used chipped-stone technology; the **Mesolithic** (Middle Stone Age), which is a transitional period; and the **Neolithic** (New Stone Age), when people used polished stone artifacts and were farmers. However, only the term Palaeolithic remains in common use, as Mesolithic and Neolithic have proved increasingly meaningless, even if they occasionally appear in specialist and popular literature. 3

New World archaeologists have never used the Three Age System, largely because in the Americas, metallurgy of any kind had limited distribution. They tend to use more local terms, defined at intervals in these pages. 4

In recent years, archaeologists have tried to classify prehistoric societies on the basis of political and social development. They subdivide all human societies into two broad categories: **prestate** and **state-organized societies**. 5

Prestate societies are invariably small-scale, based on the community, band, or village. 6

Many prestate societies are **bands**, associations of families that may not exceed 25 to 60 people, the dominant form of social organization for most hunter-gatherers from the earliest times up to the origins of farming. Clusters of bands linked by clans, groups of people linked by common ancestral ties, are labeled **tribes**. **Chiefdoms** are societies headed by individuals with unusual ritual, political, or entrepreneurial skills, and are often hard to distinguish from tribes. Such societies are still kin-based, but power is concentrated in the hands of powerful kin leaders responsible for redistributing food and other commodities through society.

Chiefdoms tend to have higher population densities and vary greatly in their elaboration. 7  
For example, Tahitian chiefs in the Society Islands of the South Pacific presided over elaborate, constantly bickering chiefdoms, frequently waging war against their neighbors.

State-organized societies operate on a large scale, with a centralized political and social organization, distinct social and economic classes, and large food surpluses created by intensive farming, often employing irrigation agriculture. Such complex societies were ruled by a tiny elite class, who held monopolies over strategic resources and used force and religious power to enforce their authority. Such social organization was typical of the world's **preindustrial civilizations**, civilizations that functioned with technologies that did not rely on fossil fuels like coal. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **g. Theoretical Approaches to Prehistory**

Archaeologists study human prehistory within broad theoretical frameworks. Such theoretical approaches are a means for looking beyond the facts and material objects from archaeological sites for explanations of cultural developments and changes that took place during the remote past. 1

Two broad theoretical approaches dominate interpretative thinking: 2

### **1. Culture History**

Culture-historical approaches are based on systematic descriptions of sites, artifacts, and entire cultural sequences. Culture history is based on studies of archaeological context in time and space. Such studies are the backbone of all archaeological research and provide us with the chronology of human prehistory. They also give us data on the broad distributions of human cultures through the Old and the New World over more than 2.5 million years. No more sophisticated theoretical approaches can exist without this culture-historical background. 3

## **B. Prehistory and the Great Ice Age**

The biological and cultural evolution of humankind unfolded against a complex backdrop of constant climatic change. For most of geological time, the world's climate was warmer and more homogeneous than it is today. The first signs of glacial cooling occurred in Antarctica about 35 million years ago. There was a major drop in world temperatures between 14 and 11 million years ago, and another about 3.2 million years ago, when glaciers first formed in northern latitudes. Then, just as humans first appeared, about 2.5 million years ago, the glaciation intensified and the earth entered its present period of constantly fluctuating climate. <sup>1</sup>

Humans evolved during the period of relatively minor climatic oscillations. Between 4 and 2 million years ago, the world climate was somewhat warmer and more stable than it became in later times. The African savanna, where humans originated, supported many mammal species, large and small, including a great variety of the order Primates, to which we belong. <sup>2</sup>

About 1.6 million years ago, at the beginning of the **Pleistocene** (commonly called the **Great Ice Age**), the world's climatic changes intensified. Global climates constantly fluctuated between warm and intensely cold. For long stretches of time, the northern parts of both Europe and North America were mantled with great ice sheets, the last retreating only some 15,000 years ago. While glaciers covered northern areas, world sea levels fell as much as 300 feet below modern shorelines, joining Alaska to Siberia, Britain to the Continent, and exposing vast continental shelves off ocean coasts. The glacial periods brought drier conditions to tropical regions. The Sahara and northern Africa became very arid, and rain forests shrunk. <sup>3</sup>

Fluctuations of warm and cold temperatures were relatively minor until about 800,000 years ago. Since then, periods of intense cold have recurred about every 90,000 years, perhaps triggered by long-term changes in Earth's orbit around the Sun. Core samples taken from the sea floor tell us that there have been at least nine cold periods in the last 800,000 years, each of them characterized by a gradual cooling that took tens of thousands of years and a subsequent rapid warming up that saw glaciers retreat and world sea levels rise with remarkable speed. <sup>4</sup>



Few of these oscillations are well documented, except for the last interglacial and glacial cycle, which began about 128,000 years ago. During the last interglacial, Europe, Eurasia, and North America were warmer than today. But a gradual cooling set in about 118,000 years ago, as the last glaciation, **Würm**, set in. (The term Würm comes from a river in the Alps where the glaciation was first identified.) Glacial conditions were especially intense about 75,000 years ago, when the archaic Neanderthal people were flourishing in Europe and when the Americas were still uninhabited. After a brief milder interval about 40,000 years ago, the cold intensified again, peaking about 18,000 years ago. A rapid amelioration began about 15,000 years ago, and the world's climate reached near-modern conditions by 6000 B.C.E. 5

By using **pollen analysis**, microscopic and statistical analyses of fossilized plant pollens found in geological deposits, scientists have chronicled dramatic changes in the world's environment during the Würm glaciation, changes that also took hold much earlier in the Ice Age. During the height of the Würm, most of western and central Europe and Eurasia was open steppe-tundra, while Scandinavia and much of Britain were under ice. The Balkans were joined to Turkey, the Sahara was extremely arid, and snow levels on the world's mountains were hundreds of feet lower. Rain forests shrank, and the Southeast Asian mainland was joined to the offshore islands. Only narrow straits separated the mainland from New Guinea and Australia, which formed a single landmass. Alaska and Siberia were joined by a low-lying land bridge. Most of Canada and the United States were covered with vast ice sheets, as far south as Seattle, the Great Lakes, and Nova Scotia. The 90,000 years of the Würm glaciation witnessed dramatic changes in human life, which unfolded in a world very different from our own. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **C. Human Origins (4 Million to 1.8 Million Years Ago)**

All humans are members of the order **Primates**. There are two suborders: **Anthropoids** (apes, humans, and monkeys) and Prosimians (lemurs, tarsiers, and other “premonkeys”). We also belong in the family **Hominidae**, which includes modern humans, earlier human subspecies, and their direct ancestors. Our closest primate relatives are the **Pongidae**, the so-called anthropoid apes, including the chimpanzee and the gorilla. The research of more than a century has shown that the many similarities in behavior and physical characteristics between Hominidae (hominids) and Pongidae can be explained by identical characteristics that each group inherited millions of years ago from a common ancestor. Nearly all scientists agree that tropical Africa was the cradle of humankind, simply because this is where our closest living primate relatives still live. 1

According to biochemists Vincent Sarich and Alan Wilson, apes and Old World monkeys diverged about 23 million years ago, and the chimpanzee, the gorilla, and humans last shared a common ancestor about 7 to 6 million years ago. Unfortunately, this divergence occurred at a moment in geological time for which fossil-bearing beds in Africa are very rare. There is what has been called a “black hole” in primate evolution between about 15 and 4 million years ago. But this was a critical time when the Africa forest and savanna were densely populated by many primate species. Some of these primates were flourishing in small groups, probably walking upright, and adopting daily behaviors different from their tree-dwelling relatives nearby. 2

To understand early human evolution means identifying the ecological problems faced by our earliest ancestors at a time of constant climatic change. The first humans were descended from a yet unidentified nonhuman primate, who lived both in forests and, increasingly, on the open African savanna. Early hominids adapted to open country not only by adopting a more mobile, wide-ranging lifeway, but also by walking upright. 3

An **upright posture** and **bipedal gait** are characteristic of hominids. Walking upright frees the hands for other tasks like toolmaking, while bipedalism favors endurance and the covering of long distances, vital for hominids living in open country. Our remote ancestors may have first “come down from the trees” about 10 million years ago. Relying as they now did on food supplies scattered over large areas, they not only became more mobile, but began scavenging meat from predator kills, even hunting down 4

small animals when the opportunity arose. Among mammal species, these characteristics are associated with a trend toward larger brain size.

The earliest fossil evidence for these anatomical and behavioral changes comes from the **Middle Awash** and **Hadar** areas of Ethiopia. Here physical anthropologists—Don Johanson, Tim White, and others—have uncovered primates dating back to close to the time, between 4 and 5 million years ago, when the ancestors of living apes and humans split off from one another. **Australopithecus ramidus**, from Hadar, was a small, upright-walking primate who displayed many apelike features and might have been the ancestor of later hominids. Another small primate, which Johanson and White nicknamed “Lucy,” lived during a somewhat later time than *ramidus*. She was between three and a half and four feet tall and was 19 to 21 years old when she died. A gracile, lightly built hominid, she was fully bipedal, with arms slightly longer than the arms of modern humans. Johanson and White also recovered the remains of other contemporary hominids. All had ape-shaped heads, brains the size of chimpanzees, and forward-thrusting jaws. Potassium-argon dates for the Hadar fossil beds are between 3.75 and 3 million years ago. Johanson and White believe that all the Hadar specimens are members of the species *Australopithecus afarensis* (“southern ape-man of the Afar”) and that they are the common ancestor of all later hominids, including the first humans. 5

*Australopithecus* (“southern ape-man”) was first identified by anatomist Raymond Dart in 1924, when he described the fossil skull of an immature primate from the Taung limestone quarry in South Africa. Dart realized that the Taung skull was not that of an ape; it had more humanlike teeth and other features that set it apart from chimpanzees. He named it *Australopithecus africanus*, a small, graceful creature that stood upright, and announced it was an ancestor of modern humans. Dart’s claim was greeted with derision by the fossil experts of the day. Only one scholar, Robert Broom, realized Dart was right. He found more *Australopithecus* fossils in caverns in northern South Africa. These included not only *Australopithecus africanus*, but also a much more robust form, massively built with a crested skull. Broom named this australopithecine *Australopithecus robustus*. The South African *Australopithecus* finds date to between 3 million and 800,000 years ago. 6

The South African finds showed there was great variability among early hominids, but no stone tools or other artifacts were found with these fossils. Most of them have come from the sites of ancient hyena kills. Who, then, was the ancestor of humanity? In 1959, Louis and Mary Leakey announced the discovery of an *Australopithecus robustus* fossil (named *Zinjanthropus boisei*) in the lowermost bed of **Olduvai Gorge** in northern Tanzania. 7

Olduvai is a great natural gash in the Serengeti Plain, where hundreds of feet of ancient lakebeds have been exposed by earthquake action. Olduvai transects the shores of a long-dried-up, shallow lake where game and hominids came to drink. The Leakeys found small scatters of stone tools and debris, also animal bones, in the lakebeds. The 8

robust australopithecine came from one such scatter and was potassium-argon dated to about 1.75 million years ago. A year later, the Leakeys found the skull bones of a much lighter, more human-looking hominid at a slightly lower level in the gorge, again associated with animal bones and flaked-stone artifacts. Louis Leakey did not believe this was an australopithecine, so he named it *Homo habilis* (“handy person”) and claimed that this was the earliest toolmaking human being.

Even earlier than Olduvai are the rich fossil beds at **East Turkana** in northern Kenya. They have yielded fragments not only of gracile and robust australopithecines, but also of *Homo habilis* as well. These discoveries showed that there was great variability among the hominid populations of eastern Africa between 4 and 2 million years ago. This complicates the study of early human evolution greatly, but makes it certain that there was no direct, linear progression from *Australopithecus afarensis* at Hadar to *Homo habilis* at East Turkana and Olduvai Gorge. Instead, it is best to think in terms of a branching bush, with numerous parallel and highly varied evolutionary lines that reflect a great diversity of hominid populations on the savanna between 4 and 1.5 million years ago.

Most likely, however, *Homo habilis* was the earliest toolmaking hominid, and, in general terms, the ancestor of all humankind. *Homo habilis* was a graceful, fairly human-looking primate that stood about 4 feet 3 inches tall and weighed about 80 pounds. *Homo habilis* looked less apelike around the face and skull, with a taller forehead and a large brain size. These hominids walked upright, but their upper and lower arm bones were of almost equal length and their powerful hands were more curved than ours. These features enabled them to grip branches and swing in the tress, a sign that our earliest ancestors spent considerable periods of time off the ground.

The earliest archaeological evidence for toolmaking, the appearance of rudimentary human culture, comes from the **Koobi Fora** area of East Turkana and is potassium-argon dated to about 2.5 million years ago. Excavations at both Koobi Fora and Olduvai Gorge give us a tantalizing portrait of very early human behavior, tantalizing because it is incomplete.

Originally, the Leakeys and others assumed that *Homo habilis* was a hunter and a plant food forager, who behaved just like today's hunter-gatherers. But microscopic examination of the stone artifacts and food remains from the scatters at Koobi Fora and Olduvai paint a picture of a much more apelike lifeway.

Archaeologist Nicholas Toth has replicated the simple **Oldowan** (named after Olduvai Gorge) stone technology used by *Homo habilis* so thoroughly that he has even been able to show that some of the toolmakers were left-handed. He discovered this was an opportunistic technology. The hominids could carry around convenient lumps of lava with them, then strike off simple stone flakes with a hammerstone when they needed them to split tough hide, to cut up an animal carcass, or to break open a bone for its marrow.

*Homo habilis* lived a highly mobile life, ranging over large territories in search of meat and plant foods. Undoubtedly, fruit, seeds, and tubers played a vital role in the diet, for they come into season on the savanna throughout the year. Our earliest ancestors also scavenged meat from the kills of lions and other predators, chasing away the animals, seizing limbs and other body parts, and running away. They may also have run down and killed some smaller antelope themselves. 14

Once the precious meat was in hand, they would find a convenient spot in the shade to butcher and eat the flesh and marrow. These places comprised the bone and stone scatters uncovered at Olduvai and Koobi Fora. One Koobi Fora band camped in a dry watercourse about 1.8 million years ago, where they found the carcass of a hippopotamus. Carrying in some of their tools from nearly 9 miles away, they gathered around and then removed bones and meat from the carcass with small stone flakes. 15

Much of this life is not that different from that of chimpanzees, who hunt small game and break open bones and nuts. Two important differences separated the first humans from their other primate relatives in Africa. First, they were fully bipedal, a posture far more efficient for carrying objects of all kinds. Second, they were adapted to savanna living, where they had to organize and cover far larger territories in open country than their relatives in the forest. At the same time, our ancestors became more and more dependent on technology and on one another, a development that led to better communication skills and, eventually and much later, to fully articulate speech. 16

By a million years ago, the hominid line had been pruned to the extent that one lineage, *Homo*, remained. Judging from the abundance of hominid fossils at Koobi Fora, these highly varied populations were about as common as baboons on the East African savanna. The adoption of a wider-based diet with a food-sharing social group would have placed many more acute demands on the hominids' ability to cope with the complex and unpredictable. They had to become more and more socially adept, living as they did in a world far more complex and demanding than that of *Australopithecus*. The increased complexity of human social interactions was a powerful force in the evolution of the hominid brain and led to the appearance of more advanced human forms after 1.8 million years ago. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **D. *Homo Erectus* and the First Peopling of the World (1.8 Million to 250,000 Years Ago)**

By 1.8 million years ago, new, anatomically more advanced humans had evolved from earlier hominids in tropical Africa. These were the first of two waves of humans to move out of Africa and settle in other parts of the Old World. The second wave, modern humans, followed. 1

### **1. *Homo Erectus***

In the 1890s, Dutch physician Eugene Dubois discovered the remains of a primitive-looking human in the gravels of the **Solo River** in Java. He claimed that the bones were those of the so-called missing link between apes and humans. His claims were greeted with skepticism. It was not until the discovery of closely similar fossils in northern China in the 1920s that Dubois was vindicated. The Chinese and Javanese fossils are grouped under a general human form named **Homo erectus**. 2

Today, *Homo erectus* is known to have lived over a wide area of the Old World. The fossils from **Zhoukoudian Cave** in northern China provide a portrait of a very variable human form. These hominids had a brain capacity between 775 and 1,300 cc, showing much variation. Their vision was excellent, and they were probably capable of extensive thought. Their skulls were more rounded than those of earlier hominids, with conspicuous brow ridges and a sloping forehead. The jaw was massive. Limbs and hips were fully adapted to an upright posture but more robust than those of modern humans. 3

*Homo erectus* stood about 5 feet 6 inches tall and had hands fully capable of precision gripping and many kinds of toolmaking. Although we cannot be sure, it seems possible that *Homo erectus* had lost the dense hair covering characteristic of nonhuman primates. *Homo erectus* also had abundant sweat glands, and presumably, in common with most tropical primates and humans, relatively dark skin. These humans were certainly capable of a far more complex and varied life than their predecessors. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## 2. [Fire](#)

The earliest *Homo erectus* fossils come from East Africa and date to around 1.8 million years ago. By this time, the savanna was drier and human settlement intensified as *Homo erectus* developed efficient technologies and lifeways. *Homo erectus* now tamed fire, presumably by using brands from a natural conflagration. This discovery was a revolution in human history, for it enabled people to protect themselves against predators—they could move into more open country, where trees were much rarer, and camp in the open or in caves or rock shelters where hostile animals lurked. They could also increase their home range and cook food, as well as cope with harsh winters. It may be no coincidence that the first human settlement of Europe and Asia occurred after *Homo erectus* mastered fire. <sup>1</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)



### 3. [Out of Africa](#)

There was a widespread interchange of mammals between Africa and Europe between a million and 700,000 years ago. Hippopotamuses, forest elephants, and other herbivores and carnivores migrated north, crossing the Sahara when rainfall was higher and the region could support animal life. Human predators shared many ecological characteristics with these mammals and radiated out of Africa with this familiar mammalian community. <sup>1</sup>

The earliest recorded human settlement of Europe and the Near East dates to about 700,000 years ago. By the same time, tiny *Homo erectus* populations were flourishing in south and Southeast Asia and were widespread by half a million years ago. Apparently, however, *Homo erectus* lacked the technology to settle in anything more than tropical and temperate latitudes, for it was not until the very end of the Ice Age that humans mastered arctic and periglacial environments in Europe and northern Asia, or ventured on boats to New Guinea and Australia. <sup>2</sup>

Half a million years ago, the world's population was no more than a few thousand people, scattered in temperate and tropical environments. In Africa, Europe, the Near East, and south Asia, *Homo erectus* exploited more open country, subsisting on plant foods and game of all sizes. The bands used simple tool kits that revolved around multipurpose stone axes and cleavers with sharp edges and points. They used such hand axes for butchering, digging up roots, and many other purposes, such as woodworking and fashioning fire-hardened spears. Their hunting methods were simple and involved not only scavenging predator kills, but also careful stalking of their prey to get close enough to kill or wound with a spear. Like their predecessors, *Homo erectus* hunted and foraged for plant foods, but in more effective ways than earlier hominids. At **Ambrona** and **Torralba** in central Spain, bands of hunters drove elephants into swamps, killed the mired animals, and butchered them where they lay. Similar kill sites have come from eastern and southern Africa, but we can be sure that wild plant foods were still of great importance in the diet. <sup>3</sup>

The dense tropical forests of Southeast and eastern Asia provided a quite different challenge, for game was rare. *Homo erectus* lived off small animals like monkeys and a multitude of plant foods. Instead of hand axes and cleavers, the bands relied on wooden <sup>4</sup>

tools and bamboo artifacts. They had no need of any stone tools other than crude flakes and choppers for woodworking.

For hundreds of thousands of years, archaic humans, loosely classified as *Homo erectus*,<sup>5</sup> lived in the tropical and temperate regions of the Old World. Except for an overall increase in brain size, *Homo erectus* remained remarkably stable in evolutionary terms for more than a million years, until less than 500,000 years ago. During these long millennia, they developed improved language and communication skills. With enhanced language skills and more advanced technology, it became possible for people to achieve better cooperation in foraging, storing food, and hunting. These people depended on cooperative activity by every individual in the band. The secret of individual success was group success.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **E. Early *Homo Sapiens* (c. 250,000 to c. 35,000 Years Ago)**

Eventually, *Homo erectus* evolved into a more advanced form, known to anthropologists as **early *Homo sapiens***, but we do not know when or where the transition began or how it took place. Some researchers believe it took place more than 400,000 years ago; others believe it was much later, some time around or after 200,000 years ago. Throughout the Old World, there was a general evolutionary trend toward larger brain size and more enhanced intellectual capacities. Human populations displayed increased variability, partly in response to their adaptations to increasingly varied natural environments. Unfortunately, we still know little of early *Homo sapiens*, but there was great human variability throughout the Old World. <sup>1</sup>

### **1. The Neanderthals**

The best-known early *Homo sapiens* populations are the so-called **Neanderthals**, named after the **Neanderthal Cave** in Germany, where the first Neanderthal fossil came to light in 1856. Once dismissed as brutal, primitive savages—the cave people of popular cartoon fame—the Neanderthals are now recognized as being tough, adaptable people capable of flourishing in very harsh climates indeed. <sup>2</sup>

Neanderthals (***Homo sapiens neanderthalensis***) probably evolved from earlier *Homo sapiens* populations in Europe and Eurasia at least 150,000 years ago, perhaps earlier. They were nimble, squat people, standing about 5 feet high, with forearms that were somewhat shorter than those of modern people. Heavily built, beetle-browed hunter-gatherers, the Neanderthals of western Europe were robust men and women, well adapted to the arctic cold of the early Würm glaciation of 100,000 years ago. Their relatives in the Near East were more lightly built and displayed much more anatomical variation. <sup>3</sup>

The Neanderthals of Europe and Eurasia lived in caves and rock shelters during the winter months and ranged more widely during summer. They used a more specialized technology for hunting and foraging, one that made use of composite tools, with stone spearheads bound to wooden shafts. They made thousands of scrapers and woodworking tools using more or less standardized flakes struck off from carefully prepared stone <sup>4</sup>

blanks. This **Mousterian** technology, named after the Le Moustier cave in southwestern France, was highly versatile and used in various forms over a wide area of Europe, Eurasia, North Africa, and the Near East. The Neanderthals were expert foragers who were not afraid to hunt the largest animals, including bison. Success in the hunt meant expert stalking, enabling the hunter to thrust a spear into the prey's heart, a high-risk way of obtaining food. Somewhat similar technologies were used by early *Homo sapiens* populations throughout the western portions of the Old World after 150,000 years ago.

The Neanderthals were the first humans to bury their dead, and, presumably, to believe in an afterlife. Single burials are most common, usually accompanied by a few stone tools or some game meat. Group sepulchers are also known. Some western European groups engaged in elaborate rituals involving cave bears, the most formidable of all Ice Age prey. We find in the Neanderthals and their culture the first roots of our own complicated beliefs, societies, and religious sense. But they were an evolutionary dead end, supplanted in their homeland by more modern humans between 40,000 and 25,000 years ago. <sup>5</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **F. The Origins of Modern Humans (c. 150,000 to 100,000 Years Ago)**

*Homo sapiens sapiens* means “wise person.” We are the clever people, animals capable of intelligent thought, of manipulation, of subtlety. A great biological and cultural chasm separates us from archaic humans. This chasm comes from our ability to speak fluently, to pass on knowledge and ideas through the medium of language. Consciousness, self-awareness, foresight, and the ability to express one's emotions—all are the consequence of articulate speech. These qualities can be linked to our capacity for symbolic and spiritual thought. We modern humans are concerned not only with subsistence and technology, but with defining the boundaries of existence and the relationship between the individual, the group, and the universe. Fluent speech, the full flowering of human creativity expressed in art and religion, expert toolmaking—these are some of the hallmarks of anatomically modern humans. With these abilities, humankind eventually colonized not only temperate and tropical environments, but the entire globe. We are now concerned with people biologically identical to ourselves, with the same intellectual abilities and potential as ourselves.

One of the great controversies of archaeology surrounds the origins of *Homo sapiens sapiens*. One group of scholars believes that *Homo erectus* populations throughout the world evolved independently, first into early *Homo sapiens*, then into fully modern humans. Thus, the modern geographic populations (races) of the world would have been separated for a long time, perhaps a million years. Most experts take a diametrically opposite view. They hypothesize that *Homo sapiens sapiens* evolved in Africa sometime between 200,000 and 100,000 years ago, then spread to other parts of the Old World. Under this model, modern geographic populations are less than 100,000 years old.

These two models represent extremes, which pit advocates of anatomical continuity against those who believe there was population replacement. Each model is based on the minute study of human fossil remains, but the replacement theory also relies on studies of **mitochondrial DNA (mtDNA)**.

Molecular biologists like Alan Wilson and Rebecca Cann have studied the human family tree using this form of DNA, which is inherited through the female line without being diluted with paternal DNA. Thus, they argue, it provides a unique tool for studying ancestral populations. They compared mtDNA from Africans, Asians, Europeans, and

Southeast Asians and found that the differences between them were small. They formed two groups: one was the Africans, the other the remainder. Wilson and Cann concluded that all modern humans derive from a primordial African population, from which populations migrated to the rest of the Old World with little or no interbreeding with existing archaic human groups.

By calculating the rate of mtDNA mutations, they argue that archaic *Homo sapiens* evolved from *Homo erectus* in Africa by about 200,000 years ago. Then *Homo sapiens sapiens*, anatomically modern humans, appeared some 140,000 years ago. 5

Mitochondrial DNA is still controversial, but there is some archaeological evidence from Africa that supports the biologists' scenario. Highly varied, early *Homo sapiens* populations flourished in sub-Saharan Africa between 200,000 and 150,000 years ago, some of them displaying some anatomically modern features. At the **Klasies River Caves** on the Indian Ocean coast of South Africa, anatomically modern human remains date to between 125,000 and 95,000 years ago. They are associated with sophisticated, versatile tool kits that were, if anything, superior to those used by the Neanderthals in Europe at the time. 6

Many scientists believe that *Homo sapiens sapiens*, modern humans, did indeed evolve in tropical Africa sometime after 150,000 years ago, as the geneticists argue. Ecologist Robert Foley has theorized that modern humans evolved in a mosaic of constantly changing tropical environments, which tended to isolate evolving human populations for considerable periods of time. Some groups living in exceptionally rich areas may have developed unusual hunting and foraging skills, using a new technology so effective that they could prey on animals from a distance with finely made projectiles. With efficient technology, more planning, and better organization of both hunting and foraging, our ancestors could have reduced the risks of living in unpredictable environments in dramatic ways. And, when climatic conditions changed, and hitherto isolated populations mingled with others, the process of biological and cultural evolution accelerated. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **G. The Spread of Modern Humans in the Old World (100,000 to 12,000 Years Ago)**

About 100,000 years ago, the Sahara was cooler and wetter than today and capable of supporting sparse hunter-gatherer populations. It may have been then that modern humans spread to North Africa and the Near East. We know they were living at **Qafzeh Cave** in Israel by 90,000 years ago. For the next 45,000 years, they flourished in the Near East alongside highly varied Neanderthal populations. Then, some 45,000 years ago, *Homo sapiens sapiens* hunted and foraged out of the Near East into south Asia and also much harsher northern environments. <sup>1</sup>

### **1. Europe**

As the Near East became increasingly dry and less productive during the Würm glaciation, some of the newcomers responded to population pressure and food shortages by moving across the wide land bridge that joined Turkey to southeastern Europe 45,000 years ago, spreading into the game-rich steppe-tundras of central and western Europe and Eurasia. <sup>2</sup>

The first anatomically modern Europeans were the robust **Cro-Magnons**, who showed no signs of having evolved from local Neanderthal populations. They lived alongside their predecessors for about 10,000 years, using a distinctive and highly specialized stone technology based on fine blades. Expert stoneworkers used carefully shaped cylindrical lumps of flint and antler, bone, or wood punches to produce dozens of standard stone blades. These long, parallel-sided, thin blades could be made into scrapers, woodworking tools, and, above all, fine graving tools. A good analogy is the Swiss Army Knife with its strong hinges, which allows one to carry around a variety of different blades for specific uses. <sup>3</sup>

The graving tool, or burin, was of critical importance, for it enabled people to cut strips of fresh reindeer antler to manufacture specialized tools. These included needles for tailoring fitted, layered clothing, essential for survival in the nine-month winters of the <sup>4</sup>

late Ice Age. Technological innovations like the needle enabled modern humans to master arctic environments for the first time, to expand and adapt into new landscapes.

By 30,000 years ago, the last Neanderthals had vanished from Europe and Eurasia. Over 5  
15,000 years, up to the end of the Ice Age, the Cro-Magnons enjoyed an increasingly elaborate hunting and foraging culture, wintering in deep river valleys in western and central Europe, following reindeer migrations in spring and fall. All manner of arctic game, many plant foods, and salmon were among the foods taken by these people.

By 30,000 years ago, the Cro-Magnons had developed elaborate art traditions, rock 6  
engravings and paintings. They also carved and engraved fine bone and antler artifacts. The artists painted naturalistic depictions of mammoth, bison, wild ox, and other now long-extinct animals, sometimes using natural protrusions on the rock to give relief to a figure. Experts believe that the art had a deeply symbolic meaning, connected with the intricate relationships between humans and the animal and spiritual worlds. But we cannot, at a distance of 18,000 years, hope to understand this symbolism. The Cro-Magnon paintings are among the earliest-known human art, but Australians and South Africans may have been painting at the same period.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **2. Eurasia and Siberia**

To the east, other late Ice Age people adapted to life on the open steppe-tundra, relying on mammoth bones, skins, and sod to build dome-shaped, semisubterranean houses. The late Ice Age population of Eurasia, between central Europe and Lake Baikal in Siberia, was never large. Most bands lived on the edges of river valleys like the Dnepr and Don in the Ukraine, subsisting on mammoth and other gregarious big game, as well as fish and plant foods in the spring, summer, and fall. Eighteen thousand years ago, some bands along the Dnepr were trading raw materials and ornaments like seashells over distances of more than 100 miles. <sup>1</sup>

Perhaps as early as 30,000 years ago, and certainly by 20,000, late Ice Age bands were hunting and foraging to the east of Lake Baikal. But it was not until after 18,000 years ago that people ventured farther east, into extreme northeast Asia. <sup>2</sup>

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### **3. South and Southeast Asia**

While the Cro-Magnons and other northern groups were mastering arctic climates, other modern humans moved into tropical south and Southeast Asia, probably by at least 45,000 years ago, if not earlier. For thousands of years, forest bands exploited small game and plant foods, using increasingly smaller and more specialized tool kits. At the time, the exposed continental shelf joined offshore islands like Borneo to the Asian mainland. This Ice Age land, known to geologists as **Sunda**, was separated from New Guinea and Australia (**Sahul**) by only a narrow strait of open water. <sup>1</sup>

*Homo sapiens sapiens* built rafts or canoes to cross deep water by at least 40,000 years ago, for artifacts of this age have been found in southern New Guinea. By 32,000 years ago, people were living on the islands of the Bismarck Archipelago in the southwestern Pacific, and by 28,000 years ago people had reached the Solomon Islands. Line-of-sight, island-to-island voyaging was all that was needed to colonize these landmasses. It was to be many thousands of years before the peoples of the southwestern Pacific developed the agriculture, outrigger canoes, and the navigation skills needed to reach islands much farther offshore. <sup>2</sup>

The first human settlement of Australia came at least 35,000 years ago, perhaps somewhat earlier: the dating is controversial. Hunter-gatherer groups, the ancestors of the modern aboriginal population, were dwelling as far south as Tasmania before 31,000 years ago. At the time, Tasmania was joined to the Australian mainland by a land bridge. Late Ice Age Tasmanians were hunting wallabies in an open landscape that became dense forest at least 20,000 years ago. <sup>3</sup>

These late Ice Age Australian populations continued to evolve without interruption into recent times, developing increasingly more elaborate cultures that are remarkable for their sophisticated art traditions, social organization, and ritual life. The highly diverse and sophisticated Australian aboriginal cultures encountered by Dutch and English explorers in the 17th and 18th centuries C.E. are the direct result of more than 30,000 years of continuous cultural evolution in an isolated, remote landmass. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **H. The First Settlement of the Americas (c. 15,000 Years Ago)**

Dental morphology, genetics, and archaeology show that the biological and cultural roots of the Native Americans lie in northern China and extreme northeast Asia. 1

We do not know when modern humans first settled in China. Although Chinese archaeologists claim that *Homo sapiens sapiens* evolved independently in the Far East, they have yet to put forward convincing evidence for such a hypothesis. Anatomically modern people were hunting and foraging in the Ordos area of Mongolia by 35,000 years ago. Ten thousand years later, a vast area between Mongolia in the west and the Pacific coast in the east supported a highly varied population of hunter-gatherers exploiting game and plant foods as well as coastal resources. As time went on, their tool kits became progressively smaller and more refined. They produced tiny stone blades used as lethal spear barbs and small scrapers; they also relied on artifacts made of wood and bone. This so-called microblade technology spread widely in northeast Asia, offshore to Japan, and north into Siberia. 2

The earliest human settlement of extreme northeast Siberia, from Lake Baikal eastward, took place late in the Ice Age. This was after the last glacial climax 18,000 years ago, when warmer conditions opened up hitherto uninhabited steppe-tundra. The first settlers were few in number, living off big game, plant foods, and perhaps fish and sea mammals. The middle Aldan River Valley began to support bands of late Ice Age people using microblade technology 15,000 years ago, perhaps earlier. These same people settled as far northeast as the Bering Strait. 3

A low-lying land bridge joined Siberia to Alaska during the entire Würm glaciation, from about 100,000 to 15,000 years ago. During glacial maxima, the land bridge was a wide, poorly drained plain, swept by arctic winds. The climate was dry and intensely cold, with only a two-month summer. Low scrub covered the landscape, except in shallow river valleys where some trees and lush grasses grew in spring and summer. During warmer intervals, sea levels rose, flooding much of the plain, leaving but an isthmus between Old World and New. This was the route by which humans settled the Americas. 4

Great controversy surrounds the first settlement of the New World. While everyone agrees that the first settlers crossed the Bering land bridge, some archaeologists believe the crossing dates to at least 40,000 years ago. Others favor a much later date, at the very end of the Ice Age, or soon afterward.

5

Claims of very early settlement are based on a series of cave and rock shelter finds in South America. There are affirmations of humans occupying **Boqueirao de Pedra Furada** in northeastern Brazil at least 40,000 years ago. Only a few scholars accept this claim or other much heralded occupations said to have occurred between 40,000 and 25,000 years ago.

6

The most widely accepted scenario has small numbers of hunter-gatherers from northeast Asia crossing into Alaska as the land bridge began to flood at the end of the Ice Age some 15,000 years ago. This was not a journey of exploration but rather part of an age-old hunter-gatherer lifeway that had people following migrating game and searching for new clumps of scarce plant foods.

7

The earliest archaeological evidence for human settlement in Alaska—nothing more than small scatters of stones and bones—dates to about 11,500 years ago. From that date onward, there has been continuous human occupation in the Arctic into modern times.

8

During the height of the Würm glaciation (called the **Wisconsin** in the New World), northern North America was mantled by two vast ice sheets that extended from Greenland to British Columbia. There may have been a narrow, ice-free corridor between them, but it would not have supported animal or plant life. Most likely, people from Alaska hunted and foraged their way south onto the Great Plains as the ice sheets receded rapidly after 13,000 years ago.

9

Despite occasional occurrences of 12,000-year-old artifacts in North America, the first widespread settlement of the Americas as a whole dates with great consistency to about 11,000 years ago (9000 B.C.E.). Within a few centuries, perhaps no more than 500 years, hunter-gatherer groups had colonized the entire Americas, from ice-free Nova Scotia in the north to Patagonia in the south.

10

The **Clovis** people (named after a site near Clovis, New Mexico) are best known for their characteristic stone projectile points, fluted at the base for mounting in a wooden shaft. These people preyed on game of every size and also foraged plant foods. They hunted large Ice Age animals like the mammoth, mastodon, and large steppe bison, sometimes camping close to a kill while they butchered the carcass. Clovis artifacts have been found throughout North America and deep into Central America, with variants on this culture farther south.

11

It appears that humans literally exploded into the New World, living off a fauna that was unused to such formidable predators. As a result, the human population rose rapidly, then stabilized, as people adapted to a great variety of natural environments, everything from rocky coasts to desert and dense rainforest.

12

By 8800 B.C.E., most large late Ice Age animals except for the bison were extinct, probably as a result of rapid climate change and drought. Some experts believe that human predators helped in the process of extinction by exploiting slow-breeding mammals like the mammoth and mastodon. Whatever the cause of extinction, the disappearance of big game fostered greater cultural diversity among Paleo-Indian groups. They adapted to a rapidly changing world that was not to stabilize to near-modern conditions until about 4000 B.C.E.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **I. After the Ice Age: Holocene Hunter-Gatherers (12,000 Years Ago to Modern Times)**

Global warming began in earnest after about 15,000 years ago. The great ice sheets retreated irregularly from northern latitudes, ushering in **Holocene** times. Dramatic climatic and geographic changes ensued, as glaciers melted and sea levels rose irregularly toward modern levels. The Bering land bridge was severed by rising water, and the Baltic Sea and Scandinavia emerged from beneath vast ice sheets. The Southeast Asian islands were isolated from the nearby mainland. Thick temperate forests covered much of Europe, while familiar Ice Age animals like the mammoth became extinct by 9000 B.C.E. The Sahara enjoyed slightly higher rainfall and supported semiarid grasslands and shallow lakes, ending millennia of isolation for tropical Africans. 1

By this time, the world's human population numbered perhaps 5 million, scattered over the Old World and New. All hunter-gatherers were faced with the problem of adapting to constant climatic change and often acute environmental uncertainty. In response, they developed ever more specialized tool kits and intensified their food quest. They often specialized in a few resources, like fish and sea mammals on newly exposed Scandinavian coasts or annual nut harvests in the North American Midwest. 2

The intensification of hunting and foraging was marked by two long-term trends. The first was a gradual shrinking of tool kits; the second, the development of highly sophisticated artifacts and weapons designed for exploitation of specific food resources like acorns or sea mammals. Among these was the bow and arrow, first developed in Europe, Africa, and the Near East perhaps by 15,000 years ago. It enabled the hunter to shoot at his quarry from a distance. 3

As people adapted to the challenges of local environments, human culture became greatly diversified. Human populations were rising gradually, so the world's hunting and foraging grounds were filling up, given that only the most favored environments could support more than one human being per square mile. Reduced mobility, rising local populations, and new strategies for dealing with unpredictable climatic change—these problems were common to postglacial hunter-gatherers in every part of the world. A few of these societies, especially those living in areas with rich and diverse food resources that 4

included fish and sea mammals, achieved a high degree of social complexity, with, for the first time, some signs of social ranking.

## 1. African Hunter-Gatherers

For thousands of years during the Würm glaciation, sub-Saharan Africans lived in isolation from the rest of the late Ice Age world. The arid Sahara was uninhabitable for much of the Würm. African savannas and grasslands supported a rich mammalian fauna and many species of plant foods. The hunter-gatherers who subsisted on these diverse resources developed ever more efficient ways of hunting and foraging.

After the Ice Age, these cultures became more specialized, with the densest populations concentrated in large river valleys like the Zambezi, or near lakes, where fishing became of great importance. The Sahara now supported a sparse population of hunter-gatherers adapted to arid, open country. The people of the Nile Valley lived much of the year in permanent base camps, subsisting off a bounty of game, plant foods, and river fish. The ancestry of the **San** of the Kalahari Desert and other living African hunter-gatherer peoples can be traced back to extinct groups that flourished on the savanna thousands of years earlier in prehistory.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## 2. [Asian Hunter-Gatherers](#)

Intensely conservative hunter-gatherer cultures continued to flourish in Asia after the Ice Age. In the more open country of the north, the microblade traditions of millennia earlier continued to diversify into ever more specialized hunting and foraging economies, as well as into emerging seacoast economies. The peoples of the tropical forests of Southeast Asia continued to rely heavily on bamboo and wood technology, and their simple culture was little changed from much earlier times, except for a gradual trend toward more diminutive, specialized tool kits. These tool kits reflect much more varied adaptations by these peoples to local environments, adaptations subsumed under the archaeological label **Hoabhinian Tradition**. <sup>1</sup>

Offshore, in New Guinea and Australia, more specialized local cultures now appeared, many of them oriented toward the exploitation of specific foods like fish, sea mammals, and small game. In the New Guinea highlands, there are signs that people began to deliberately clear forests and plant wild yams after the Ice Age to enhance their food supplies as best they could. Human settlement was still confined to the islands of the extreme southwestern Pacific, for Asians still lacked the necessary boats and foods to navigate far offshore. <sup>2</sup>

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### **3. Mesolithic Hunter-Gatherers in Europe**

European environments changed dramatically as Alpine and Scandinavian ice sheets retreated for the last time. Sea levels rose, flooding the North Sea, while the Baltic Sea formed at the foot of northern glaciers. Dense forests spread over formerly open country. Europeans now adapted to hunting and foraging in forest environments, camping in clearings and in more open woodland environments. Much human settlement was confined to riverbanks, lakeshores, and seacoasts. Here people found a bounty of fish, sea mammals, and bird life, supplementing this diet with plant foods and forest game. These **Mesolithic** cultures (*Mesolithic*, meaning “Middle Stone Age,” describes post-Ice Age European hunter-gatherers) achieved some degree of social complexity in Scandinavia, where richly decorated individuals were buried in cemeteries by 5500 B.C.E. These same cultures were the indigenous societies of Europe, farmers who first spread north and west across central Europe from the Balkans after 4500 B.C.E.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **4. Near Eastern Hunters and Foragers**

In the Near East, the end of the Ice Age brought drier conditions, although the climate was somewhat wetter than today. The densest human settlement was confined to major river valleys, especially places where open steppe, woodland, and floodplain environments intersected. <sup>1</sup>

One such location was **Abu Hureyra**, by the Euphrates River in Syria, where a sedentary community of hunter-gatherers flourished between 10,500 and 9000 B.C.E. About 300 to 400 people lived in a small village settlement of pit dwellings with thatched roofs. Each spring, they killed thousands of migrating gazelle, a small desert antelope from the south. Eventually deteriorating climatic conditions and deforestation due to heavy firewood consumption caused abandonment of the settlement. Sedentary villages like these, located at the margins of several environmental zones, were the places where agriculture and animal domestication first took hold in the Near East, and, indeed, in the world. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **5. Paleo-Indian and Archaic North Americans**

Holocene times ushered in major climatic change in the Americas. As the ice sheets of the north retreated, more temperate vegetational zones spread north. Ice Age big game had vanished, except for the bison, which flourished on the short grass of the Great Plains. Here Paleo-Indian, and later, more sophisticated **Archaic** big-game hunting cultures diversified over a period of more than 10,000 years, right into modern times. First the bow and arrow, which arrived in the first millennium B.C.E., and then the horse, introduced by Spanish conquistadors in 1543 C.E., enriched Plains hunting cultures. They had already achieved a high degree of elaboration as a result of chronic warfare and competition when European settlers reached the Plains. 1

The West Coast and interior of North America became progressively drier, resulting in great environmental diversity. In the desert interior, Paleo-Indian and Archaic cultures developed a remarkable expertise with wild plant foods. These were highly mobile cultures, except in favored areas near lakes and marshes, where people preyed on waterfowl, freshwater fish, and plant foods for much of the year. 2

As Ice Age sea levels rose and flooded estuaries and bays, the Pacific coast of North America supported a great, and predictable, bounty of fish and sea mammals. These predictable food supplies supported sedentary hunter-gatherer cultures in southeast Alaska and the Pacific Northwest, in the San Francisco Bay area and interior, and along the southern California coast. 3

After about 4000 B.C.E., when sea levels stabilized, many of these societies enjoyed periods of remarkable social and political sophistication. In the Santa Barbara Channel region, for example, some **Chumash** people lived in settlements of more than 1,000 people headed by a hereditary chief. The famous **Ozette** whale-hunting settlement on Washington's Olympic Peninsula chronicles the history of an ancestral Makah Indian community from at least 1000 C.E. to the 18th century. 4

The first human settlement of the shores of the Arctic Ocean and of the Canadian Arctic Archipelago dates to about 2000 B.C.E. The **Pre-Dorset** and **Dorset** people were fisherfolk and caribou hunters, with the simplest of material culture. In the western Arctic, elaborate hunter-gatherer societies that can be attributed to ancestral Eskimo 5

developed after 1000 B.C.E. in the Bering Strait area. They became specialized sea mammal hunters, trading walrus ivory, iron, and other commodities between Asia and Alaska and farther south. The **Thule** people from the west colonized the Canadian Arctic Archipelago as far east as Greenland in about 1000 C.E., just as **Norse** voyagers were pressing west to Labrador.

The eastern woodlands of North America supported a great diversity of hunter-gatherer groups after 8000 B.C.E., many of them concentrated in large river valleys where plant foods and fish were abundant. Some of these societies, especially in the Midwest and Southeast, developed highly specialized cultures that exploited bountiful nut harvests and river fish. By 4000 B.C.E., many of them lived in permanent base camps and competed for floodplain land. This competition was one of the factors that led to food production in North America.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **6. Central and South Americans**

We still know little of the postglacial hunter-gatherer societies of Central and South America, except for those of coastal Peru, where, in later millennia, important civilizations were to flourish. The **Paloma** site and other fishing settlements at the mouths of coastal rivers flourished from the remarkable bounty of the nearby Pacific after 8000 B.C.E. Offshore currents brought deep-water species inshore, while shoals of anchovies and other small fish provided sustenance year-round. The same communities also exploited plant foods nourished by coastal fogs. Such Archaic hunter-gatherer societies developed increasing complexity over many centuries. Fish and sea mammals remained a vital resource for coastal Peruvians long after agriculture developed along the coast after 2000 B.C.E. and civilizations prospered. 1

Elsewhere in Central and South America, late Paleo-Indian and Archaic hunter-gatherers adapted to every kind of Holocene environment imaginable, from cold, oceanic coastlines in the far south to the dense rain forest in the Amazon basin and high-altitude plateaux in the Andes Mountains. It was here, in the high Andes, that the inhabitants of **Guitarrero Cave** in Peru began the deliberate cultivation of beans as early as 8000 B.C.E. In doing so, they laid the foundation for the brilliant expertise of Native Americans with cultivated native plants of every kind in later millennia. 2

## **J. The Origins of Food Production**

For more than 99 percent of human existence, our forebears lived by hunting and foraging, tied to the season of plant foods and the movements of game, fish, and sea mammals. Food production, the deliberate cultivation of cereal grasses and edible root plants, is a phenomenon of the last 10,000 years of human existence. It is in large part responsible for the rapidly accelerating rates of population growth and culture change throughout the world during the past ten millennia. 1

The great Old World archaeologist Vere Gordon Childe (1892–1957) wrote of two great developments in prehistoric times, a **Neolithic Revolution** and an **Urban Revolution**. The Neolithic Revolution saw the development of agriculture and animal domestication in the Near East during a period of prolonged drought in the Near East. The Urban Revolution coincided with the appearance of the first cities, writing, and literate civilization in Mesopotamia and Egypt. Childe developed his revolution theory during the 1930s, when much less was known about world prehistory. 2

Child's theory is too simplistic, for it has long been surpassed by more sophisticated formulations, based on a much more detailed knowledge of ancient societies. In one respect, however, Childe was correct. The deliberate cultivation of the soil and the domestication of animals were not, in themselves, revolutionary developments, for every hunter-gatherer was familiar with the germination of seeds and the taming of animals. But the consequences of the new economies were indeed revolutionary, for they were the catalyst for lasting, and dramatic, culture changes. 3

Thanks to radiocarbon dating, we know that agriculture appeared in widely separated areas of the world over several thousand years: in the Near East, China, south and Southeast Asia, and the Americas. Modern theories are based on the realization that many postglacial hunter-gatherer societies were preadapted to food production before anyone started planting wild cereal grasses or penning animals. They were already exploiting such resources intensively, local populations were rising, and there were occasional food shortages in areas like the Near East, where the most favored areas were already at the limits of their carrying capacity. 4

Hunter-gatherers spend much of their time “managing” risk, the risk of starvation, of 5

drought, of sudden changes in animal migration habits. They do so by acting very conservatively, responding to different risks by either moving away or developing new storage technologies for fish, plants, and other foods, and by drying foods like pounded bison or salmon. A straightforward solution to rising populations, occasional food shortages, and unpredictable environments may have been to go one step further, to cultivate familiar plants and domesticate common prey so that people could draw on familiar “stored” resources in scarce months.

This process has been documented by archaeologist Kent Flannery at **Guila Naquitz** cave <sup>6</sup> in Mexico. A small group of hunters and foragers visited this small cave six times over a period of 2,000 years after 8750 B.C.E. Using a sophisticated computer model, Flannery and his colleagues have shown that the local people learned how to schedule foraging for different plant species over the seasons. They lived in an area with unpredictable rainfall, so collective memory based on experience was vital to them. The seeds found in the cave showed that the band used one set of seeds in wet years, another in dry. They tried to manage risk by experimenting with the planting of wild beans in wet years, when the chance of starvation was lower. When this strategy worked, they began planting every year. In time, they relied even more heavily on beans, maize, and squash for their subsistence, to the point where cultivation became more important than foraging.

The new food-producing economies proved dramatically successful. People cultivated an <sup>7</sup> extraordinary range of cereal and root crops, many of them for food, others for medicinal, even hallucinogenic purposes. They domesticated animals ranging in size from the ox and the camel to guinea pigs. Ten thousand years ago, virtually everybody in the world lived by hunting and gathering. By 2,000 years ago, most people were farmers or herders and only a minority were still hunter-gatherers.

The spread of food-producing economies throughout the world only took about 8,000 <sup>8</sup> years. It spread everywhere except where an environment with extreme aridity or heat or cold rendered agriculture or herding impossible, or where people chose to remain hunters and foragers. In some places, food production was the economic base for urbanization and literate civilization.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **K. Early Food Production in the Old World (c. 10,000 B.C.E. and Later)**

### **1. First Farmers in the Near East**

In 10,000 B.C.E., most human settlement in the Near East was confined to the Levant (the easternmost Mediterranean shoreline) and to the Zagros Mountains of Iran and Iraq and their western foothills. Some locations, like the Jordan Valley and the Middle Euphrates Valley, were more densely populated, often by large hunter-gatherer communities located at the margins of several ecological zones. They foraged on wooded hill slopes for cereal grasses and nuts, hunting game on open grasslands and floodplains. <sup>1</sup>

One such settlement was at **Abu Hureyra** in the Middle Euphrates Valley, where a permanent hunter-gatherer base camp exploited gazelle migrations between 10,500 and 9000 B.C.E. About 8500 B.C.E., a new settlement appeared on the same site, this time a permanent village of rectangular mud-brick houses connected by narrow alleyways. At first the inhabitants hunted gazelle intensively. About 8000 B.C.E., they switched abruptly to domestic sheep and goats and to growing einkorn, pulses, and other cereal crops. <sup>2</sup>

Abu Hureyra was not, of course, unique. Contemporary farming settlements have come to light in Syria and the Levant, most of them on low ground close to fertile soils. By 6500 B.C.E., farming communities were trading with each other, passing such exotic materials as obsidian (fine-grained volcanic glass for toolmaking) from village to village over long distances. Obsidian contains distinctive trace elements, which have enabled archaeologists to track even tiny fragments of this much-prized volcanic glass back to sources in central Turkey and elsewhere. <sup>3</sup>

Some settlements, notably **Jericho** in the Jordan Valley, reached an impressive size. By 6500 B.C.E., Jericho covered nine acres, its small beehive-shaped houses clustered behind massive stone walls. It was a small town, perhaps in constant fear of marauders after its large grain stocks and stored trade goods, bartered from the coast and interior deserts. <sup>4</sup>

By 6000 B.C.E., farmers were living throughout the Zagros Mountains of Iran and Iraq in small permanent villages of mud-brick houses. Below, other cultivators dwelt by the edges of the low-lying plains of central and southern Mesopotamia. By at least 8000 B.C.E. some farmers settled at **Ali Kosh**, north of the confluence of the Tigris and Euphrates Rivers. As time went on, Ali Kosh grew until it became a substantial village, <sup>5</sup>

with wide lanes and rectangular houses. The people herded sheep and goats, perhaps driving them to the nearby highlands in the hot summer months. They relied on hunting and fishing in nearby marshes and were using irrigation to grow cereal crops by at least 6000 B.C.E. Such irrigation techniques were to prove of vital importance for early civilization in Mesopotamia (See [Economy, Technology, Society, and Culture](#)).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [Early European Farmers](#)

Near Eastern cereal grains like emmer and bread wheat and domesticated animals were introduced into southeastern Europe and Greece by at least 6000 B.C.E. The local people were already heavily dependent on wild cereal grasses and may have been planting some of them. The first farmers lived in compact villages on river floodplains, occupying the same sites for many generations. 1

After 4500 B.C.E. farming based on cattle herding combined with spring-sown crops like wheat and barley spread over enormous areas of continental Europe. The expansion of farming was a stop-and-go process, coinciding with favorable rainfall cycles and dependent on the distribution of lighter soils easily turned with stone and wood artifacts. These cultivators, known to archaeologists as the **Bandkeramik Complex**, lived in hamlets of rectangular houses, made of timber and thatch. As each settlement grew, companion villages were founded nearby, gradually filling in vacant land. 2

By 4000 B.C.E., cereal crops and domesticated animals were widely used throughout much of Europe, including Britain. Eventually, farmers settled on heavier soils, and indigenous hunter-gatherer groups gradually adopted the new economies. This was a time when more elaborate burial customs developed throughout Europe, as ancestor cults came into fashion, with their close ties to ancestral farming land. 3

In western Europe, groups of villages built communal stone tombs, often called **megaliths**, where important kin leaders and people with genealogical ties to kin group ancestors were buried. Those who supervised the building of shrines and communal tombs, and led the rituals conducted there, assumed increasing political and social power in new, nonegalitarian European societies. 4



### **3. Egypt and Sub-Saharan Africa**

The Nile Valley was a rich environment for hunter-gatherers throughout the late Ice Age and for many millennia afterward. Such was the bounty of game, fish, and plant foods that hunter-gatherer groups could live in permanent base camps for much of the year. It was not until as late as 6000 B.C.E. that wheat and barley were farmed along the Nile. 1

By this time, people living on the semiarid grasslands of the Sahara were herding both cattle and goats or sheep. Some experts believe that cattle were domesticated from wild oxen independently in North Africa or the Sahara as early as they were in the Near East. As the Sahara dried up after 6000 B.C., some of these nomadic herders moved into the Nile Valley and became absorbed into the indigenous population. 2

Two thousand years later, small farming villages flourished from the Nile Delta upstream as far as Aswan at the First Cataract and deep into Nubia (modern Sudan). The farmers took advantage of the annual Nile floods to grow winter crops, grazing their animals at water's edge. This indigenous farming tradition was the foundation of later Ancient Egyptian civilization (See [Economy, Technology, Society, and Culture](#)). 3

By 3500 B.C.E., cattle herders were grazing their herds far upstream, in what is now the Sudan. Fifteen hundred years later, some of these herders had moved as far southward as the East African highlands and are ultimately the ancestors of cattle-herding peoples like the Masai who live there today. This movement, and others to the west, were responses to the increasing aridity of the Sahara. Many of these groups cultivated summer rainfall crops domesticated from indigenous cereals like finger millet and sorghum, as did fisherfolk living by lakes and rivers. These crops were to become the staples of tropical African agriculture. 4

Cereal agriculture was practiced on the southern fringes of the Sahara by at least 2000 B.C.E. For thousands of years, peoples living at the fringes of the West and central African rain forests cut off the tops of wild yams and replanted them. This form of vegeculture gave way to more formal root agriculture in the West African forest by 2000 B.C.E., where people lived alongside riverbanks and in clearings. 5

Cereal agriculture did not spread to the savanna regions of east, central, and southern Africa until about 2,000 years ago. This event coincided with the spread of iron-using 6

farmers from West Africa across much of the continent. Iron technology enabled Africans to clear woodland on a large scale. Within a few centuries, iron-using farmers had crossed the Zambezi and Limpopo Rivers into southern Africa. Their distant descendants were still expanding southward when European farmers expanded into South Africa's eastern Cape Province in the 18th century C.E.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 4. [Asian Farmers](#)

We do not know if cereal agriculture developed independently in India and Pakistan. Farmers were living at **Mehrgarh** west of the Indus River by 6000 B.C.E. Cereal crops, humped cattle, pig, and water buffalo were domesticated by local south Asian populations in this region. The new economies spread rapidly in northwest Pakistan and into other areas. By 5000 B.C.E., the Mehrgarh people were cultivating locally domesticated cotton, which became a vital trade commodity in later centuries, one of the foundations of later urban civilization in the Indus River Valley. 1

There are signs of intensive exploitation of wild plant foods in the Southeast Asian highlands, and perhaps even domestication of wild yams and other root plants as early as 8000 B.C.E., but the evidence is very controversial. The rices and Asian millets ancestral to modern rice were first domesticated somewhere between northeast India, Southeast Asia, and southern China. The initial process of domestication probably took place in an alluvial swamp area where there was plenty of seasonal flooding to stimulate crop growth. The earliest records of cultivated rice come from China's Middle Yangzi River Valley, dating from as early as 7000 B.C.E., but it is likely that similar early dates will come from the Ganges Plain and other regions in the future. 2

By 6500 B.C.E., Southeast Asians were moving from the hills onto river plains and into lowland areas, where intensive cultivation and irrigation permitted rice agriculture. Rice soon became the vital staple of farmers throughout southern and Southeast Asia, but its spread is not well documented. At **Homutu** in coastal southern China, a community of rice farmers lived in a marshy area between 5000 and 4000 B.C.E. Their village of beautifully made wooden houses was surrounded by forests and was close to a great diversity of food resources. The women of Homutu made a distinctive type of cord-decorated pottery, which was also widespread in Southeast Asia, Taiwan, and Japan. 3

North Chinese farmers relied not on rice, but on local cereals and seeded plants such as millets, sorghum, and the mulberry planted on river valley soils. Again, agriculture was a local development. The earliest farming villages date to about 5000 B.C.E., perhaps earlier. For the next 2,000 years, the **Yangshao** farming culture flourished in the Yellow River Basin, an area as large as the early centers of agriculture in Egypt or Mesopotamia. 4

Each Yangshao community was self-contained, overlooking a fertile river valley. By 3000 B.C.E., Yangshao people were enjoying a characteristic and thoroughly Chinese culture with its own naturalistic art style. The roots of Chinese cuisine and language may date from Yangshao times.

During these 2,000 years, many distinctive farming cultures developed throughout China. <sup>5</sup> They became the **Longshanoid** cultures, which were the founder societies of early Chinese civilization.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **L. The Origins of Food Production in the Americas (c. 5000 B.C.E. and Later)**

The Native Americans were remarkable for their expertise with native plants. They domesticated not only staples like maize and beans, but also hundreds of varieties of potato, amaranth, and other crops that are now international staples. In contrast to the Old World, only a few animals were available for domestication, among them the guinea pig, llama, and turkey. Potential beasts of burden had become extinct at the end of the Ice Age. 1

As in the Old World, experimentation with native plants began early, especially in the Andean area of South America, where people strove constantly to expand the range of wild plants into marginal environments. In North America, hunter-gatherer societies in major Midwestern river valleys were planting such native plants as goosefoot and marsh elder to supplement wild stands as early as 2500 B.C.E. And the Guila Naquitz excavations in central Mexico show that hunter-gatherers in Central America also experimented with bean and squash cultivation as a means of surviving dry years in an unpredictable environment as early as 7000 B.C.E. 2

Maize (*Zea mays*) was the staple cereal crop for many Native American societies when Christopher Columbus landed in the New World in 1492. It was cultivated from Argentina and Chile northward to Canada, from sea level to high in the Andes, in low-lying swamp environments, and in arid lands. Hundreds of races of domesticated maize evolved over the millennia, each with a special adaptation to local conditions. The wild ancestor of maize is thought to be teosinte, a wild grass that grows over much of Central America. Teosinte was transformed into a primitive maize through human selection that was much easier to harvest. The earliest known maize cobs date to about 2750 B.C.E. in the **Tehuacán Valley** in southern Mexico and from the Valley of Mexico in the highlands. 3

By 1700 B.C.E., the inhabitants of the Tehuacán Valley were growing amaranth, gourds, and maize to the point that agriculture was the dominant part of the subsistence economy. Tehuacán is by no means unique, for many groups throughout Central America were turning to agriculture by this time. In time, a primitive form of domesticated maize with 4

kernels in eight rows was the ancestral crop, which spread thousands of miles from its original homeland after 2700 B.C.E.

In South America, people living in the Andean highlands of Peru were cultivating potatoes, maize, beans, and squash by 2500 B.C.E., some of these crops, especially potatoes, beans, and quinoa, much earlier. Llamas were domesticated by at least 2500 B.C.E. Maize agriculture probably spread south from Central America to the highlands, then to the arid Peruvian coast by 800 B.C.E., where maize was grown in large-scale irrigation schemes in river valleys. This intensive agriculture was the staple of the coastal civilizations that developed by the Pacific after 800 B.C.E.

Maize agriculture spread into the North American Southwest by about 1500 B.C.E., where cold winters and arid conditions made cereal agriculture difficult. Nevertheless, maize and bean agriculture became the basis of the sedentary **Pueblo Indian cultures** that developed in the Southwest after 2,000 years ago. The well-known **Anasazi**, **Hohokam**, and **Mogollon** cultural traditions of the Southwest were the ancestral foundations of modern Southwest Indian society. Between the 10th and 13th centuries C.E., some Anasazi pueblos, notably in **Chaco Canyon**, New Mexico, and **Mesa Verde**, Colorado, housed hundreds of people, especially during important seasonal ceremonials. Southwestern Pueblo societies were successful, highly flexible adaptations to unpredictable, semiarid environments. As such, they never achieved the degree of social complexity found further east in North America.

By 2500 B.C.E., hunter-gatherer societies in the eastern woodlands of North America were planting native plants on a regular basis. Maize crossed the southern Plains into eastern North America during the first millennium C.E., but did not become well established until after 800 C.E. By this time, many eastern societies were living in sizable, sedentary communities, presided over by powerful kin leaders.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **M. Later Old World Prehistory (3000 B.C.E. and Afterward)**

### **1. State-Organized Societies**

Within 5,000 years of the appearance of farming villages in the Near East, state-organized societies developed in Egypt and Mesopotamia. Subsequently, other preindustrial civilizations of great complexity emerged—not only in the Near East, but also in south Asia, Southeast Asia, and China. They also flourished in Central America and the Andean region of South America (See [Mesoamerican Civilizations](#)) (See [Andean Civilizations](#)). Such state-organized societies operated on a large scale with centralized political and social organization. They were marked by class stratification, intensive agriculture, and were based on assumptions of social inequality. All had complex government bureaucracies and were often ruled by despotic leaders who governed as divine monarchs. 1

State formation was not a universal phenomenon. Many archaeologists theorize that states emerged because they were beneficial as a way of organizing both food supplies increased through intensified agriculture and trade, and external relations with neighbors. They believe states emerged in environmental settings with severe population problems or shortages of agricultural land. Effective, centralized management of trade monopolies, and of food production, through state-organized irrigation systems and other means, could bring ecological imbalance under control. For example, both Ancient Egyptian pharaohs and Aztec rulers in Mexico employed hundreds of officials to ensure that all available land was cultivated efficiently. 2

## **2. Webs of Relations**

For all their complexity and sophistication, the early civilizations ruled over relatively small geographical areas by modern standards. But their insatiable demands for exotic raw materials—for gold, copper, iron ore, even such prosaic items as timber or textiles—brought them into contact with dozens of prehistoric, nonliterate societies that lived on the margins of, or outside, their boundaries. The last 5,000 years of prehistory are remarkable for the ever-expanding tentacles of interconnectedness that linked hundreds of prehistoric societies with one another, and with more complex literate civilizations many miles away. 1

This web of relations began to expand as early as 7000 B.C.E. in the Near East, when the obsidian trade linked small farming settlements seeking fine toolmaking stone. In time, these small regional trading networks became well-traveled caravan routes that linked Mesopotamia with the Mediterranean and the Nile Valley to the Levant. 2

During the fourth millennium B.C.E., long-distance trade exploded throughout the Near East, linking societies all the way from the Indus Valley in Pakistan and Iran with Mesopotamia, the Levant, Anatolia, and the Nile Valley. This rapidly evolving “world system” transformed human life. A millennium later, it embraced not only the Near East, but Cyprus, the Aegean, and mainland Greece as well. It developed because of an insatiable demand for nonlocal raw materials in different ecological regions where societies were developing along very similar lines. The Sumerians of Mesopotamia, for example, lived in a largely treeless environment with no metals. Yet they produced large grain surpluses, which they traded for timber and metals with the highlands by boat and across the desert by donkey camels. Nowhere did this emerging world economic system have a greater impact than in Africa. 3



### 3. [Later African Prehistory](#)

#### a. [Egypt and Nubia](#)

Ancient Egyptian civilization began with the unification of Upper and Lower Egypt by the pharaoh Narmer in about 3100 B.C.E. This long-lived civilization was an entirely indigenous development, its homeland a favored river oasis surrounded by desert. But Ancient Egypt was far from isolated, for from early times the Nile Valley was part of interregional trade networks that linked Mesopotamia and the Levant with the Nile. These relationships involved not only commerce, but occasionally frontier wars in distant lands like Syria. Egypt's relationship with lands upstream was just as important. The pharaohs traded for vital raw materials outside the narrow confines of their kingdom. They prospected for gold in the Sinai and in Nubia, the **Land of Kush** upstream of the First Nile Cataract. Despite many centuries of trading and occasional military expeditions, Ancient Egypt's cultural contribution to later African history was probably negligible, if nothing else because of the realities of Nile geography. 1

Nubia provided Egypt with gold, copper, and ivory, with semiprecious stones and slaves, and with mercenaries for the royal armies. It was so vital to Egyptian interests that the Middle Kingdom pharaohs garrisoned Lower Nubia in about 1800 B.C.E., specifically so they could control the gold trade. 2

Nubia itself was ruled by black African chiefs, who became wealthy on the Egyptian trade. Although the pharaohs colonized Nubia for a while during the New Kingdom, they never fully controlled the long river reaches upstream. As Egypt weakened after 1000 B.C.E., the Nubians became more powerful. A dynasty of Nubian rulers from Napata far upstream actually ruled Egypt for a short time in the 8th century B.C.E. 3

The Nubian state controlled caravan routes along the Nile and across the Eastern Desert. About 6000 B.C.E., the Nubian rulers moved their capital from **Napata** far upstream to **Meroë**, on a fertile floodplain between the Nile and Atbara Rivers in what is now the Sudan. The Meroitic state flourished for nine centuries, ruled by African kings who imitated many of the customs of Egyptian pharaohs. Their capital lay at a strategic point on the Nile, where desert trading routes from the Red Sea to the east intersected with trails leading west along the southern margins of the Sahara and upstream along the Nile. 4

Meroë maintained at least sporadic contacts with the classical world but was never conquered by Rome, for the strategic obstacles were too great.

Meroë owed its prosperity to the gold, copper, iron, ivory, and slave trade, and even supplied war elephants for Roman armies. But, above all, its importance can be attributed to the introduction of the camel from Arabia in the closing centuries of the first millennium B.C.E. The Arabs called the camel “the ship of the desert,” an appropriate metaphor, for this tough beast of burden opened up the Sahara and tropical Africa to the outside world.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. West African States**

The Roman colonies in North Africa were in constant conflict with the Berber nomads of the desert. But they never opened regular trading routes across the Sahara with the black people who lived on its southern margins. By the time the Arabs conquered North Africa in the 7th century C.E., camel caravans were crossing the desert regularly, bringing West African gold to the north in exchange for cake salt, mined in the heart of the Sahara. Salt was so prized by the salt-starved West Africans that they sometimes paid for it in its equivalent weight of gold. <sup>1</sup>

In the 7th century C.E., small towns devoted to the gold and salt trade ruled by entrepreneurial African chiefs dotted the southern margins of the western Sahara. The most important was the **Kingdom of Ghana**, which flourished well before the 8th century C.E. Ghana started as a network of smaller chiefdoms and rose to prominence because it controlled gold sources near the Senegal River. This state, and its successors, came into being as a result of both indigenous cultural developments and because of links with the growing web of relations that was drawing the western Sudan into a much wider commercial and political world. <sup>2</sup>

West Africa came into contact with Islamic merchants and religious reformists in the 11th century C.E. Islamic forces captured Ghana in 1076, and the kingdom soon dissolved into its constituent parts. From this time onward, the savanna regions south of the Sahara were part of the vast caravan routes that linked the Islamic world. Later, West African states such as Mali and Songhay were ruled by Islamic kings and were familiar to Arab geographers. <sup>3</sup>



### **c. East and Southern Africa**

Meroë was part of a vast trade network that linked Nubia with Arabia and the Mediterranean world. So was the kingdom of **Axum** on the Ethiopian highlands to the southeast. This state competed with Meroë, then overthrew it. Axum's Christian kings exchanged gold, ivory, and slaves for luxuries from the Mediterranean world, and from distant India throughout the late first millennium C.E. They were an outlying part of another great web of interconnected, and diverse, trading societies that extended not only to Arabia, but far across the Indian Ocean and beyond. 1

The catalyst for this trade was the monsoon winds of the Indian Ocean. They allowed downwind sailing vessels to travel from India to Africa and back in the course of a year. India had an insatiable demand for soft, easily carved African elephant ivory, and for gold. This ocean trade developed nearly 2,000 years ago, bringing foreign merchants not only to Arabia and the Red Sea, but to the East African coast. The same winds brought Islam to the Africans of the coast, their partners in the trade. By 1000 C.E., a string of small trading communities dotted the Kenya and Tanzanian coasts. They formed an indigenous trading culture linked both with the outside world and with suppliers of gold, ivory, and slaves in the far interior, especially up the Zambezi River. 2

The **Karanga** people living in the inland plateau south of the Zambezi were cattle herders and farmers, who controlled rich gold and copper outcrops. Their leaders ruled over small, volatile kingdoms and used their religious powers to monopolize the gold and ivory trade with the coast. In return, they received cotton cloth, glass beads, Chinese porcelain, glass vessels, and other cheap trinkets, which had high prestige value in the interior. The greatest Karanga chief lived at **Great Zimbabwe**, a complex of stone enclosures built between 1100 and 1550 C.E. 3



#### **4. Europe after 3500 B.C.E.**

By 3500 B.C.E., Europe was peopled by small, egalitarian Stone Age farming communities. They had cleared vast acreages of land and lived in highly organized landscapes of small hamlets, homesteads, and farmlands. By this time, copper and gold metallurgy were well established in the Balkans; indeed, metallurgy may have developed independently in this region. 1

Initially, copper and gold were used as decorative metals, fashioned into luxury ornaments that were traded throughout Europe. The same trade networks carried distinctive bell-shaped beakers throughout much of western Europe. By 2000 B.C.E., European smiths had learned how to alloy copper and tin to make bronze. The result was tough-edged artifacts that could be used to fell trees and work with wood. The trade in these weapons, as well as control of ore outcrops, lay in the hands of local chiefs. For the first time, European society showed signs of social ranking. Surplus food supplies were channeled into erecting majestic religious monuments, of which **Stonehenge** in southern Britain is best known. Important religious ceremonies took place at such shrines, perhaps at the winter and summer solstices. 2

The Bronze Age, the period when bronze technology came into use throughout Europe, was a period of political instability and intense competition for land. Now warrior chiefs presided over warlike tribes, as plows and more consolidated forms of agriculture produced higher crop yields. Some of these European groups raided the eastern Mediterranean world in about 1200 B.C.E., destroying **Mycenae** in Greece and overthrowing the **Hittite empire**. These were formidable fighters, who used horse-drawn vehicles and devastating slashing swords, far more effective than the cutting weapons of earlier centuries. 3

After 1000 B.C.E., iron technology spread rapidly across Europe. Ironworking originated in the Mitanni area of Anatolia in the mid-second millennium B.C.E. Hittite monarchs guarded the secret for some time, for they were well aware of the strategic advantages of iron. But mercenaries in their armies took the metallurgy home with them, and the secret was out. Europeans embraced the new technology with enthusiasm. By this time, the most coherent political unit was a loose confederacy of tribes formed in time of war, or 4

temporarily under a charismatic chieftain. This native form of government was to survive for centuries beyond Roman frontiers.

The **Hallstatt** people were expert bronze and iron workers who colonized former 5  
Urnfield areas of central and western Europe in the early first millennium B.C.E. Celtic speakers with a distinctive and highly sophisticated **La Tene** technology spread north from the Rhine and Danube Valleys into the Low Countries and Britain in the 4th century B.C.E. The Celts were formidable warriors, who built large hill forts and introduced the Romans to the short sword, sacking Rome itself in about 390 B.C.E.

The last three centuries C.E. saw the appearance of coinage and the founding of small 6  
states and fortified towns. These were the people defeated by Julius Caesar in Gaul in 56 B.C.E. And these were the warrior groups who eventually sacked Rome and sacked its provinces in later centuries.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## 5. [Eurasian Nomads](#)

To the east, the rolling grasslands from the Ukraine to China were unable to support high population densities. Nomadic herders settled there at an unknown date, domesticating the horse as early as 4000 B.C.E. They lived in felt tents and subsisted mostly on horse milk and cheese, also off game and plant foods. The **Pazyryk** burial mounds in Siberia contain the bodies of elaborately tattooed chiefs, who wore leather and woolen clothing and traveled in beautifully decorated horse-drawn chariots. <sup>1</sup>

**Scythian** nomads, descended from these earlier groups, menaced the northern frontiers of the Mediterranean world for many centuries, as sedentary colonists impinged on their lands and threatened a lifeway that required enormous areas of land for survival. Eurasian nomads continued to flourish during the closing centuries of prehistory. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## 6. [Asia](#)

The later prehistory of Asia is still little known, especially that of humbler village societies rather than spectacular civilizations. 1

### a. [South Asia](#)

By about 3500 B.C.E., hundreds of small farming villages dotted the Indus floodplain in northwest Pakistan. Many of these settlements boasted of fortifications and planned streets. Many villages and small towns practiced intensive agriculture and were built just above river flood level. The stone and mud-brick houses of **Kot Diji** were clustered behind massive stone flood dikes and defense walls, for neighboring communities quarreled constantly about the control of prime agricultural land. As the valley population rose, so did pressure on the land. Forests were denuded for firewood used in brick making, sheep and goats stripped the natural vegetation. The need for communal irrigation and flood control works led to the emergence of the **Harappan Civilization** in the Indus Valley by 3000 B.C.E. The Harappans traded with Sumerian city-states and highland Iran over many centuries. 2

The Harappan Civilization declined after 2000 B.C.E., a development that led to a massive expansion of village settlement in Gujerat to the south. In about 1500 B.C.E., Aryan nomads swept south over India. A few centuries later, iron technology arrived in the subcontinent, enabling farmers to break up the hard soils of the Ganges plain in the east. This region was to become the heartland of later Indian empires. India was invaded by King Darius in 516 B.C.E. and by Alexander the Great two centuries later. 3

The period between 200 B.C.E. and 300 C.E. saw India linked by regular trading routes, not only to Arabia and the Red Sea, but also to Southeast Asia, as Buddhism and Hinduism spread over enormous areas of the eastern world. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **[b. China](#)**

By 3000 B.C.E., agriculture had taken such a hold in China that population densities rose rapidly, as most available land was taken under cultivation. At the same time, rice agriculture expanded in lowland areas where irrigation was easy. Those villages fortunate enough to possess irrigable lands soon turned into larger, much more permanent settlements, often protected with earthen walls to guard against floods and marauding neighbors. Even these larger communities were part of a self-regulating folk society in which kinship loyalties and the extended family were all important and age was deeply revered. The family ancestors were the conduit to the gods who controlled the harmony of the world. 1

By this time, too, a new social order was coming into being. Important kin leaders became warrior rulers, often men of great spiritual authority who interceded with the ancestors. Soon they became the aristocratic nobility of early Chinese civilization, represented by the **Shang Civilization** of northern China and other states. But these political and social developments would never have been possible without the unswerving conservatism of the village farmer, who accepted the new and emerging social order that imposed an almost alien, wealthy, and very privileged society on their shoulders. They did so because of putative kin ties that obligated the farmer to provide food and labor for their rulers. 2

Early Chinese states rose and fell with rapidity for centuries, until the Emperor Shi Huangdi unified China in 221 B.C.E. In later centuries, Chinese trading activities in Southeast Asia played a pivotal role in the development of indigenous states there. The Chinese were also linked to the Indian Ocean trade, indeed sailed as far as the East African coast in the sixth century C.E. 3





[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

### **c. Japan**

The later prehistory of Japan is dominated by the Jomon culture, a common cultural tradition that linked many ethnic groups in the archipelago and flourished from 10,500 B.C.E. to 300 C.E. Jomon people were hunters and fisherfolk, remarkable for their fine clay vessels, the earliest in the world. They developed an elaborate technology for processing and storing huge stocks of nuts, an activity that may have combined with the cultivation of milletlike plants. 1

The basis for what was to become traditional Japanese society was formed during the **Yayoi Period**, which began after 300 C.E., when large-scale rice agriculture and new technologies spread through the archipelago. Japan was unified into a single state in about 600 C.E., by which time stratified, complex societies were commonplace. 2

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **d. [Southeast Asia](#)**

Rice cultivators flourished throughout Southeast Asia by 3000 B.C.E. Bronze technology came into widespread use in about 1500 B.C.E. The **Dong Son** culture of Vietnam represents the culmination of bronze working and ironworking in prehistoric times. **Co Loa** near Hanoi was a fortified and moated settlement, ruled by local chieftains called **Lac Lords**, Keepers of the Drums. Intensive rice cultivation, use of the plow, and careful water control produced enormous food surpluses. The region became part of a Chinese protectorate in 43 C.E. 1

For centuries, Southeast Asia was dominated, at least tangentially, by two foreign presences—China to the north and India to the south. By the time of Christ, southerly towns were being incorporated into the oceanic trade routes that stretched from China in the east to the shores of the Red Sea and the east coast of Africa in the west. No one people controlled this vast trade, another nascent “world system,” like that of the Mediterranean and Classical worlds. 2

Beyond India, Indian merchants traded as far as the South China Sea and with tribal societies of the mainland and islands. Metal and spices were the big attractions. Within a few centuries, kingdoms appeared with governments run according to Hindu or Buddhist ideas of social order. Eventually, these tribal chieftains became divine kings. Expanding mercantile empires like **Funan** in Vietnam's Mekong Delta dominated long-distance trade between the 3rd and 6th centuries C.E. Funan was the first of the great Southeast Asian civilizations. 3

## **7. Offshore Settlement in the Pacific**

By 2000 B.C.E., a myriad of stone-using farming cultures flourished by Southeast Asian rivers and coasts. Canoes played a major role in intervalley trade. Commodities like clay vessels, stone axes, and toolmaking stone were exchanged through trade networks that linked small communities from Taiwan in the north to New Guinea and the southwestern Pacific islands in the south. 1

Yams and taro, both root crops, were cultivated in the New Guinea highlands by at least 7000 B.C.E. Agriculture became a staple throughout the southwestern Pacific by 2500 B.C.E. The new economies enabled offshore navigators to carry storable foods as well as cultigens, even edible dogs, chickens, and pigs, on long open-water voyages. 2

By 1500 B.C.E., the **Lapita people** of the Bismarck Archipelago in the southwestern Pacific had developed oceangoing, double-hulled canoes and mastered simple navigational techniques using the stars that enabled them to sail to islands far over the horizon. The Lapita people were expert traders. They voyaged as far east as Fiji, Tonga, and Samoa during the first millennium B.C.E. 3

From there, much longer distances entailed voyages of nearly 600 open-water miles. From Melanesia, canoes voyaged to Micronesia about 2,000 years ago. Polynesian culture originated in the west; then small groups settled the Marquesas by 400 C.E. and the Society Islands and Tahiti by 800 C.E. 4

By the time French and British explorers visited Tahiti in the mid-18th century, the Tahitians were ruled by a powerful hierarchy of chiefs and nobles. Canoes arrived on Hawaii before 700 C.E. and on Easter Island 200 years earlier. Finally, Polynesians voyaged southward to colonize New Zealand around 750 C.E. After 1400 C.E., Classic Maori culture developed, based on sweet potato agriculture and ruled by a flamboyant, warlike elite. 5

With the colonization of the Pacific Islands, the prehistoric human settlement of the Old World was complete. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **N. Chiefdoms and States in the Americas (c. 1500 B.C.E.–1532 C.E.)**

When Europeans landed in the New World, they encountered an astounding diversity of Native American societies. Some, like the Inuit of the Canadian Arctic or the Shoshone of the Great Basin, were simple hunter-gatherers living in small bands. Some lived in small farming villages, others in elaborate pueblos or small towns that housed several hundred people. Then there was the Aztec capital, Tenochtitlán, a city of some 200,000 people with a market that rivaled that of Constantinople or Seville. Archaeologists believe that these great variations in cultural and social complexity were the result, in part, of local environmental conditions as well as technological innovation. It was only in a few areas of exceptional resource diversity like Mesoamerica and Peru that fully fledged preindustrial civilizations developed. 1

### **1. North American Chiefdoms**

Some of the most complex hunter-gatherer societies on Earth developed in North America. However, the climate was too harsh for the kinds of intensive maize and bean agriculture that would support urban civilizations. 2

By the time maize and beans reached eastern North America, local societies had been evolving toward more complexity for many centuries. After 2000 B.C.E., such societies developed a preoccupation with elaborate mortuary cults that celebrated the ancestors. Village kin groups erected large burial mounds and earthworks in which they interred kin leaders and other clan members, often adorned with badges of rank and fine heirlooms like soapstone pipes, acquired from afar. First the **Adena** culture developed in about 500 B.C.E. to be followed by the **Hopewell** complex two-and-a-half centuries later. These cults' rituals were reflected in prolonged burials. The Hopewell cult in particular developed great elaboration in the Ohio Valley and other parts of the Midwest. It involved, among other activities, complex gift exchanges that validated extensive long-distance trade. This brought commodities like obsidian from Yellowstone Park in the west to the Hopewell heartland. 3

The arrival of maize and bean agriculture transformed societies that relied heavily on 4

hunting and foraging, as well as on the cultivation of native plants. River valley populations rose rapidly, trading and religious activity intensified, and an ever-changing mosaic of complex **Mississippian** chiefdoms developed throughout the southern Midwest and the Southeast. The greatest Mississippian chiefdoms were based on **Cahokia**, near East St. Louis, and **Moundville**, Alabama. Both were large towns, with imposing sacred precincts of pyramids and plazas. The Mississippian was an indigenous North American culture that went into decline in the 15th century, just before the Spanish landed in Florida. Within two centuries of European contact, the southeastern Indians were decimated by disease, their chiefdoms in tatters.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [Mesoamerican Civilizations](#)

By 2000 B.C.E. sedentary village farmers were common in most of Mesoamerica. These societies became more complex as time passed, as groups of villages formed alliances and long-distance trade routes linked the lowlands and the Gulf of Mexico with the highlands inland. Small shrines appeared in larger villages, as social ranking became commonplace in Mesoamerican society. <sup>1</sup>

### a. [Olmec](#)

This trend toward social complexity took hold throughout the region, but the most famous of these newly more complex societies is that of the Olmec on the Mexican south Gulf Coast. Olmec culture flourished from about 1500 to 500 B.C.E., a society of tropical farmers who traded extensively with one another and peoples on the highlands. Major ceremonial centers at **La Venta** and **San Lorenzo** boasted of earthen mounds, temples, and plazas, and a distinctive art style of snarling jaguars and animal humans. <sup>2</sup>

Olmec society was a manifestation of a much more complex social and political order. It comprised a series of chiefdoms who maintained contacts with other lowland and highland societies. Art motifs, religious symbols, and ritual beliefs were shared with many other Mesoamerican peoples. This complex process of interaction over many centuries produced the complex and sophisticated traditions of Mesoamerican civilization in later centuries. <sup>3</sup>



## b. Teotihuacán

In the highlands, village populations rose sharply after 1000 B.C.E., leading to more intensive agriculture and increasingly sophisticated trade networks. By 200 B.C.E., the effects of this intensified economic activity led to the founding of the city of Teotihuacán in the Valley of Mexico. A century later, Teotihuacán expanded rapidly. Its streets, pyramids, and plazas covered eight square miles by 500 C.E. The city grew according to a master plan that was followed for six centuries. Bisected by the Avenue of the Dead, Teotihuacán was dominated by the 210-foot-high Pyramid of the Sun. At least 120,000 people lived in the city during its heyday, ruled by a tiny elite of powerful, militaristic nobles. It was the dominant economic and religious state over much of highland Mexico until 750 C.E., when it collapsed suddenly. The collapse may have resulted from a combination of many factors, among them overexploitation of the commoners by the elite and a series of drought cycles that may have forced the population to disperse into smaller communities. <sup>1</sup>

**Maya Civilization** developed in the Mesoamerican lowlands by 600 B.C.E. At **Nakbe** and **El Mirador**, the Maya erected elaborate ceremonial centers of stone and stucco buildings standing on pyramids and platforms. Even as El Mirador prospered, other important centers like **Tikal** and **Uaxactún** grew in importance, ushering in the Classic Period of Maya Civilization from 300 C.E. to 900. Maya life was governed by an intricate calendar system and a recently deciphered hieroglyphic script. Their writings tell us of a lowland civilization ruled by powerful lords, who presided over small city-states. Each state competed constantly with its neighbors, as different centers like Tikal, **Palenque**, and **Copán** vied for control of key trade routes and for political and religious prestige. <sup>2</sup>

Maya lords considered themselves intermediaries between the living and spiritual worlds. A small nobility controlled Maya society. Their power base gave way suddenly in about 900 C.E., probably as a result of partial ecological collapse as farmlands became exhausted. Nevertheless, Maya Civilization continued to flourish in the northern Yucatán until the Spanish Conquest in the 16th century C.E. <sup>3</sup>

In the highlands, the **Toltecs** held brief sway over the Valley of Mexico from about 900 C.E. to 1200, ruling their state from **Tula**, north of the valley. They may also have had <sup>4</sup>

some influence over lowland politics, for there is strong Toltec influence at **Chichén Itzá**, a great ceremonial center in the northern Yucatán. Political chaos followed the collapse of Toltec civilization in the 13th century. Eventually, the **Aztecs**, once nomadic farmers, rose to power in the Valley of Mexico.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### 3. [Andean Civilizations](#)

Andean states developed in every kind of environment imaginable, everything from mountain valleys high in the Andes to arid coastal plains. In this region, different ecological zones were “stacked” one above the other from sea level high into the mountains, and the inhabitants of each zone depended on others for vital resources. Thus, Andean civilization pursued many evolutionary paths, which came together in a remarkable mosaic of states that depended on one another for survival. 1

#### a. [Beginnings](#)

The introduction of maize and cotton to the coast in about 2000 B.C.E. was a catalyst for civilization. So was the existence of dense populations and sedentary settlements. The formation of states both on the coast and in the highlands was also fostered by continuous interchange between coast and interior. Highland farmers needed dried fish, salt, and seaweed, the latter to combat endemic goiter. Carbohydrate foods like oca, ullucu, and white potatoes could not be grown in the lowlands. The two regions became closely interdependent. 2

Andean Civilization began in about 1900 B.C.E., a time when large ceremonial centers first appeared on the coast. The oldest is **El Paraíso**, a U-shaped complex of square buildings surrounded by tiers of platforms. These centers reflected new religious beliefs that used smoke and water to bridge the layers of the cosmos, to establish communication with the spiritual world. 3



[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **b. [Chavin](#)**

A thousand years later, an intricate religious iconography born at **Chavín de Huantar** in the Andes foothills of central Peru spread widely over the coast and highlands. Chavin itself was a revered shrine and trading center. The terraced temple was a honeycomb of narrow passages and rooms that led to a central chamber with a carving of a jaguarlike human. Chavin art is dominated by animal and human forms. Jaguar motifs predominate; humans, gods, and animals have jaguarlike fangs or limbs. Snakes flow from the bodies of many figures. The art reflects new religious beliefs and shamanistic practices that were to underpin centuries of Andean civilization. <sup>1</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

### c. [Moche](#)

In later centuries, the Andean region witnessed an extraordinary array of state-organized societies with great diversity of culture, art, organization, and religious beliefs. By 200 B.C.E., the Moche state had emerged in northern coastal Peru, flourishing for 800 years. The Moche were maize farmers and fisherfolk, skilled artisans and priests, who traded cotton textiles and other goods with the highlands. They were ruled by militaristic warrior-priests, part of a small, wealthy elite. The undisturbed Moche royal tombs at **Sipan** have revealed the burials of two warrior-priests, wearing golden masks, surrounded by sacrificial victims and clay pots, and wearing magnificent, finely crafted copper and gold ornaments. <sup>1</sup>

The Moche were expert metalworkers, who hammered and annealed gold and copper, the first Native Americans to master metallurgy. Their rulers taxed their subjects for labor, to build and maintain vast irrigation systems and vast monumental platforms and temples. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## **d. [Tiwanaku](#)**

The Moche state was a multivalley kingdom, which collapsed in about 600 C.E. In the southern highlands, at the other end of the Andean world, Tiwanaku rose to power after 200 C.E. Tiwanaku itself was an important copper-working and trade center near Lake Titicaca. Its enclosures and platforms housed an important shrine to the creator god and nurtured a religious ideology that spread widely before Tiwanaku collapsed in about 1200 C.E. 1

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## e. [Chimu](#)

On the north coast, the Chimu kingdom based on the Moche Valley filled the vacuum left <sup>1</sup> by collapsing Moche after 850 C.E. The Chimu capital, **Chan Chan**, at the mouth of the Chicama River, housed the adobe compounds of aristocratic rulers. Each enclosure became the burial place of its royal builder, for new rulers inherited the title, but not the material possessions, of their predecessors. Thus, it was incumbent on a new leader to acquire more land, extra subjects, and fresh wealth, by expanding the empire. The same institutions of split inheritance, of reverence for royal ancestors, were to fuel later Andean civilization. The Chimu state extended far south with each river valley linked by carefully maintained roads. But the empire was vulnerable to attack and fell to Inca invaders in the 1460s.

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## **O. The End of Prehistory (1500 C.E. to Modern Times)**

The end of prehistory varied widely from one area to the next. It ended about 5,000 years ago in the Near East, with the Olmecs of 3,000 years ago, and then with the Mayans of 2,000 years ago in Central America, and with the Chimú of 650 years ago in the Andean region. Parts of central Africa and many remote Pacific islands did not come in contact with literate societies and emerge from what is technically prehistory until the late 19th century. <sup>1</sup>

Between the 15th and 19th centuries, the European age of discovery linked societies in all parts of the world in ever more intricate webs of relations, which resulted in major adjustments in human societies everywhere. Extensive contacts with Europeans brought catastrophic culture changes. Infectious diseases such as smallpox and influenza killed off millions of native Americans who had no resistance to Old World viruses. European colonists with their firearms and sophisticated technology took over tribal lands and pushed back indigenous peoples into marginal areas on all continents. The process of contact and colonization continues in remote areas of the Amazon basin and highland New Guinea, where rain forests are felled and age-old lifeways evaporate in the face of exploitative industrial civilization. Despite these centuries of sustained contact and disruption, much survives of indigenous culture, religious beliefs, and values, often blended with new elements introduced from outside. Humankind is as biologically and culturally diverse as it has always been. <sup>2</sup>

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## Table of Contents

### Page 2

#### II. Ancient and Classical Periods, 3500 B.C.E.–500 C.E.

##### A. Global and Comparative Dimensions

##### 1. Origins of Civilizations, 4000–2000 B.C.E.

###### a. Emergence of First Civilizations

###### b. Later Primary Civilizations

###### c. Early, Complex Nonurban Societies

###### d. Comparisons

##### 2. The Growth of Civilizations, 2000–300 B.C.E.

###### a. The Creation of Regionally Unified Societies

###### b. Civilizations and Nonurban Societies

###### c. The Axial Period

##### 3. Classical Civilizations, 300 B.C.E.–500 C.E.

###### a. The Middle East

###### b. The Mediterranean Basin

###### c. Chinese Imperial Unity

###### d. Indian Empires

###### e. Expansion of the Ecumene

##### 4. The Spread of Religions, 300 B.C.E.–500 C.E.

###### a. The Spread of Hellenism

###### b. Buddhism

###### c. Hinduism

###### d. The Expansion of Christianity

##### B. Kingdoms of Western Asia and Africa, to 323 B.C.E.

###### 1. Periodization

2. Mesopotamia, c. 3500–539 B.C.E.

- a. Geography
- b. Economy, Technology, Society, and Culture
- c. The Sumerians and the Akkadians
- d. The Amorite Kingdoms
- e. The Kassites, the Hurrians, and the Arameans
- f. The Neo-Assyrians and the Neo-Babylonians

3. Egypt, c. 3500–332 B.C.E.

- a. Geography
- b. Economy, Technology, Society, and Culture
- c. The Old Kingdom and the First Intermediate Period (1st–11th Dynasties)
- d. The Middle Kingdom and the Second Intermediate Period (11th–17th Dynasties)
- e. The New Kingdom and the Third Intermediate Period (18th–24th Dynasties)
- f. The Late Dynastic Period (25th–31st Dynasties)

4. East Africa, c. 2000–332 B.C.E.

- a. Geography
- b. Economy, Technology, Society, and Culture
- c. Kush and Punt
- d. The Kingdoms of Napata and Meroë

5. Syria-Palestine, c. 3500–323 B.C.E.

- a. Geography
- b. Economy, Technology, Society, and Culture
- c. Ebla and Mari
- d. The Land of Canaan
- e. Israel and Judah
- f. The Land of Aram (Syria)

6. Phoenicia, Carthage, and the Phoenician Colonies, c. 1200–322 B.C.E.

- a. Geography
- b. Economy, Technology, Society, and Culture
- c. Phoenicia
- d. Carthage and the Western Phoenician Colonies

7. Asia Minor, c. 3000–333 B.C.E.

- a. Geography
    - b. Economy, Technology, Society, and Culture
    - c. The Hattians and the Hittites
    - d. The Phrygians and the Lydians
    - e. Persian Asia Minor
  - 8. Armenia, c. 1300–331 B.C.E.
    - a. Geography
    - b. Economy, Technology, Society, and Culture
    - c. Urartu (Van)
    - d. Armenia
  - 9. Iran, c. 2700–330 B.C.E.
    - a. Geography
    - b. Economy, Technology, Society, and Culture
    - c. The Elamites
    - d. The Medes and the Persians
    - e. The Persian Empire
  - 10. Arabia, c. 850–332 B.C.E.
    - a. Geography
    - b. Economy, Technology, Society, and Culture
    - c. Northern Arabia
    - d. Southern Arabia
- C. Early Civilizations and Classical Empires of South and East Asia
- 1. South Asia, to 72 B.C.E.
  - 2. South Asia, 72 B.C.E.–500 C.E.
    - a. North India: Punjab and the Gangetic Plain
    - b. The Deccan
    - c. South India
    - d. Ceylon (Sri Lanka)
  - 3. Southeast Asia, c. 500 B.C.E.–500 C.E.
    - a. Funan
    - b. Champa
    - c. Burma (Pagan)

4. China, to 221 B.C.E.

a. Schools of Classical Chinese Thought

5. China, 221 B.C.E.–589 C.E.

6. Korea, to 540 C.E.

7. Japan, to 527 C.E.

a. Geography

b. Ethnology

c. Religion

d. Early Civilization

e. Japanese Historical Mythology

D. Classical Greece and the Hellenistic World

1. The Bronze Age, 3000–1200 B.C.E.

a. Geography

b. The Minoan Civilization

c. Mainland Greece: The Early and Middle Helladic Periods

d. The Late Helladic Period: The Mycenaean Age

e. The Greeks in Asia Minor

2. The Dark Ages, 1200–800 B.C.E.

a. Economy, Technology, Society, and Culture

b. The Dorian Invasion

c. The Aeolian and Ionian Migrations and the Greek Renaissance

3. The Archaic Period, 800–510 B.C.E.

a. Economy, Technology, Society, and Culture

b. Asia Minor and the Aegean Islands

c. Sparta and the Peloponnese

d. Athens

e. Central and Northern Greece

f. Sicily and Magna Graecia

4. The Classical Age, 510–323 B.C.E.

a. Economy, Technology, Society, and Culture

b. The Rise of Athenian Democracy and the Persian Wars

c. The Rise of the Athenian Empire

- d. The First Peloponnesian War
- e. The Second (Great) Peloponnesian War
- f. The Spartan Hegemony
- g. The Theban Hegemony
- h. The Macedonian Empire
- 5. The Hellenistic World, to 30 B.C.E.
  - a. Economy, Society, and Culture
  - b. The Wars of the Diadochi
  - c. Macedon and Greece, to 146 B.C.E.
  - d. The Seleucids and Pergamum
  - e. Parthia
  - f. Bactria
  - g. Ptolemaic Egypt to the Roman Conquest
  - h. Sicily

#### E. Rome

- 1. The Monarchy and the Early Republic, 334 (338)–264 B.C.E.
  - a. Geography and Climate
  - b. The Peoples of Italy
  - c. Economy, Society, and Culture
  - d. The Regal Period
  - e. The Early Republic
  - f. The Conquest of Italy
- 2. The Republic, 264–70 B.C.E.
  - a. Geography and Climate
  - b. Economy, Society, and Culture
  - c. The Punic Wars
  - d. Conquest of the Mediterranean
  - e. Domestic Strife
  - f. War and Politics, to 70 B.C.E.
- 3. Civil War and Renewal, 70 B.C.E.–14 C.E.
  - a. Economy, Society, and Culture
  - b. Military Dynasts and Civil Wars

- [c. Augustus and the Principate](#)
  - [4. The Roman Empire, 14–284 C.E.](#)
    - [a. Geography and Climate](#)
    - [b. Economy, Society, and Culture](#)
    - [c. The Julio-Claudians](#)
    - [d. Early Christianity](#)
    - [e. The High Empire](#)
    - [f. The Third Century](#)
    - [g. The Rise of Christianity](#)
  - [5. The Later Empire, 284–527 C.E.](#)
    - [a. Economy, Society, and Culture](#)
    - [b. Diocletian and the House of Constantine](#)
    - [c. From the Death of Julian to the Death of Valentinian III](#)
    - [d. Christians and Pagans](#)
    - [e. The Later Fifth Century](#)
- [F. The Neo-Persian Empire of the Sassanians, 223–651 C.E.](#)
  - [a. Economy, Society, and Culture](#)
  - [b. Ardashir I to Shapur II](#)
  - [c. Shapur II to the Reforms of Khusrau I](#)
  - [d. Hormizd IV to the Muslim Conquest](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## **II. Ancient and Classical Periods, 3500 B.C.E.–500 C.E.**

### **A. Global and Comparative Dimensions**

#### **1. Origins of Civilizations, 4000–2000 B.C.E.**

In a few areas, **Neolithic** settlements grew in size and complexity, acquiring social organization commonly called **civilization**. This life is characterized by (1) large concentrations of people, usually cities, in central areas (even though the majority of settlements remained rural); (2) hierarchical social and political structures, usually with states and priesthoods; (3) economic specialization and organized societal division of labor; and (4) formal methods of permanent record keeping using some form of writing. <sup>1</sup>

##### **a. Emergence of First Civilizations**

The first known civilizations developed in three river valley systems in Eurasia: (1) **the Tigris-Euphrates Valley** (Mesopotamia); (2) **the Nile Valley** (Egypt); and (3) **the Indus Valley**. Changing environmental conditions, population pressures, and the evolution of available technologies are possible reasons for the emergence of civilized societies. Each society experienced a long transition during which techniques of maintaining large-scale societies were developed. Remains of **temples** and palaces reflect the emergence of priestly and political managerial classes. These societies utilized technologies of **irrigation** to manage water resources and skills in metallurgy made new materials like **bronze** available. <sup>2</sup>

The earliest civilization was in the region of **SUMER** in southern Mesopotamia. By 3000 B.C.E., the first cities controlled relatively large areas and built great temple structures called **ziggurats**. In **EGYPT**, the **protodynastic** unification of the northern and southern regions occurred by about 3000 B.C.E. **INDUS VALLEY** civilization began somewhat later, but by 2500 B.C.E., the two great cities of **Harappa** and **Mohenjo-Daro** were well established. <sup>3</sup>



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [Later Primary Civilizations](#)

In other regions, civilized societies developed independently but later than the early river valley civilizations. The origins of **CHINESE CIVILIZATION** are in the agricultural societies in the northern Chinese **YELLOW RIVER VALLEY**. The **loess soil** of the region provided a fertile basis for agriculture using labor-intensive methods of garden cultivation. Irrigation was not a major element, but flood control was a significant activity. Civilized life developed out of expanding Neolithic villages around 2500–2000 B.C.E. Chinese tradition describes this time as an era of rule by five Heavenly Emperors who were succeeded by the human rulers of the **Xia dynasty** (See [2357–2256 B.C.E.](#)). Scholars assume that some formal state existed by 2000 B.C.E., but little direct evidence of the Xia exists. The **Shang dynasty**, which controlled northern China by the 1500s B.C.E., is the first for which clear archeological evidence exists. Its capital, **Anyang**, was a major city by 1300 B.C.E.

**MESOAMERICAN CIVILIZATIONS** in the areas of modern Mexico and Guatemala and **ANDEAN CIVILIZATIONS** started in complex agricultural communities that developed possibly as early as 2500 B.C.E. Distinctive crops, especially corn, and, in the Andes, potatoes, along with the absence of major domesticated draft animals made the emerging civilizations quite different in character from those in the Eastern Hemisphere. The **OLMECS** created the first major Mesoamerican urban society by c. 1200 B.C.E., with large stone structures and statues and ceremonial centers with some urban functions (See [Olmec](#)). Olmec civilization disappears from the historical record by 400 B.C.E. but its heritage may have influenced the **MAYA CIVILIZATION** which flourished from c. 200–800 C.E., followed by a long decline (See [Teotihuacán](#)).

In the Andes region in Peru, the **Chavin** developed a powerful urban-based state by c. 1000 B.C.E. which flourished until c. 200 C.E. This was followed by division of the region into smaller states that were not brought together again until the **Inca Empire** in the 15th century C.E.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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### c. [Early, Complex Nonurban Societies](#)

The development of agricultural productivity and complexity did not inevitably lead to the emergence of civilizations. In many areas, complex, hierarchically organized societies developed that did not create cities or develop formal writing systems. They are not formally identifiable as civilizations but are more developed than the simple Neolithic agricultural settlements. In Southeast Asia, in the **Khorat Plateau** region of modern Thailand, archeological evidence from **Ban Chiang** and **Non Nok Tha** shows that by c. 2000 B.C.E. villagers were producing sophisticated ceramics and cast bronze tools, as well as developing techniques of rice paddy cultivation, which may have influenced the later evolution of agriculture in Chinese civilization. <sup>1</sup>

In continental North America, large **mound builder societies** began by c. 1500 B.C.E. in the lower Mississippi Valley (See [North American Chiefdoms](#)). The great ceremonial center and cluster of villages at **Poverty Point**, in Louisiana, may have contained more than 5000 inhabitants by 1000 B.C.E. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## d. [Comparisons](#)

Civilized societies show many similarities and differences. 1

**Civilizations and river valleys.** Origins of civilization were frequently identified with river valleys in early modern historical scholarship. Some scholars felt that irrigation was the necessary catalyst for creating a hierarchical society of dominant managers. While this may have been true for the cases of the three earliest civilizations, further study of early **Chinese civilization** shows that irrigation-based agriculture did not play a major role in developing hierarchical institutions, and the absence of major river valleys in **Mesoamerica** and the region of the **Andes civilization** brought an end to the old “river valley theory” of the origins of civilization. 2

**Cities** took different forms in ancient societies but were distinguished from the agricultural village. Cities were generally significantly larger and contained a cosmopolitan population consisting of more than a cluster of kinship-defined clans. The city had a clearly defined nucleus of settlement, often marked with a wall, that separated it from its related agricultural hinterland. It had institutions that are identified with the city as a unit, and these municipal institutions in ancient cities included temples and grand monuments, palaces, markets, and the defense structures like walls. Cities in **Sumer** and the **Indus Valley** most completely fit this definition, while the large population centers in ancient **Egypt** were more palace-temple complexes and had structures that were less clearly municipal. In **China**, there is no evidence of true cities until the **Shang dynasty** (See [2357–2256 B.C.E.](#)), but the Shang capital, Anyang, was a major city of the ancient world. In early **Mesoamerican** and **Andean civilizations**, the major population centers were similar to those in Egypt, being more ceremonial centers of power than true urban areas. At the extreme, clusters of villages around ceremonial monuments distinguished the early **mound builder societies** and showed their character as complex, nonurban societies. 3

**Agriculture** provided another area of diversity among the early civilizations, with each being associated with a distinctive cluster of products and methods. **Sumer, Egypt,** and the **Indus Valley** society were similar in terms of the basic crops grown, which were standard grains like wheat and barley, and the field method of cultivation using plows. 4

**Irrigation** in Sumer and the Indus Valley required utilization of canals and levees to control and distribute river waters that could otherwise cause significant damage. In Egypt, **basin irrigation** simply channeled water into fields because Nile floods were less violent and in cycle with the growing season. In **China**, the primary early crop was millet, with rice being introduced later. The basic method for garden cultivation did not include the use of a plow or draft animals and gave a distinctive tone to Chinese society. In the Western Hemisphere, the lack of available draft animals and cattle for domestication gave increased importance to distinctive crops like corn and potatoes. In Mesoamerica, water control involved creating fields from swamps by building raised plots or **chiampas**, and in the larger areas, older methods of slash-and-burn agriculture were continued.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [The Growth of Civilizations, 2000–300 B.C.E.](#)

**Periodization** of world history, after the formative period of agricultural civilizations, focuses mainly on the **integration of larger regional units**, based in turn on **commercial, cultural, and political interactions**. The stages of integration in the Eastern Hemisphere mark the main periods of ancient history from 2000 B.C.E. onward, culminating in the great classical empires. Subsidiary themes in periodization involve the main civilizations spreading influence and the major centers making commercial and cultural contacts from China to the Mediterranean. 1

### a. [The Creation of Regionally Unified Societies](#)

The civilizations in the Eastern Hemisphere interacted with their surrounding societies through **trade, conquest, and migrations of peoples**. Civilizations grew from smaller temple- or city-states into regional **empires**. Egypt (See [c. 3100–2686](#)) was unified by 3100 B.C.E. by the conquests of **Narmer**, and the state remained concentrated in the Nile Valley during the **Old Kingdom** (to 2200 B.C.E.) and **Middle Kingdom** (c. 2100–1800 B.C.E.). In the **New Kingdom** (c. 1570–1050 B.C.E.), however, Egyptian rulers expanded into Southwest Asia, as well as farther south into East Africa. In **Mesopotamia** around 2350 B.C.E., **Sargon I of Akkad** conquered the city-states of the Tigris-Euphrates Valley, creating a unified regional empire (See [2371–2190](#)). His empire was short-lived but others followed, maintaining broader regional unity under increasingly large and better organized empires. In the **Indus Valley** (See [South Asia, to 72 B.C.E.](#)), the political structure is not clear from the surviving evidence, but the similarities of the great cities of **Harappa** and **Mohenjo-daro** indicate significant cultural uniformity if not political unity. However, this regional society declined and collapsed as a result of natural changes and disasters and nomadic invasions in 1600–1200 B.C.E. The regional civilization was replaced by a society dominated by **ARYAN** herding peoples. They established a society with regional cultural unity under temples and a priestly **Brahman** class by c. 800 B.C.E. but did not achieve political unity. **SHANG** rulers established a regional empire in northern China (c. 1800–1122 B.C.E.), and expansion into southern China continued under 2

the early (western) **Zhou** dynasty (1122–c. 770 B.C.E.). Trade and movements of peoples also expanded the civilized lifestyle into new areas. The **MINOAN CIVILIZATION** (See [c. 3000–2200](#)) emerged on the island of Crete by c. 3000 B.C.E. as a result of contacts with Egypt and Mesopotamia. Its capital, **Knossos**, became the capital of a sea-based trade empire which brought civilization to the mainland of Greece and elsewhere in the Mediterranean.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## b. [Civilizations and Nonurban Societies](#)

Commercial and military contacts with surrounding peoples resulted in the formation of distinctive societies. “**Barbarians**” often successfully invaded civilized states, and this interaction was part of the expansion of civilization into new regions. <sup>1</sup>

### 1700–1300 B.C.E

**War Chariot invasions.** The development of the two-wheeled war chariot among “barbarians” around 1700 B.C.E. resulted in conquests of major civilized societies. <sup>2</sup>  
**HYKSOS** charioteers conquered Egypt (See [1786–1552](#)) and ruled it from 1730–1570 B.C.E. **Kassite** (See [c. 1700–1600](#)) charioteer invaders successfully invaded Mesopotamia around 1700 B.C.E. and formed the first of a series of **charioteer empires** there. In China, the **Shang dynasty** used war chariots as they established control. The **Aryan** invaders of India were also charioteers. The end of the Minoan civilization around 1400 B.C.E. opened the way for the chariot warriors of **Mycenae**, on the Greek mainland, to emerge as the dominant force in that region.

### c. 1000 B.C.E

**New migrations and conquests.** Charioteer dominance was broken by new peoples with new technologies in many areas. In the Middle East, often in association with the development of **iron tools and weapons**, new peoples conquered much of the region. <sup>3</sup>  
**Hittites** in Anatolia and groups like the **Philistines** in the eastern Mediterranean coastal areas established powerful states, while old centers of civilization in Egypt and Mesopotamia experienced repeated invasions. The climax came with the establishment by 665 B.C.E. of the new **ASSYRIAN EMPIRE** (See [668–627](#)). Many of these groups were **INDO-EUROPEAN**, coming from central Eurasia and migrating into Europe and South Asia as well as the Middle East. These included the **Aryans** in India and the

**Dorians** in Greece. The **Zhou** conquerors of China in the 11th century B.C.E. came from Central Asia, and may have been forced out by Indo-European migrations.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Axial Period](#)

Increasing interregional trade, development of political institutions capable of ruling large areas, and emergence of new world-views transformed the ancient civilized societies of the Eastern Hemisphere. The result was the existence by 300 B.C.E. of distinctive regional civilizations in China, South Asia, the Middle East, and the Mediterranean basin. <sup>1</sup>

The transformation of ancient societies was accompanied by important redefinitions of world-views in the civilized regions. Thinkers created the “axes” around which philosophical and religious thought revolved for the next two thousand years. <sup>2</sup>

**Ethical monotheism** in the **Middle East** was developed especially by **ZARATHUSTRA** or **Zoroaster** in eastern Persia, probably about 600 B.C.E. but possibly earlier; Zoroastrianism (See [Economy, Technology, Society, and Culture](#)) spread in the **Persian Empire** starting in the 6th century B.C.E. Ethical monotheism also arose among the **HEBREW PROPHETS** in **Palestine** (See [c. 1020–1000](#)), starting in the 8th century B.C.E. and spreading as Jewish people migrated in later classical empires. <sup>3</sup>

**HINDU** traditions of belief and social organization developed in the emerging Aryan society of India, with the early sacred hymns or **Vedas** and the **Brahman** priesthood providing the foundations by 700–500 B.C.E. The composition in the 8th to the 4th centuries B.C.E. of the **Upanishads** (See [800–c. 550](#)) provided systematic interpretation of the Vedas and are the foundation for much of later Indian philosophical thought. <sup>4</sup>

**BUDDHISM** (See [550–321](#)) developed in India in these same centuries, beginning with the teaching career of **GAUTAMA SIDDHARTHA, the BUDDHA** (c. 542–483 B.C.E.), as a rejection of Brahman dominance and the caste system. The development of Hinduism and Buddhism created the distinctive world-views of Indian civilization by the end of the Axial era. <sup>5</sup>

**CONFUCIUS** (See [Confucianism](#)) lived during the 6th century B.C.E. in China, in a time of great political instability as the **Zhou dynasty's** control disintegrated. His teachings provided a philosophical base for social loyalty and obedience. At this same time, other world-view alternatives were defined. Among them were **DAOISM** (See [Daoism](#)), which is usually traced to the legendary teacher **Laozi** who lived around 600 B.C.E., the egalitarian teachings of **Mo-Zi** (c. 471–391 B.C.E.), and the authoritarian **LEGALISM**, <sup>6</sup>

most fully articulated by the later **Han Fei** (d. 233 B.C.E.).

**GREEK PHILOSOPHY** represents the intellectual culmination of the transformations in the eastern Mediterranean societies of the Mycenaeans and Dorians. **Socrates** (469–399 B.C.E.), **Plato** (427–327 B.C.E.), and **Aristotle** (384–322 B.C.E.) provided the basis for the main traditions of Greek philosophy emerging from the Axial age (See [Economy, Technology, Society, and Culture](#)).

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Classical Civilizations, 300 B.C.E.–500 C.E.**

#### **300 B.C.E.–200 C.E**

**THE ECUMENE**, a continuous belt of urban societies and networks of trade and ideas, emerged in the Eastern Hemisphere. Important features of this ecumene were the great empires, which provided large, secure areas for trade and the wealth and power necessary for basic economic development and political stability. <sup>1</sup>

#### **300 B.C.E.–500 C.E**

**GREAT CLASSICAL EMPIRES.** Regional civilizations in the Eastern Hemisphere were politically unified by major imperial systems in the classical era. Commercial and technological developments had made such large political systems feasible, while shared cultures both facilitated and benefited from the empires. These empires provided a foundation in most regions for a sense of civilizational identity. <sup>2</sup>

### a. The Middle East

The Middle East was the first region to be brought under the control of a single empire, and a long imperial tradition of regional control was established. 1

#### 935–612 B.C.E

**ASSYRIAN EMPIRE** gained control of both Mesopotamia and Egypt by 665 B.C.E. 2

#### 550–330 B.C.E

**PERSIAN EMPIRE**, established by **Cyrus the Great** (556–530 B.C.E.), reestablished full regional control after the end of the Assyrian Empire. The empire was defeated by **Alexander the Great** (356–323 B.C.E.), whose conquests laid the foundations for a number of imperial states in Greece, the Middle East, and central Asia. 3

#### 330–30 B.C.E

**ALEXANDER'S SUCCESSOR STATES.** The **Seleucid** successors to Alexander's generals controlled most of the Middle East, except for Egypt from 305–64 B.C.E. Egypt was ruled by the descendants of Alexander's general, **PTOLEMY** (367–283 B.C.E.), until the Roman victory in 30 B.C.E. 4

#### 312 B.C.E.–651 C.E

**PERSIAN EMPIRES.** 5

## 312 B.C.E.–226 C.E

**Parthian Empire** (See [247, 238?–211](#)) was established in the eastern regions of the Middle East after the death of Alexander the Great; it expanded until it controlled most of the region except for Egypt and the Mediterranean coastal societies, which by the end of the 1st century B.C.E. had come under Roman control. 6

## 226–651 C.E

**Sassanid Empire** (See [Economy, Society, and Culture](#)) replaced the declining Parthian state and reestablished effective regional control until falling to the **Muslim** conquests in the 7th century. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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### **[b. The Mediterranean Basin](#)**

Imperial unification of the Mediterranean basin came gradually and was associated with a single imperial system. <sup>1</sup>

The **ROMAN EMPIRE** (See [Geography and Climate](#)) began as a republican city-state in Italy around 500 B.C.E. By the end of the 2nd century B.C.E. it had gained control of all of Italy, Greece, and the Iberian Peninsula. By the 1st century C.E. it controlled all of the Mediterranean basin and much of western Europe. This unity lasted until the fall of Rome to nomadic invaders in the fifth century, although this invasion had been preceded by a long period of loss of control in many areas and a formal division of the Empire into eastern and western sections. The tradition of Roman unity provided a strong sense of identity to western civilization but also contributed to ideas of empire in eastern Europe. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)



### **c. [Chinese Imperial Unity](#)**

In 221 B.C.E., **Shi Huangdi** of the **QIN** dynasty conquered all of the rival states that had emerged in the later **Zhou Empire**. Qin control did not survive Shi Huangdi's death, but imperial unification was reestablished in 202 B.C.E. by the **HAN dynasty**. By the time the Han Empire disintegrated in the 3rd century C.E., a clear sense of Chinese unity had been established, and it survived nearly four centuries of division until the reunification of China under the **SUI dynasty** in 589 C.E. <sup>1</sup>

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## d. [Indian Empires](#)

**Hinduism** (See [Hinduism](#)) provided a strong basis for the social order in India that was less identified with imperial political structures than in the other regional civilizations. Temple organizations and the **caste system** were effective alternatives to the control of kings. However, India did experience major imperial unifications (See [327–325](#)). <sup>1</sup>

### 322–184 B.C.E

**MAURYAN EMPIRE.** The defeat of local states by Alexander in 327–324 B.C.E. opened the way for unification of northern India by imperial conquest. <sup>2</sup>

### 322–298 B.C.E

**CHANDRAGUPTA MAURYA** conquered much of northern India, creating the basis for the Mauryan Empire. <sup>3</sup>

### 268–232 B.C.E

**REIGN OF ASHOKA,** Chandragupta's grandson, represented the high point of Mauryan power and a time of official support for Buddhism. After Ashoka's death, dynastic rivalries, civil unrest, and a revival of Hinduism led to five centuries of political disunity. <sup>4</sup>

### 78–180 C.E

**KUSHAN EMPIRE** was the strongest state in the era of instability. Based in central Asia and modern Afghanistan, it controlled northern India under **Kanishka** (r. 78–96 C.E.), who aided the expansion of **Buddhism** in central Asia.

5

### 320–535 C.E

**GUPTA EMPIRE** (See [South Asia, 72 B.C.E.–500 C.E.](#)) revived Indian imperial unity. Gupta rulers gave support to Brahmans and Hinduism. The empire disintegrated in the face of invasions from central Asia, especially in 500–535 C.E.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Expansion of the Ecumene](#)

The zone of urban societies, trade networks, and large states expanded beyond the core regions of the major civilizations in the classical era. Some of this was the result of imperial conquests, but more was the result of expanding trade networks and the growing communities based on the great religions of the Axial era. <sup>1</sup>

### 1. Africa

#### 1000–591 B.C.E

**KUSH.** New Kingdom Egyptian expansion south in the Nile Valley created the Nubian state of Kush. Kush became independent around 950 B.C.E. and then conquered Egypt where Kushites ruled as the **25th Dynasty** (751–656 B.C.E.). After the Assyrian conquest of Egypt, the Kushite Empire continued in Nubia, developing a distinctive culture and urban society with its capital in **Napata**. <sup>2</sup>

#### 591 B.C.E.–350 C.E

**MEROË** (See [591 B.C.E.–350 C.E.](#)), the successor to Napata, was the center of a state which engaged actively in trade with the Mediterranean world and was a major producer of iron implements in a developing trade in Africa. <sup>3</sup>

### 1st to 6th Centuries C.E

**KINGDOM OF AXUM** (See [591 B.C.E.–350 C.E](#)) developed in the Ethiopian highlands. <sup>4</sup>  
Trade with India and Mediterranean areas and Greek and Arabian cultural influences created a prosperous state which conquered Meroë. The conversion of the king to Christianity around 350 C.E. laid the basis for the long-lasting Ethiopian Christian culture.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **4. The Spread of Religions, 300 B.C.E.–500 C.E.**

Many of the world-views that emerged during the Axial period spread across the boundaries of civilizations, creating new communities with shared ideals. These new-style communities combined urban and herding societies and spread throughout the Eastern Hemisphere, providing new bases for interregional relations. 1

##### **a. The Spread of Hellenism**

Hellenism's spread outward from the Greek city-states received a major impetus from the conquests of **Alexander the Great** (See [336](#)) late in the 4th century B.C.E. From the Mediterranean basin to northern India, Alexander's forces aided the spread of Hellenistic ideas, urban structures, and political concepts. For three centuries, the successor states to Alexander's empire developed Hellenistic institutions and ideas in the Middle East, making them an important part of the general cultural framework in that region. In northern India and central Asia, Greek themes blended with local traditions creating distinctive cultural syntheses. This blend, which was reflected in art and sculpture, reached a high point in the Buddhist sculpture of **Gandhara** in the 1st century C.E. Hellenistic artistic influence has been traced as far east as China. 2

##### **509–44 B.C.E**

The **ROMAN REPUBLIC** emerged as the dominant force in the Mediterranean basin. Roman culture was strongly influenced by Hellenism, especially after the Roman conquest of Greece in the 2nd century B.C.E. In general terms, the Roman Empire was a distinctive but clearly Hellenistic society by the 1st century B.C.E. Hellenism provided at least some important artistic and cultural themes for societies all across the Eastern Hemisphere. 3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Buddhism

Buddhism (See [South India](#)) spread both north and south from India. Official support from the Mauryan ruler **Ashoka** in the 3rd century B.C.E. and the active sending of missionaries encouraged the spread of Buddhism. 1

### 200 B.C.E.–500 C.E

**THERAVADA BUDDHISM** was the early Buddhist form, and it spread to southern India, Sri Lanka, and ultimately to the mainland territories and islands of Southeast Asia. 2

### 1st Century C.E

**MAHAYANA BUDDHISM** developed as a distinctive form of the faith in central Eurasia and later China (See [200](#)). Buddhist merchants and teachers interacted with Greeks and Persians in central Asia and the Middle East, and Buddhism spread through diaspora communities of merchants in many regions along the **Silk Roads**. It was brought to China by the 1st century C.E., gradually winning converts and becoming very powerful following the collapse of the Han dynasty. By 500 C.E., Buddhism was an important force throughout more than half of the Eastern Hemisphere. 3



### c. [Hinduism](#)

Hinduism successfully transformed itself in the face of social change in India and competition from other world-views, especially Buddhism. By 500 C.E. Hinduism was the dominant world-view in India (See [c. 274–c. 236](#)). Although it was not formally a missionary religion, its concepts and rituals spread with Indian merchants into Southeast Asia where by 500 C.E. it became an important part of the world-views of royal courts in Cambodia, Java, and elsewhere in the region (See [Southeast Asia, c. 500 B.C.E.–500 C.E.](#)).

1

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### d. [The Expansion of Christianity](#)

Christianity began in the eastern Mediterranean at the heart of the Hellenistic world among Jewish communities and in the context of the **Roman Empire**. It spread throughout the Mediterranean basin and in Roman western Europe, competing with a variety of other popular religions. As Christianity spread, it took a number of distinctive forms.

1

#### 312–395 C.E

**ROMAN WESTERN CHRISTIANITY** received official toleration and support from emperors, leading to the Roman Empire becoming formally Christian. The Western Church was centered in **Rome** where the Bishop of Rome as **Pope** claimed authority over all Christians. The Roman-led Church expanded into western Europe and became the dominant world-view in the whole region by the 7th to 8th centuries.

2

#### 330–451 C.E

**EASTERN ORTHODOX CHRISTIANITY** developed in the older cities in the eastern Mediterranean and had its center in Constantinople, proclaimed the capital of the **Eastern Roman Empire** in 330 C.E. The Eastern Church did not accept the primacy of the Bishop of Rome and developed doctrinally distinctive positions. It was the official church of the Byzantine Empire and spread through missionary activity into the Middle East and the Balkans. By the 6th century C.E. the Eastern Church was the dominant church in those regions.

3

#### 451 C.E

**NESTORIAN CHURCH** emerged as the independent tradition after the **Council of Chalcedon**. This was part of the development of distinctive Christian church traditions in Egypt and Ethiopia in Africa, in the territories of the Sassanid Empire, and eventually in central Eurasia.

4

## 200 C.E.–500 C.E

**THE CLASSICAL ECUMENE** developed as an interacting set of empires, religious communities, trade networks, and migrating peoples. Although imperial systems collapsed in many areas by 500 C.E., the broader ecumene continued to expand.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **B. Kingdoms of Western Asia and Africa, to 323 B.C.E.**

### **1. Periodization**

The early civilizations of western Asia and northeast Africa took shape in the 4th millennium B.C.E. Two major centers arose in Mesopotamia and Egypt, each with quite different characteristics but recurrent contacts in war, trade, and culture. Mesopotamian history was marked by recurrent invasions plus the formation of new empires and smaller kingdoms; societies in contact with this civilization center fanned out in North Africa (Carthage) and Asia Minor. The long period in the histories of both western Asia and Egypt extends from the formation of civilizations to the conquests first of the **Persians**, then of **Alexander the Great**. 1

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## [2. Mesopotamia, c. 3500–539 B.C.E.](#)

### [a. Geography](#)

**Mesopotamia** lay between and around the Euphrates and Tigris Rivers. The region reaches from the **Taurus Mountains** to the Persian Gulf and from the Syrian Desert to the **Zagros Mountains** and splits into Upper and Lower Mesopotamia at the point where the rivers come closest together, near ancient Babylon and modern Baghdad. **Upper Mesopotamia** is a large piedmont zone flanked by semiarid highlands. In the west, the **Balikh** and the **Khabur** flow south to the Euphrates, and in the east, the **Great Zab** and the **Little Zab** flow west from the Zagros into the Tigris. **Lower Mesopotamia** is an alluvial plain, and the Tigris and Euphrates form frequent lakes and marshes. The ancient shoreline of the **Persian Gulf** probably lay farther north than at present. 1

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **[b. Economy, Technology, Society, and Culture](#)**

The **staple crops** in Mesopotamia were wheat and barley, along with the date palm. Drainage canals and irrigation works made the interior plain of Lower Mesopotamia **highly productive**, but irrigation led to **salinization** of the soil and decreased arable land. In Upper Mesopotamia the rivers flow through deep valleys, and irrigation of the interior was not possible. Agriculture was confined to the river valleys, and the interior was used primarily for **pastoralism** (See [First Farmers in the Near East](#)). The region had few natural resources, except **bitumen**, but finished goods, such as textiles and metalwork, were exported. Originally, economic activity centered around **temples**, but eventually, kings and private individuals engaged in large-scale agriculture and trade. 1

Technological advances in Mesopotamia during the early civilization period (by 3000–2500 B.C.E.) included the **use of bronze** for tools and weapons. Copper had been introduced earlier, but mixing it with tin for bronze created much stronger equipment; bronze use also prompted wider trade relations to gain access to metal ores. The **introduction of plows** increased crop yields. The **wheel** was probably imported by migrants from central Asia like the early Hurrians (See [c. 1700–1500](#)). The **potter's wheel**, invented by 6000 B.C.E., was further improved, an early sign of craft specialization. 2

**Architecture** was sophisticated, but since most building was done in **mud-brick**, examples have not survived as well as stone counterparts in Egypt and Greece. Immense **ziggurats** (stepped temple platforms) and large palaces were built, and even private houses had drainage systems. **Writing** first developed in Mesopotamia. Its origins lay in **clay tokens**, used to count cattle as early as the 8th millennium. True writing (as opposed to pictographs) appeared around 3500 B.C.E. Writing was done on clay with sharp reeds, producing the wedgelike **cuneiform** script. Originally used to write Sumerian, cuneiform was later adapted to Akkadian, Elamite, Hittite, Hurrian, Eblaite, Ugaritic (Canaanite), and Old Persian. Many Sumerian and Akkadian myths survive, the best known being the **Gilgamesh Epic**, describing the legendary exploits of a king of Uruk, fragments of which go back to the early second millennium. The **King Lists** provide important historical material, running, with some gaps, from around 2700 down to the 1st century B.C.E. Economic and legal texts, letters, and scholarly works such as dictionaries, grammar 3

books, and mathematical texts also survive. Mathematical texts contain tables of cube roots, exponential functions, and **Pythagorean numbers**. The Sumerians and Akkadians normally used a **sexagesimal** numbering system, the basis of our division of the hour and minute into 60 units.

Mesopotamian society was organized around **city-states**. In early Sumerian times, a priest-king (*en*) ruled as a representative of the city's god, assisted by an assembly of citizens or elders. Later, as multicity states formed, a king (Sumerian *lugal*, Akkadian *sharrum*) reigned, and each individual city was administered by a governor (*ensi* or *ishiakkum*). Sumerian and Akkadian religion eventually formed a **common pantheon**, and most gods had both a Sumerian and an Akkadian name. **An** (Akkadian **Anu**) was the first king of the gods, later replaced by the Lord of the Air, **Enlil**, and ultimately by **Marduk**, the city god of Babylon. Other major gods were **Enki (Ea)**, god of wisdom; **Ninmah**, mother of all life; **Nanna (Sin)** the moon; **Utu (Shamash)** the sun; **Inanna (Ishtar)** the star Venus; her husband, the shepherd god **Dumuzi (Tammuz)**; and **Ninurta (Adad)**, the god of war. During the five-day New Year's festival (Sumerian *zagnuk*, Akkadian *akitu*), a **sacred marriage** was performed between Enlil (later Marduk), in the person of the king, and a priestess representing Inanna/Ishtar, ensuring fertility and the return of spring.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## c. [The Sumerians and the Akkadians](#)

### c. 3500–2900

#### THE PROTOLITERATE PERIOD.

1

### c. 3500–3100

**THE URUK CULTURE.** It is uncertain whether the **Sumerians** were native to Mesopotamia or if they migrated into the region from the east or south sometime after 4000 B.C.E. In any case, **Semitic** (Akkadian) elements in the earliest texts suggest an early mixing of ethnic groups. In the **Uruk period**, the population of Sumer was probably several hundred thousand, with some settlements large enough to be called cities (over 10,000 in population). The stepped temple platform (**ziggurat**) and **cylinder seals** so characteristic of Mesopotamian culture developed. The **first known writing**, a small limestone tablet, comes from Kish and is dated to c. 3500. At Uruk several hundred clay tablets have been found, most dating to c. 3200–3100. These, like the tablet from Kish, are too primitive to be read, but appear to be **economic documents**.

2

### c. 3100–2900

**THE JEMDET NASR CULTURE (Early Bronze Age).** Tablets from Jemdet Nasr sites are clearly written in **Sumerian**, and almost all are economic texts. **Bronze** was first utilized in Mesopotamia and there is evidence of **extensive overseas trade**. Mesopotamian influence appeared in predynastic Upper Egypt, the so-called **Mesopotamian Stimulation** (See [c. 3500–3100](#)).

3

### c. 2900–2370



## THE EARLY DYNASTIC PERIOD.

4

### 2900–2700

**EARLY DYNASTIC I.** The **Sumerian King List** names eight antediluvian kings who reigned for tens of thousands of years, but it is not known if these names have any **historical basis**. The **royal tombs of Ur** contain the graves of **Meskalamdug** and **Akalamdug**, among others, which probably date to this period.

5

### 2700–2600

**EARLY DYNASTIC II.** According to the King Lists, the first dynasty after the Great Flood (recorded in the **Gilgamesh Epic**) was the **1st Dynasty of Kish**. The last two kings, **Enmebaragesi** and his son **Agga**, are the first rulers attested in contemporary inscriptions. According to the King List, “kingship” (*namlugal*) then passed to the **1st Dynasty of Uruk**, which included **Enmerkar**, **Lugalbanda**, and **Gilgamesh**, heroes of epic tradition, and finally to the **1st Dynasty of Ur**. Epigraphic evidence, however, shows that these dynasties (and a dynasty at Mari) were all contemporary and date to c. 2700–2600 B.C.E. Many rulers known from contemporary inscriptions are not found in the King Lists.

6

### 2600–2370

**EARLY DYNASTIC III.** The King Lists record eleven more dynasties before **Sargon of Akkad**, but, except for the **3rd dynasty of Uruk**, little is known of them, and many were probably contemporaneous. The **1st Dynasty of Lagash** (Telloh) is well known from inscriptions, though not mentioned in the King List. It started with **Mesilim** (c. 2600), but it was **Eannatum** (c. 2500) who conquered much of Sumer, extending Lagash's power into Elam and Mari. **Uru-inim-gina** of Lagash (2378–2371) was the earliest known social reformer: he established “**freedom**” (*amargi*) in the land, the first recorded use of the term in a political sense. The **3rd Dynasty of Uruk** had only one king: **Lugal-zagesi** (2371–2347). Beginning his career as Governor (**ensi**) of Umma, he defeated Lagash and took the title **King of Uruk**. Lugal-zagesi claimed to rule from the Persian Gulf to the Mediterranean, though this is doubtful. Under his rule, Akkadians began to rise to high positions in government. The **population of Mesopotamia** probably reached half a million in this period.

7

## 2371–2190

**THE DYNASTY OF AKKAD.** **Sargon the Great** (Sharru-kin, 2371–2316) rose from obscure origins to become cupbearer to **Ur-zababa**, king of Kish. Rebellious, he built the city of Agade or **Akkad** (whose site has not been located) and proclaimed himself king. After defeating **Lugal-zagesi of Uruk** (c. 2347), he conquered the rest of Sumer. Sargon installed his daughter **Enheduanna** as high priestess at Ur. Enheduanna's hymns to Inanna have survived, making her history's **first known author**. Sargon went on to conquer Upper Mesopotamia, the **Amorites** (Amurru or “Westerners”) in Syria, Elam, and Subartu (Assyria). Later legends fancifully describe conquests of Anatolia and Crete, but Sargon's empire certainly ranged from the Persian Gulf to the Mediterranean. Sargon's sons **Rimush** (2315–2307) and **Manishtushu** (2306–2292) faced constant revolts: both died in palace coups. **Naram-Sin** (2291–2255) brought the kingdom of Akkad to its zenith. He was the first Mesopotamian king to claim divinity, as well as the first to be called “**King of the Four Quarters**” (that is, the World). Defeating the powerful state of **Ebla** in Syria, he extended his empire to Anatolia. Under **Shar-kali-sharri** (2254–2230), **Gutian tribes** from the Zagros began raiding into Mesopotamia. Shar-kali-sharri was assassinated, and after him came a period of anarchy. An independent **4th Dynasty of Uruk** broke away and ruled parts of Lower Mesopotamia. Around 2190, Akkad fell to the Gutians.

8

## c. 2230–2114

**THE GUTIANS.** The King List records 21 Gutian kings, though most of them were probably local chiefs with only limited authority. Some cities, such as **Lagash** and **Uruk**, became independent, though their rulers retained the title of governor (*ensi*). **Gudea** of Lagash left inscriptions which contain the most important texts in **classical Sumerian**. Around 2114, **Utu-Hegal** of Uruk (2120–2114), drove the Gutians out of Sumer but died soon after.

9

## 2113–2004

**3rd DYNASTY OF UR: The Sumerian Renaissance.** **Ur-nammu** (2113–2096) of Ur proclaimed himself king and soon conquered all of **Sumer and Akkad**. He built and renovated many public buildings, including the enormous **temple of Nanna** at Ur, best preserved of Mesopotamian ziggurats. Ur-nammu, whose stated purpose was to establish “**justice in the land,**” is best known for his law code. The reestablishment of central control led to a rise in **population**: Mesopotamia probably had about one million

10

inhabitants at the beginning of the second millennium. **Shulgi** (2095–2048) brought the empire of Ur III to its height. He conquered Elam and Upper Mesopotamia and, like the Akkadian kings, he proclaimed himself the divine “**King of the Four Quarters.**” **Shu-Sin** (2038–2030) built a 150-mile-long wall between the rivers to defend against the encroaching **Amorites**. Nevertheless, in the reign of **Ibbi-Sin** (2029–2006) the Amorites invaded and established independent states in Lower Mesopotamia. In 2025, **Larsa** became autonomous under Naplanum, and in 2017 Ishbi-Erra established a dynasty at **Isin**. Eshnunna and Elam also broke away. In 2004, the Elamites attacked and destroyed Ur (See [2230–c. 1925](#)).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. [The Amorite Kingdoms](#)**

**2004–1763**

**THE ISIN-LARSA PERIOD.**

1

**2017–1794**

**THE DYNASTY OF ISIN.** Late in his reign, **Ishbi-Erra** (2017–1985), king of Isin, drove the Elamites from Ur. **Ishme-Dagan** (1953–1935) was a social reformer, and **Lipit-Ishtar** (1934–1924) left behind an important early **law code**. After nine more kings, **Damiq-ilishu** (1816–1794) ruled as the last king of Isin.

2

**2025–1763**

**THE DYNASTY OF LARSA.** **Naplanum** was king of Larsa from 2025–2005, but it was **Samium** (1976–1942) who established Larsa as a rival power to Isin. After a dynasty of ten more kings, **Rimsin** (1822–1763) brought Larsa to its largest extent, defeating Damiq-ilishu of Isin and **unifying Lower Mesopotamia**.

3

**c. 2000–1763**

**Amorite and Elamite Dynasties.** While not mentioned in the King List, inscriptions show an **independent dynasty at Eshnunna**, some with Elamite names. Indeed, under **Naram-Sin** (c. 1830), Eshnunna and Assyria may have been united. Other independent Amorite dynasties ruled in Kazallu, Sippar, Uruk, Kish, Marad, and, most importantly, **Babylon**.

4

## c. 1900–1741

### OLD ASSYRIAN PERIOD.

5

## c. 1900–1813

**THE DYNASTY OF PUZUR-ASHUR.** The Assyrians probably originated as a nomadic tribe. The city of **Ashur** (Qalat Sharquat) is first mentioned in the reign of Sargon of Akkad (c. 2350). Around 1950 **Puzur-Ashur I** built the city's wall, and c. 1900, an Assyrian **trading colony** (*karum*) was established at **Kanesh** in Anatolia, where tens of thousands of cuneiform tablets have been discovered. The Assyrian king **Naram-Sin** (c. 1830) may be the same as a contemporaneous king **Naram-Sin of Eshnunna**, and the two kingdoms may have united under him. In any case, Naram-Sin expanded Assyria's rule to the west. In 1813, an Amorite prince, **Shamshi-Adad**, overthrew Erishum II (c. 1814) to become king of Assyria.

6

## 1813–1741

**THE DYNASTY OF SHAMSHI-ADAD.** Shamshi-Adad I (1813–1781) conquered **Mari** and expanded Assyrian power to the west. His son, **Ishme-Dagan** (1780–1741), invaded Babylonia, in alliance with Elam, Eshnunna, and the Gutians but was defeated by **Hammurapi the Great**. After Ishme-Dagan's death came a series of usurpations, and Assyria declined into **400 years of obscurity**.

7

## 1830–1531

**1ST DYNASTY OF BABYLON (Old Babylonian Empire).** The **1st Dynasty of Babylon** was established under **Sumu-abum** (1894–1881). By the reign of **Sin-muballit** (1812–1793) the city controlled a region running for 60 miles along the Euphrates. **Hammurapi the Great** (1792–1750) took Uruk and Isin soon after his accession to the throne. For over 20 years, he concentrated on building and irrigation projects, organized a centralized administration, and issued the famous **Law Code of Hammurapi**. In 1764, Babylon was attacked by a coalition of Elam, Assyria, the Gutians, and Eshnunna, but Hammurapi defeated the coalition, annexed Eshnunna and Elam, and **expanded the empire** to the borders of Assyria and the Zagros. The Babylonian king then took **Larsa**, made it his southern capital, and in 1759 defeated **Mari** and tore down its walls. In

8

1757–1755, Hammurapi defeated another **Assyrian invasion**, and when Eshnunna revolted it was destroyed. Hammurapi now controlled all of Mesopotamia, with the exception of Assyria. In this period the Amorites completely **assimilated** into Akkadian culture, adopting their language, religion, and culture. Two dialects of Akkadian were spoken, **Babylonian** in the south, and **Assyrian** in the north—Sumerian survived only in **scholarly writing**. **Marduk**, god of Babylon, replaced Enlil as king of the gods. The Marduk temple complex in Babylon was expanded, including the great ziggurat **E-temen-an-ki** (“House of the Foundation of Heaven and Earth”): the biblical **Tower of Babel** (Gen. 11:1–9).

## 1749–1595

**Decline of the Babylonian Empire.** In the reign of **Samsuiluna** (1749–1712), the **Kassites** (Kassu) made their first inroads into Babylonia, and the **Sealands** (the coastal region on the Persian Gulf) broke away from the empire. Under Abieshu` (1711–1684) and Ammiditana (1683–1647), the Kassites again attacked Babylon, but were driven off. **Ammisaduqa** (1646–1626) made internal reforms, forgiving debt and freeing debt-slaves. **Samsuditana** (1625–1595) ruled for 30 years in relative peace, but in 1595 the Hittite King **Mursilis** marched into Mesopotamia and captured and plundered Babylon (See [c. 1680–1500](#)). The Hittites did not remain, but Babylonian authority was broken, allowing the **Kassite seizure of power**.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [The Kassites, the Hurrians, and the Arameans](#)

### c. 1700–1600

**KASSITE INVASIONS.** In the 17th century, the **Kassites** (*Kassu*) gradually moved into Babylonia from the northeast. After the Hittite raid on Babylon in 1595, the Kassites took the city. <sup>1</sup>

### 1595–1150

**THE KASSITE DYNASTY.** **Burnaburiash I** (c. 1500) signed a treaty with **Puzur-Ashur III** (1521–1498) of Assyria, fixing their common boundaries. From this time, Upper Mesopotamia was known as **Assyria** and Lower Mesopotamia as **Babylonia**. **Ulamburiash** (c. 1450) took over the **Sealands** and **Kurigalzu I** (c. 1400), the strongest of the Kassites, conquered Elam and entered into an alliance with **Amenophis III** of Egypt (See [1402–1364](#)). During the reign of **Kashtiliash IV** (1242–1235), Babylonia was conquered by the Assyrians, but after seven years, its independence was recovered. In 1160, the Assyrians conquered the Lower Zab region, and the Elamites took Babylon itself, carrying off spoils, including the **Code of Hammurapi** to Susa. Enlil-nadin-ahhi (1159–1139) was the last Kassite king of Babylon. <sup>2</sup>

### 1156–1025

**2nd DYNASTY OF ISIN.** After the Kassite defeat, a new dynasty arose in Isin under **Marduk-kabit-ahheshu** (1156–1139) which eventually retook Babylon. **Nebuchadnezzar I** (Nabu-kudduri-usur, 1124–1103) even conquered Elam. **Tiglath-Pileser I** of Assyria defeated Marduk-nadin-ahhe (1098–1081) and conquered Babylonia (See [1365–1078](#)). By the end of the second millennium, the population of Mesopotamia was probably around 1.25 million. <sup>3</sup>

## c. 1700–1500

**THE HURRIAN INVASION.** The **Hurrians** had lived in Mesopotamia in small numbers from the late 3rd millennium, but the major Hurrian invasion of the region began around 1700. By 1500, they had penetrated into all of Mesopotamia, as well as Syria-Palestine and eastern Anatolia. There are indications that they had been influenced by **Aryans** somewhere outside the Near East. The Hurrians worshipped gods later associated with the Iranians and Indians (such as **Mithra** and **Varuna**) (See [Economy, Technology, Society, and Culture](#))—the names of some Hurrian rulers and certain technical expressions in Hurrian texts (particularly in connection with the chariot) are **Indo-European**. The Hurrians adopted Mesopotamian religion and culture, utilizing Babylonian as an administrative language and cuneiform script to write the Hurrian language. Despite the large number of surviving texts, the Hurrian language remains undeciphered. 4

## c. 1550–1250

**THE KINGDOM OF MITANNI.** **Sudarna I** (c. 1550) created the Hurrian **Kingdom of Mitanni** with its capital at **Washukanni** on the Khabur River. **Saustatar** (c. 1500) expanded the kingdom, and eventually, the kings of Mitanni ruled all of Upper Mesopotamia and much of Syria, from the Orontes to the Little Zab. In 1475, **Tuthmosis III** conquered Syria and pillaged Mitanni, but Egyptian control did not extend east of the Euphrates (See [1490–1426](#)). Both **Artadama I** (c. 1450) and **Sudarna II** (c. 1400) made marriage alliances with the Egyptians. After Sudarna's death, a civil war broke out between his two sons, **Tushratta** (c. 1390–1370) and **Artadama II**, and was continued by their sons **Matiwaza** and **Sudarna III**. This infighting, and the **plundering of Washukanni** by the Hittites (See [c. 1680–1500](#)), led to the kingdom's decline. Finally, Ashur-uballit I of Assyria attacked Mitanni and pillaged it. Shalmeneser I defeated the last Hurrian king, **Shattuara II**, and the Hurrians were absorbed into the Assyrian Empire around 1270. 5

## 1365–1078

**THE MIDDLE ASSYRIAN EMPIRE.** **Ashur-uballit I** (1365–1330) expanded the Assyrian domain to the north and west and corresponded with **Amenophis IV** (Akhenaten) of Egypt as an equal (See [1402–1364](#)). **Adad-Nirari I** (1307–1275) defeated the Babylonians and conquered the Hurrian city-states. **Shalmaneser I** (1275–1245) continued his predecessors' energetic campaigns of conquest, fighting in the far north 6



against Urartu and again crushing the Hurrians, annexing their lands. He conquered the lands up to Carchemish, but an **Egyptian-Hittite** treaty signed in 1283, which divided Syria between them, frustrated the Assyrians' westward movement. **Tukulti-Ninurta I** (1244–1208), the biblical **Nimrod** (Gen. 10:8–12), conquered Babylon, but only held it for seven years. Tukulti-Ninurta also promulgated the **Middle Assyrian law-code**, a continuation of the Sumerian and Babylonian legal tradition and built a new capital, **Kar-Tukulti-Ninurta** (Tulul el-Aqir), across the Tigris from Ashur. Tukulti-Ninurta was murdered by his son in a palace coup, and Assyria entered into an 85-year **period of weakness**. When the invasion of the Sea Peoples around 1200 destroyed the Hittite Empire and pushed the Egyptians out of Asia, and created a power vacuum in the region, **Tiglath-Pileser I** (Tukulti-apal-esser, 1115–1077) quickly took advantage of the situation. In a series of campaigns, he conquered **a large empire** from the Zagros to the Mediterranean, and from Babylon north to Urartu. Tiglath-Pileser initiated the policy of ruthless warfare, mass executions, and the deportation of civilian populations, which became characteristic of Assyrian conquest.

## 1078–977

**THE ARAMEAN INVASIONS.** In the 11th century, Aramean tribes from the Syrian desert, including the **Chaldeans** (Kaldu), invaded Mesopotamia. The Assyrians were driven back into Assyria proper, and Babylonia was overrun and broken up into **small tribal states**. The coastal region retained its independence from 1024–1004 under the **2nd Sealand Dynasty**, but subsequently this area was conquered by the Chaldeans, who ruled southernmost Babylonia.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [The Neo-Assyrians and the Neo-Babylonians](#)

### 934–824

**THE ESTABLISHMENT OF THE NEO-ASSYRIAN EMPIRE.** **Ashurdan II** <sup>1</sup> (934–912) built up a new Assyrian Empire. Further conquests were carried out by **Adad-nirari II** (911–890), **Tukulti-Ninurta II** (890–884), and **Ashur-nasir-apli II** (883–859), by which time the Assyrians again ruled from the Tigris to the Mediterranean, and from Lake Van to the borders of Babylonia. **Ashur-nasir-apli** was the chief architect of the Neo-Assyrian Empire, developing its centralized bureaucracy and building **Kalah** (Nimrud) as a capital. Its palaces and temples combined traditional Mesopotamian mud-brick architecture with monumental stone sculptures and wall-reliefs.

### 858–824

**THE REIGN OF SHALMENESER III.** **Shalmeneser III** <sup>2</sup> began integrating conquered areas into the empire as provinces. Vassals, who could not yet be wholly subjugated, paid tribute. Shalmeneser moved west to conquer the Aramean kingdoms of Syria. Though initially stopped at the **Battle of Qarqar** (853) by a coalition of Hamath, Damascus, and Israel, in 842 Shalmeneser captured Damascus and received tribute from Tyre and from Israel (See [885–841](#)). He defeated **Kizzuwatna** (Cilicia) and **Urartu**, “washing his weapons” in Lake Van. After Shalmeneser's death, there was a civil war between two of his sons, which led to a period of **Urartian domination**.

### 824–745

**URARTIAN DOMINATION OF ASSYRIA.** **Shamshi-Adad V** (823–811) took the <sup>3</sup> throne after defeating his brother, though parts of the empire were lost. He was succeeded by his minor son, **Adad-nirari III** (810–783). For the first four years of the

child's reign, his mother **Sammuramat** (Greek **Semiramis**) ruled as regent. Adad-nirari briefly reimposed tribute on the western states, including Israel, but increasingly Assyria retreated before Urartu. Commagene and Melitene in southern Anatolia and Carchemish in Syria came under Urartian control, and Assyria became practically a **vassal of Urartu**.

## 745–626

### THE HEIGHT OF THE NEO-ASSYRIAN EMPIRE.

4

## 744–727

**THE REIGN OF TIGLATH-PILESER III.** The youngest son of Adad-nirari III, **Tiglath-Pileser III** introduced the last and greatest period of the Neo-Assyrian Empire. In the years 743–738, the Urartians and their Neo-Hittite allies were defeated at the **Battle of Arpad**, as was a coalition of Aramean kings under the leadership of Judah. In 735, Tiglath-Pileser III defeated the Urartians again and annexed the region around Lake Urmia. He then subdued **Damascus** and **Israel**, annexing all of Damascus's territory and the Israelite provinces of Gilead and Galilee, all of which were made into Assyrian provinces (See [752–722](#)). In 731, a revolt broke out in Babylonia, and after crushing it, Tiglath-Pileser named himself **king of Babylon**.

5

## 726–705

**SHALMENESER V AND SARGON II.** Upon taking the throne, **Shalmeneser V** (726–722) was immediately faced with a new rebellion in the west. Both Tyre and Samaria, the capital of Israel, were besieged. Samaria fell late in 722 after a three-year siege (shortly before the death of Shalmeneser), but Tyre held out. When **Sargon II** (721–705) mounted the throne, another revolt broke out in Babylon under **Merodach-Baladan II**, which Sargon failed to quell initially. In 720, Sargon moved west, reconquering Hamath, Samaria, Ekron, and Gaza. **King Ahaz of Judah** paid tribute and Tyre finally capitulated after a five-year siege (See [768–715](#)). In 717–716, Sargon took and annexed **Carchemish** and defeated the Egyptians at Raphia, the farthest west the Assyrians had yet penetrated. Urartu was again crushed in 714, and in 712 the Assyrians took Ashdod and annexed Philistia. Finally, in 709, the revolt in Babylon was suppressed, and Merodach-Baladan went into exile in Elam. Sargon built a new capital, which he named **Dur-Sharrukin** (Khorsabad).

6

## 704–681

**The REIGN OF SENNACHERIB (Sin-ahhi-eriba).** In 703 **Merodach-Baladan II** again seized power in Babylon, and though Sennacherib quickly put down the revolt, resistance continued for the next 13 years. Sennacherib campaigned to the north, taking tribute from the Medes, then west, defeating the Egyptians at the **Battle of Elteqeh** in 701. Next it was Judah's turn and Sennacherib besieged **Jerusalem**. But when King Hezekiah paid tribute, the Assyrians broke off the siege (See [715–640](#)). In 689, Babylon revolted again, with Elamite assistance, but was sacked and burnt to the ground. Sennacherib transformed **Nineveh**, on the east bank of the Tigris, into a city of unparalleled splendor, and it remained the Assyrian capital until the end of the empire. In the 7th century, the **population of Mesopotamia** reached a height (until modern times) of around 2 million inhabitants. Sennacherib's eldest son had died before him, so he designated his youngest son **Esarhaddon** as heir. This led to a revolt by his older sons, and the king's assassination.

7

## 680–669

**THE REIGN OF ESARHADDON.** With the active assistance of his mother, **Naqia** (Greek **Nitocris**), Esarhaddon put down the revolt by his brothers. He then rebuilt Babylon and made one of his sons **Shamash-shum-ukin** its king; he gave another son, **Ashurbanipal**, the title king of Assyria. While Scythian and Cimmerian tribes appeared on Assyria's northern border, Esarhaddon was preoccupied with plans to **conquer Egypt**. The first Assyrian invasion of Egypt (674–673) was unsuccessful, but Esarhaddon struck with full force in 671, routed the Pharaoh Taharka, and took Memphis (See [747–656](#)). In 669, Esarhaddon went to Egypt to prepare for an invasion of Ethiopia, but he fell sick and died.

8

## 668–627

**THE REIGN OF ASHURBANIPAL.** **Ashurbanipal** was both a great military commander and a patron of arts and letters. His palace reliefs are among the finest examples of Assyrian art, and he gathered a great library of tablets, which remains one of our main sources for knowledge of Sumero-Akkadian literature. The king boasted he could read and write the cuneiform script. Ashurbanipal attacked Egypt and, in two campaigns (667–666 and 664–663), defeated **Pharaoh Taharka** and his son

9

**Tenuatamun** and extended Assyrian power as far south as Thebes (See [747–656](#)). In 652, Shamash-shuma-ukin tried to overthrow his brother with Elamite help, and civil war raged until 648, when Shamash-shuma-ukin finally surrendered in Babylon. **Susa** was taken and sacked in 639, but the civil wars had revealed Assyria's weakness to its enemies.

## 626–609

**THE LAST DAYS OF ASSYRIA.** The Assyrian Empire collapsed quickly. There was apparently a revolt on Ashurbanipal's death, and his son **Ashur-etil-ilani** (626) ruled only a few months. The usurper, **Sin-shum-lishar** (626), also kept the throne only a short period. At this point, the Chaldean **Nabopolassar** declared himself king of Babylon. **Sin-shar-ishkun** (626–612), another son of Ashurbanipal, took back the throne of Assyria and stabilized the internal situation. Soon, however, **Cyaxares, king of the Medes**, and the **Babylonian king, Nabopolassar**, joined forces to attack Assyria. After a protracted struggle, **Nineveh fell** in 612 and was completely destroyed. An Assyrian noble, **Ashur-uballit II** (611–609) proclaimed himself king at Harran in Syria. The Babylonians took Harran in 610, however, and an attempt by the Assyrians, now allied to the Egyptians, to retake the city failed. Ashur-uballit died in obscurity. 10

## 977–626

**8TH AND 9TH DYNASTIES OF BABYLON.** After a period of political confusion, **Nabu-mukin-apli** (977–942) reestablished an 8th Dynasty of Babylon, though his rule did not extend far beyond the city itself. While unimportant politically, Babylon continued to be a cultural and intellectual center. Under **Nabonassar** (Nabu-nasir, 747–734) an important **calendar reform** was instituted in which the monthly lunar cycle was reconciled with the solar year, a standard system still used in the Jewish calendar. In 731 an Aramean dynasty came to power under **Nabu-mukin-zeri** (731–729), and the **first use of Aramaic** is attested in Babylonian documents. The Assyrians conquered Babylon in 728, but the Chaldean King **Merodach-Baladan II** (Marduk-apal-iddina) drove them out. From 710 to 626, Chaldean kings, often supported by Elam, alternated with Assyrian rulers (See [c. 820–640](#)). 11



### **3. Egypt, c. 3500–332 B.C.E.**

#### **a. Geography**

**EGYPT** consisted of two parts: Upper (southern) and Lower (northern) Egypt. **Upper Egypt** was made up of a long and narrow strip of land, no more than 13 miles wide, on both banks of the Nile River. It stretched for 750 miles from Lake Moeris and the Fayum Depression upriver to the **First Cataract** (waterfall), the border with Nubia. The major cities of Upper Egypt were Nennusu (**Heracleopolis**), Khmun (**Hermopolis**), **Abydos**, and **Thebes**. A dry riverbed, the **Wadi Hammamat**, extended overland from Upper Egypt to the Red Sea. **Lower Egypt** was the Nile Delta formed by the seven branches of the river which flowed into the Mediterranean. The Delta contained two-thirds of Egypt's arable land and was where most of the principal cities of Lower Egypt lay: **Avaris**, **Tanis** (later Pi-Ramesses), **Sais**, and **Bubastis**. Lower Egypt did contain a small portion of the Nile itself, including the cities of On (**Heliopolis**) and **Memphis**. 1

## **b. Economy, Technology, Society, and Culture**

Egypt receives virtually no rainfall, and agriculture depended on **the annual flood of the Nile**, which deposited fertile mud on the fields and provided water for irrigation. This ensured a large and fairly constant surplus of crops, though famines were not unknown. The main staple was barley, which provided both bread and beer. A wide variety of fruits and vegetables were raised, and flax was grown to produce linen, while cattle and sheep furnished meat. **Mines in the Sinai** provided copper, those in Nubia gold, and marble was quarried in the Eastern Desert. The Nile provided **easy communication**, both with the Mediterranean and along the length of the country; the Wadi Hammamat connected the country with the Red Sea. As a result, Egypt was an entrepôt for trade to and from East Africa, Arabia, the eastern Mediterranean, and western Asia. <sup>1</sup>

**Public architecture** was in stone from an early period, but most houses were built of mud-brick. The earliest examples of Egyptian **hieroglyphic** writing, recently discovered, date to 3300–3200 B.C.E. Starting in the Middle Kingdom, a cursive form of writing was developed called **hieratic**. In the late period an even more cursive writing came into use, called **demotic**, or “popular” writing. Much of **Egyptian writing** survives carved or painted on the walls of tombs, but the dry climate has also preserved texts on **papyrus**. In addition to administrative documents and letters, considerable Egyptian literature has survived: quasi historical tales (such as the **Tale of Sinuhe**), mythological and religious works, books of prophecy and wisdom literature, mathematical and scientific texts, even pornography. Historical texts include both monumental inscriptions and king lists, such as the **Palermo Stone** and the **Turin Canon**. In addition, a continuous, though not always accurate, **king list** is provided by **Manetho**, who wrote a history of Egypt in Greek around 250 B.C.E. It was Manetho who divided the kings into “dynasties.” <sup>2</sup>

Egyptian government was **highly centralized** and society **strictly hierarchical**: proper order in the kingdom, expressed by the term *ma`at*, was thought to ensure national well-being. The Egyptian king was considered the link between the gods and his people. The king was identified with the god Horus (and had a **Horus name** in addition to his personal name), but when he died became the god **Osiris**, lord of the underworld. By the 5th Dynasty, the king was also considered the son of Ra, the sun god. The title “*pharaoh*” only came to refer to the Egyptian king in the New Kingdom. Although the <sup>3</sup>



institution of the monarchy was divine, **popular literature** often portrayed the king in an irreverent way. The king technically owned all the land in Egypt, and the palace administered the economy as well as political affairs. The **vizier**, a sort of prime minister, headed a vast bureaucracy which administered the country down to the village level. Upper and Lower Egypt each had their own governors, and the land was further subdivided into **nomes** or districts: 20 in Lower Egypt and 22 in Upper Egypt. Wealth and power were generally hereditary, though commoners could rise in the **scribal bureaucracy** and the army. **Egyptian women** had a very high degree of independence compared to other ancient societies: they could own property, make contracts, and divorce their husbands by a simple act of repudiation.

**Religion** was also centrally organized and headed by an “**Overseer of all the Prophets of the Gods**,” a post sometimes held by the vizier and sometimes by the High Priest of Amun. **The temples** controlled large tracts of land and were important economic centers. Each region had its own patron deity, but eventually the Egyptians placed local gods in a hierarchy and developed a common religion. Religion was closely tied to politics: when **Memphis** was the capital, its god **Ptah** was paramount; the rising importance of **Heliopolis** gave **Ra** his importance; and finally, the ascendancy of **Thebes** is reflected in the New Kingdom emphasis on **Amun**. Egyptian gods commonly had mixed human and animal form: the ibis-headed god **Thoth**, falcon-headed god **Horus**, and jackal-headed god **Anubis** are examples. Under Amenophis IV, who renamed himself **Akhenaten**, the sun disk **Aten** was worshipped as the only god, but this **solar monotheism** was abandoned soon after Akhenaten's death. The worship of **Isis**, originally the deified throne, but later a mother-goddess, became popular only in the Late Dynastic Period.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **c. The Old Kingdom and the First Intermediate Period (1st–11th Dynasties)**

### **c. 3500–3100**

**THE GERZEAN CULTURE.** Gerzean sites are found in both Lower and Upper Egypt <sup>1</sup> (See [Egypt and Sub-Saharan Africa](#)). Both copper and pottery were in common use, and tomb wall paintings appear for the first time. **Irrigation-based agriculture** was introduced, and this is reflected in a dramatic **growth in population:** from approximately 200,000 at the beginning of the period to over a million at its end. **Egyptian art, architecture, and hieroglyphic writing** developed in their earliest forms. These advances were influenced, to some extent, by contacts with the Sumerian culture—the **Mesopotamian Stimulation** (See [c. 3100–2900](#)). At the beginning of the period, the various nomes were probably independent states, but by the end there were two kingdoms: **Lower Egypt** with a capital at **Pe** in the northwest Delta and **Upper Egypt** ruled either from **Nekhen** (Hierakonpolis) or **This** (near Abydos). At some point, **King Scorpion** of Upper Egypt conquered part of the Delta region.

### **c. 3100–2686**

## **THE PROTODYNASTIC PERIOD.**

<sup>2</sup>

### **c. 3100–2890**

**1st Dynasty.** **Menes**, whose Horus name was **Narmer**, was the king of Upper Egypt <sup>3</sup> who conquered Lower Egypt, **united the two lands** and built the city of **Memphis**, near the border, as his capital. A **palace bureaucracy** developed, and artists and craftsmen were employed by the royal court. Other 1st Dynasty kings were **Djer**, **Djet**, **Den**, **Aha** (who invaded Nubia), and a queen, **Merneith**.

### c. 2890–2686

**2nd Dynasty.** Virtually nothing is known of this dynasty except the names of its kings, and it is unclear what divided it from the previous dynasty. **Hetep** was the first king of the 2nd Dynasty, and **Khasekhemwy** was the last. The latter was the first king to have a **stone burial chamber** in his tomb.

4

### c. 2686–2181

## THE OLD KINGDOM.

5

### c. 2686–2613

**3rd Dynasty.** What divided the 2nd and 3rd Dynasties is also unclear—the 3rd Dynasty's first king **Nebka** may have been related to the previous rulers. Inscriptions of Nebka have been found at **Byblos** in Phoenicia, indicating overseas trade (See [Geography](#)). The most famous king of this dynasty was **Djoser**, who built the famous **Step Pyramid at Saqqara**. The architect of this edifice was **Imhotep**, who was later worshipped as a god. The kings of the 3rd Dynasty campaigned in the **Sinai**, defeating the nomadic chieftains who ruled there.

6

### c. 2613–2494

**4th Dynasty.** **Snefru** fought successful wars against the Nubians and Libyans, further developed the **sea trade in cedar** with Byblos, and began the serious exploitation of turquoise from the Sinai. His successor, Khufu (**Cheops**) is best known for building the **Great Pyramid** at Giza. Originally 481.4 ft. high, it covered an area of about 13 acres and contained 2,300,000 blocks of stone, each weighing an average of 2.5 tons. Khafre (**Chephren**) built the second pyramid at Giza (473.5 ft. high), as well as the enormous human-headed lion, the **Sphinx**, called **Herakhte** (“Horus of the Horizon”) by the Egyptians. Menkaure (**Mycerinus**) built the third pyramid of Giza (219.5 ft. high). In the 3rd and 4th Dynasties the idea of **divine kingship** developed, as did the classical Egyptian canons of art and architecture. There were remarkable advances in **mathematics** and **medicine**, the latter including diagnostic techniques and systematic treatment. In the Old Kingdom the **population of Egypt** was between 1.5 and 2 million.

7

### c. 2494–2345

**5th Dynasty.** The 5th Dynasty witnessed the rise of the **Heliopolitan priesthood of Ra:** its nine kings regularly assumed the title “son of Ra” and built obelisk temples dedicated to the sun god. **Sahurre** defeated the Libyans and organized **trading expeditions** to **Punt** (Somalia) and the “Turquoise Land” in **the Sinai**. Under **Unas**, the last king of the dynasty, the first **Pyramid Texts** appear, although they contain much earlier material, some dating from predynastic times. 8

### c. 2345–2181

**6th Dynasty.** **Uni**, a general of **Pepy I**, campaigned in Palestine, perhaps as far north as Mount Carmel (See [c. 3100–2000](#)), and **Merenre I** took the homage of Nubian chiefs south of the **First Cataract**. Especially after the reign of **Pepy II**, the rulers of the nomes assumed more independence and often ruled as **feudal lords**. The eighth and last ruler of the dynasty was **Queen Nitokerti (Nitocris)**, the sister and widow of Merenre II. 9

### c. 2181–2133

**THE FIRST INTERMEDIATE PERIOD.** According to Manetho, the **7th Dynasty** (c. 2181–2173) had 70 kings in 70 days, obviously a fiction but representative of the unstable conditions of the **First Intermediate Period**. For much of this period there was strife between nobles of **Heracleopolis** (Nennesu) in Lower Egypt and **Thebes** (Waset) in Upper Egypt. The **8th Dynasty** (c. 2173–2160), comprised of six kings, still ruled from Memphis. In the **9th Dynasty** (c. 2160–2130), the capital moved to Heracleopolis, although the kings were still buried at Memphis. Toward the end of the 9th Dynasty, the country was divided in two, the **10th Dynasty** (c. 2130–2040) ruling in Heracleopolis and the **11th Dynasty** (c. 2133–1191) in Thebes. **Central authority was weak**, banditry became common, and commerce with overseas interrupted. Despite the civil unrest, literature flourished: notable are the *Admonitions of Ipuwer*, and the *Instructions for King Merikare*. The idea of a **life after death** began to include persons other than the royal family. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. The Middle Kingdom and the Second Intermediate Period (11th–17th Dynasties)**

**2040–1786**

### **THE MIDDLE KINGDOM.**

1

**c. 2133–1991**

**11th Dynasty.** The fifth ruler of the 11th Dynasty, **Mentuhotep II** (2060–2010), defeated Heracleopolis around 2040 and **reunited Upper and Lower Egypt**. A powerful ruler, Mentuhotep suppressed the power of the nobles; reinstated a strong central government; campaigned in Libya, Nubia, and western Asia; and extended Egypt's boundaries. Under **Mentuhotep III** (2009–1998), trade with the Red Sea via the Wadi Hammamat was resumed. **Mentuhotep IV** (1997–1991) was a weak ruler, and on his death his vizier, **Amenemhet**, took the throne.

**1991–1786**

**12th Dynasty.** **Amenemhet I** (1991–1962) was a commoner who attributed his rise to the god **Amun**. This deity rose in national prominence. Amenemhet built a new royal capital, **Itj-towy** (site unidentified), near the border of Upper and Lower Egypt. He also conquered **Lower Nubia** and undertook a punitive campaign against the **Asiatic nomads**. Amenemhet made his eldest son, **Sesostris** (Senusret) his coregent, a practice which persisted through the dynasty. **Sesostris I** (1971–1928) extended Egyptian rule to the Second Cataract, and it is during his reign that the quasi-historical **Story of Sinuhet** is set. **Sesostris II** (1897–1878) began irrigation and land reclamation operations in the Fayum Depression west of the Nile. **Sesostris III** (1878–1843) marched into central Palestine, but made no attempt to establish permanent control (See [c. 2100–1800](#)).

**Amenemhet III** (1842–1797) completed the Fayum irrigation project and expanded turquoise mining in the Sinai. Amenemhet built the enormous palace and mortuary temple later called the **Labyrinth**. In addition to the **Story of Sinuhe**, Middle Kingdom literature includes the **Instructions of King Amenemhet**, the **Tale of the Shipwrecked Sailor**, and the **Coffin Texts**, giving instructions for obtaining eternal life.

## 1786–1552

**SECOND INTERMEDIATE PERIOD.** The **13th Dynasty** (1786–1633) was a period of **declining power** for Egypt, and increasing pressure by invaders from western Asia. The sixty kings of this dynasty ruled a disintegrating kingdom from Memphis and Itjtowy. Already in the beginning of the period, the kings of the **14th Dynasty** (1786–c. 1603) ruled an independent state from **Xois** (Sakha) in the western Delta. Some of these Xoian rulers had Semitic names and may have been Amorites or Canaanites. Under **Dudimose I** (Tutimaios, c. 1674) of the 13th Dynasty, most of Egypt fell to the **Hyksos** (from Egyptian **Heqa-Khoswe**, “chiefs of the foreign lands”) who invaded from Syria-Palestine. The Hyksos were probably Amorites or Canaanites from Syria-Palestine (See [c. 1900–1759](#)). They introduced the horse, chariot, and compound bow into Egypt and are said to have worshipped Seth, who apparently represented the god **Baal**. The **15th Dynasty** (1674–1552) was made up of Hyksos who established control over Lower Egypt, with their capital at **Avaris** in the eastern Delta. The remaining kings of the 13th Dynasty were their vassals. Hyksos rule reached its height under **Apophis I**, who ruled more than 40 years. The **16th Dynasty** (c. 1684–1552), contemporary to the 14th and 15th, was made up of independent Hyksos chieftains who had established themselves somewhere in the Delta. The **17th Dynasty** (c. 1650–1552) was originally the Egyptian vassal kings in Thebes, who gradually won their independence from the Hyksos. One of these Theban kings, **Seqenenre Tao II**, is the hero of a folk tale, “**The Contending of Apophis and Seqenenre**.” His successor, **Kamose**, left a stele (an upright slab with an inscribed surface) describing wars with the Hyksos king **Apophis II**.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## e. [The New Kingdom and the Third Intermediate Period \(18th–24th Dynasties\)](#)

Note: For the 18th to 20th Dynasties, there is a high and a low chronology, differing by some 10 to 20 years. The low chronology is used here. <sup>1</sup>

### 1567–1320

**18th Dynasty. Amosis** (Ahmose, 1552–1527) drove the **Hyksos** out of the country and reestablished the power of the central government. Rather than remaining in a single capital, the 18th-Dynasty kings divided their time between Thebes and Memphis. The worship of the **Theban god Amun** became increasingly important, and the priesthood of Amun became a political force. **Amenophis I** (Amenhotep, 1527–1506) secured the Nubian and Libyan borders. Nubia was administered by a viceroy called the “**King's Son of Kush.**” **Tuthmosis I** (Tuthmose, 1506–1494) and **Tuthmosis II** (1494–1490) both fought successful campaigns in Nubia and Syria-Palestine (See [Geography](#)). <sup>2</sup>

### 1490–1426

**THE REIGNS OF HATSHEPSUT AND TUTHMOSIS III.** **Tuthmosis II** associated his wife (and half-sister), **Hatshepsut**, (1490–1468) with him in his reign, and when he died at an early age, Hatshepsut seized power. At first she acted as regent of **Tuthmosis III** (1490–1436), but in 1489 Hatshepsut proclaimed herself “king” and thereafter depicted herself as a man. Meanwhile, Tuthmosis grew up in the army. In 1468 he took power: the fate of Hatshepsut is unknown. Tuthmosis immediately invaded Syria-Palestine, and at the first **Battle of Megiddo** (1468) defeated a coalition of Canaanite states under the leadership of the king of Qadesh (See [640–609](#)). In a further series of campaigns, Tuthmosis III established an empire stretching to the Euphrates. He even <sup>3</sup>



crossed the river and pillaged **Washukanni**, the capital of the Hurrian kingdom of Mitanni (See [c. 1550–1250](#)). In **Nubia**, he moved the border to the Fourth Cataract and founded a fortified town at Napata (See [747–656](#)). The title **pharaoh** (*per`o*, “Great House”), previously used to refer to the royal palace, was now used to refer to the king himself.

### 1402–1364

**THE REIGN OF AMENOPHIS III.** Under **Amenophis III** Egypt enjoyed **unparalleled wealth and peace**. Amenophis built an enormous mortuary temple at Thebes, including two enormous statues of himself, the **Colossi of Memnon** (65.6 ft. high). He also built the gigantic temple to Amun at **Luxor** and founded a new city in Nubia called Gematen (“finding Aten”), which reflected the rising importance of this god. Although Amenophis made diplomatic marriages with two daughters of Mitannian kings, his chief wife was **Queen Tiy**, the daughter of a Nubian general.

4

### 1364–1347

**THE REIGN OF AMENOPHIS IV (AKHENATEN).** **Amenophis IV** and his wife, **Nefertiti**, introduced an anomalous Egyptian **monotheism**. The god of the solar disk, **Aten**, was now worshipped as the only deity. The king changed his name to **Akhenaten** (“Pleasing to Aten”) and built a new capital at **Akhetaten** (“Horizon of Aten,” modern **Tell al-‘Amarna**), halfway between Memphis and Thebes. Here were found the **Amarna letters**, correspondence with the kings of Babylonia, Mitanni, the Hittites, and others written on clay tablets in Akkadian, the *lingua franca* of the period. **Egypt's empire began to disintegrate**. Some areas of Syria-Palestine broke away, and others were taken over by the Hittites (See [c. 1375–1345](#)).

5

### 1347–1305

**THE END OF THE 18TH DYNASTY.** After Akhenaten's death, his son-in-law **Tutankhaten** (1347–1337) abandoned the Aten cult, changed his name to **Tutankhamen**, and moved the government back to Memphis and Thebes. He is chiefly known for this tomb, which yielded fantastic treasures when discovered in 1922 C.E. The last king of the 18th Dynasty was a usurper, **Horemheb** (1333–1305), who had worked his way up from a scribe to become chief commander of the army. A capable ruler, Horemheb took steps to suppress graft and corruption, particularly in tax collection,

6

restored the temples of Amun, and undertook a campaign in Asia, which reached **Carchemish** in Syria (See [Geography](#)).

## 1305–1186

**19th Dynasty.** Horemheb was succeeded by another military man, **Ramses I** (1305–1303), whose family came from Tanis. His son, **Seti I** (1303–1289) set out to reconquer western Asia. He was successful in Palestine and southern Syria, extending control as far as **Qadesh on the Orontes** (See [c. 1344–1250](#)). Seti built a great temple at Abydos and continued work on the great Hypostyle Hall in **Karnak**.

7

## 1289–1224

**THE REIGN OF RAMSES THE GREAT.** **Ramses II** spent much of his reign on military campaigns. In **Libya** he defeated the Tehenu and built a series of fortifications guarding the western frontier. He also subdued the **Nubian tribes** and built a temple at **Abu Simbel** between the First and Second Cataracts, which included colossal statues 70 ft. high. The main military activity of Ramses II was a long struggle with the Hittite Empire. In 1286 he fought the **Battle of Qadesh** against **King Muwatallis**—the Egyptians claimed victory, but the Hittites actually won (See [c. 1344–1250](#)). Further fighting ensued, until in 1270 Ramses signed a peace treaty with the new Hittite king, **Hattusilis**. Tanis was rebuilt as a new capital and called **Pi-Ramses**, the biblical “store-city of Ramses” (Exodus 1:11). Ramses II completed the **Hypostyle Hall** at Karnak.

8

## 1224–1186

**THE END OF THE 19TH DYNASTY.** **Merneptah** (1224–1204) defeated an incursion of Libu (Libyans) and **Sea Peoples** at the **Battle of Piyer** (1220). Some of these Sea Peoples, who had destroyed the Hittite Empire and ravaged the Near East, might be identified with later Mediterranean peoples: the Akiyawash (Achaean), Turush (Etruscans), Luku (Lycians), and Sharden (Sardinians). The **Merneptah Stele** records a successful campaign in Palestine which defeated, among others, the **people of Israel**, their first datable mention in history. The 19th Dynasty ended in a series of short, confused reigns. The final ruler was a woman, **Queen Tawosre** (1194–1186), who took the throne with the name **Sitre** (“Daughter of Ra”).

9

## 1186–1069

**20th Dynasty.** After a short interregnum, order was restored by a military figure, **Sethnakhte** (1186–1184), whose son took the name **Ramses III** (1184–1153). Ramses III defeated the Libyans and in his 8th year overcame another coalition of Sea Peoples: Peleset (Philistines), Tjeker (Sicels?), Danuna (Danaoi?), Sharden (Sardinians), Weshwesh, and Shakrusha. The scenes of Ramses III's victory are shown on the walls of the mortuary temple at **Medinet Habu**. In general, Egypt was stable and prosperous under Ramses III, but in the closing years of his reign there were signs of unrest, including the **first known strike in history**, by funerary artisans in Thebes. After the death of Ramses III, there was a **series of weak kings**, Ramses IV–XI (1153–1069), and the central government declined into impotence. In the time of **Ramses XI** (1099–1069), **Herihor**, the high priest of Amun-Ra at Karnak, ruled Upper Egypt from Thebes. Much of the Delta was controlled by a local official, **Smendes** (Nesbenebdeb). The **Tale of Wenamun**, another quasi-historical story, reflects the unsettled conditions of Egypt, and its lack of international stature. During the New Kingdom, **the cult of the dead** and the availability of the afterlife extended even to relatively minor officials and private persons. **Tomb paintings** show naturalistic scenes of everyday life. While drawing on earlier material, the **Book of the Dead** was compiled during this period. By the end of the New Kingdom, **the population of Egypt** had risen to some 4.5 million.

10

## 1069–715

### THIRD INTERMEDIATE PERIOD.

11

## 1069–945

**21st (Tanite) Dynasty.** After the death of Ramses XI, **Smendes** (Nesbenebdeb, 1069–1043) claimed the kingship and ruled from **Pi-Ramses** (Tanis). The hereditary **high priests of Amun-Ra**, descendants of **Herihor**, governed Upper Egypt as a theocracy, and the viceroy of Nubia (**King's Son of Kush**) (See [1506–1069](#)) ruled independently in the south, although both recognized the 21st Dynasty pharaohs as titular rulers. The rise of the Kingdom of Israel created a powerful state in Palestine. It was probably **Siamun** (978–959) who married his daughter to King Solomon (1 Kings 11:1). **The Instruction of Amunemope**, one of the most famous of Egyptian books of wisdom, was written around this time. The Book of Proverbs quotes a number of its precepts (Prov. 15:16, 17:1, 22:17–24:22).

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [The Late Dynastic Period \(25th–31st Dynasties\)](#)

### 747–656

**25th (Kushite) Dynasty.** The **25th Dynasty** began as a line of Kushite kings, operating from their capital at **Napata** (See [1490–1426](#)). **Piankhy** (751–716) sacked Memphis, but did not establish permanent control of Egypt. His brother **Shabako** (716–702) defeated the last king of the 22nd Dynasty, **Osorkon IV**; of the 23rd, **Sheshonq IV** (720–715); of the 24th, **Bakenref** (Bochchoris, 720–715); and reunited the country. Shabako established his capital at Thebes. The next king, **Taharka** (690–664) defeated an invading Assyrian army led by Esarhaddon (674), but in 672, the Assyrians returned and captured Memphis. Esarhaddon set up **Necho I** (672–664), the governor of Sais, as a client king, establishing the **26th Dynasty**. When Taharka died, his son **Tenuatamun** (664–656) continued the resistance to the Assyrians, but in 663 **Ashurbanipal** finally defeated Tenuatamun and drove him back to Napata (See [1490–1426](#)). <sup>1</sup>

### 664–525

**26th (Saite) Dynasty.** After the final defeat of Tenuatamun, the Assyrians placed **Psammetichus I** (Psamtek, 664–610) on the throne. The family of Psammetichus stemmed from Sais, but he made Memphis the capital. Toward the end of his long reign, the collapse of the Assyrian Empire allowed Psammetichus to establish his independence and reassert central authority. He used **Greek and Carian mercenaries** sent by Gyges of Lydia to suppress local dynasts (See [685–547](#)). Political independence produced the **Saite revival** in painting, architecture, literature, and religion, a nostalgic attempt to recreate the forms and styles of the Old Kingdom. **Necho II** (610–595) marched north to aid the last remnant of the Assyrians, fighting in Syria against the Babylonians. On his way, he defeated King Josiah at the second **Battle of Megiddo** (609), and Judah became an Egyptian vassal (See [640–609](#)). Later, Necho II suffered a crushing defeat at the Battle of Carchemish (605) at the hands of Nebuchadnezzar. The Egyptians were driven from Syria-Palestine, but in 601 they stopped the Babylonians at the border of Egypt (See <sup>2</sup>

604–562). Herodotus describes **the successful circumnavigation of Africa** by Phoenician sailors sent by Necho. **Apries** (589–570, biblical Hophra) attempted unsuccessfully to drive the Babylonians from Judah and was defeated by the Greeks in Cyrene when he attempted to aid his Libyan allies. Apries was deposed by **Amasis** (ʿ Ahmose-si-neit, 570–526), a commoner from the Delta who had risen in the military. Amasis allied himself with Babylonia and Lydia against **the rising power of the Persians**, but saw his allies defeated in turn by Cyrus the Great. Psammetichus III (526–525) ruled only for six months, before the Persians invaded (See c. 530–521).

## 525–404

**27th (Persian) Dynasty.** The Persians defeated the Egyptians at the **Battle of Pelusium** (525). The Persian King **Cambyses** (525–521) ruled Egypt as pharaoh. Although Herodotus says he suppressed Egyptian religion, according to hieroglyphic inscriptions Cambyses carried out the pharaoh's ritual functions. **Darius I** (521–485) certainly treated the Egyptians with respect and had **Egyptian law codified**, both in demotic and Aramaic. He assigned a priest, **Udjahorresenet**, to reestablish the **Houses of Life**, which copied sacred writings. Darius placed Egypt, along with Libya and Cyrenaica, in the **sixth satrapy** (province) with the satrap (governor) at Memphis. The Egyptians revolted in the last years of Darius, and the uprising was not suppressed until the reign of **Xerxes** (485–464). Persian rule became harsher after the revolt. **Greek and Jewish minorities** grew considerably in the Persian period. Around 450, Herodotus visited the country. When Darius II (423–404) died, there was another revolt, this time successful (See c. 522–486). 3

## 404–399

**28th Dynasty.** **Amyrtaeus** (404–399), probably a Libyan, ruled the entire country but was the 28th Dynasty's only king. 4

## 399–380

**29th (Mendesian) Dynasty.** **Nepherites** (Nefʿ aurud, 399–393) from Mendes (Djed) in Lower Egypt formed an alliance with the **Spartans**, the most powerful state in the eastern Mediterranean (See 386). In 386, Persia and Sparta signed a peace accord, and **Artaxerxes II** invaded Egypt (385–383). **Achoris** (Hakor, 393–380) allied himself with Evagoras, king of Salamis in Cyprus, and defeated the Persians (See c. 586–330). His 5

son, **Nepherites II** (380) ruled only four months before being overthrown by Nectanebo.

### 380–343

**30th (Sebennytic) Dynasty.** **Nectanebo I** (Nakhtnebef, 380–362) from Tjeb-neter (**Sebennytus**) drove off a Persian invasion (371) and built and restored many monuments throughout Egypt. His son, **Teos** (Djeho, 362–360) attempted an invasion of Phoenicia and Syria but was defeated. The army rebelled and replaced Teos with his son **Nectanebo II** (Nakhthorhebe, 369–342), the last native pharaoh. In 343–342, **Artaxerxes III** led a successful invasion, Nectanebo fled to Ethiopia, and Egypt was again made a Persian satrapy.

6

### 343–332

**31st (Persian) Dynasty.** The second period of Persian rule lasted only ten years. In 332, **Alexander the Great** entered the country, and the satrap Mazaces surrendered the country to him without resistance (See [Persian Asia Minor](#)). (See [Ptolemaic Egypt to the Roman Conquest](#))

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 4. [East Africa, c. 2000–332 B.C.E.](#)

### a. [Geography](#)

**Nubia**, or **Kush**, began at the Nile's **First Cataract** (waterfall), where the island of Elephantine (Yeb) was located, although the political boundary was often farther upriver. As one moved upriver, the Nile flowed over six more cataracts, before the river split into the **White and Blue Niles**. Between these two points lay the massive Egyptian temples at **Abu Simbel**, now inundated by the Aswan Dam, as well as the three capitals of the region: **Kerma**, **Napata**, and **Meroë**. Around 500,000 people lived in the area of modern Sudan around 2000 B.C.E., and nearly 1 million by 1500, though Kush comprised only a portion of this region. The region between the Nile and the Red Sea was not heavily populated before the 5th century B.C.E. The Somalian and Eritrean coast, however, was an important center for trade, known to the Egyptians as **Punt**. <sup>1</sup>

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## **b. Economy, Technology, Society, and Culture**

From c. 7000–3500, a common material culture existed from Nubia to Middle Egypt, but after 3500, **Nubian and Egyptian cultures diverge**. Nubia remained primarily pastoral, but traded with Egypt, exporting gold, ivory, ebony, and exotic animals. Kerma period architecture is autochthonous, but Kush came under increasing **Egyptian influence**. After the Egyptians gained control of the region, they began exploiting its mineral resources. Under Napata and Meroë, a syncretistic architectural style developed. From the 8th century the Nubians utilized Egyptian hieroglyphics. It is not until 170 B.C.E. that the native language, **Meroitic**, was written. Meroitic has not yet been deciphered, and its relation to other African languages is unknown. <sup>1</sup>

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## c. [Kush and Punt](#)

### c. 2000–1069

#### KUSH.

1

### c. 2000–1506

**THE KINGDOM OF KUSH** arose around 2000 and was centered around **Kerma**, near the Third Cataract. It flourished during Egypt's Second Intermediate Period (1786–1552) (See [1786–1552](#)). Kerma contains the remains of a **brick palace** and large *tumuli* or **burial mounds**. Hieroglyphic inscriptions are found only on Egyptian imports, and none of the Kushite kings of this period is known.

2

### 1506–1069

**EGYPTIAN KUSH.** Tuthmosis I conquered Nubia past the Fourth Cataract (See [1490–1426](#)). The Egyptians built large temple complexes in Nubia, for example at **Buhen** (Hatshepsut) and at **Abu Simbel** (Ramses II). **Amenophis III** built the city of **Gematen**, opposite modern Dongola, and **Thutmose III** founded **Napata**, on the Fourth Cataract. Nubia was administered by an elaborate bureaucracy headed by the viceroy (“King's Son of Kush”). Local chiefs were also used in the administration, and an **ongoing Egyptianization** occurred. The **population of Egyptian Kush** was probably around 100,000. After the reign of **Ramses XI** (See [1186–1069](#)) nothing is known of Kush until the 8th century.

3

### c. 2500–1150

**THE LAND OF PUNT.** From the 5th Dynasty (c. 2494–2345) the Egyptians sent ships

4

to **Punt** to obtain the **myrrh** grown there and the **frankincense** from south Arabia. The expedition of **Queen Hatshepsut** is the best known. No reference to Punt survives after the reign of **Ramses III**. The introduction of camel caravans in Arabia around 1000 probably ended the Puntine trade (See [Economy, Technology, Society, and Culture](#)).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. The Kingdoms of Napata and Meroë

### c. 780–591

**THE KINGDOM OF NAPATA.** **Alara** (c. 780–760) founded an independent Kushite dynasty with its capital at **Napata**. Under **Piankhy** (or **Peye**, 747–716) the Kushites sacked Memphis, and **Shabako** (716–702) conquered Egypt, founding the 25th (Kushite) Dynasty (747–656), which ruled from the Sixth Cataract to the Mediterranean (See [747–656](#)). **Taharka** (690–664) did extensive building at Napata and campaigned as far east as Palestine. **Tenuatamum** (664–656) was driven from Egypt by the Assyrians, but the dynasty continued to rule in Napata. **Anlamani** (623–593) campaigned against the nomadic Blemmyes and was succeeded by **Aspelta** (593–568). In 591, Psamtek II (595–589) invaded Kush and captured Napata (See [747–656](#)), and Aspelta moved the capital south to Meroë, near the Sixth Cataract. <sup>1</sup>

### 591 B.C.E.–350 C.E

**THE KINGDOM OF MEROË.** Between 591 and 270 B.C.E. **Meroë** became the political capital, but Meroitic rulers continued to be buried at **Napata** (which was recaptured) to the end of the fourth century. The Kushites worshipped Amun in the form of the lion god **Apedemak**. Stone temples, pyramids, and obelisks were built, and a native Meroitic building style developed. The **kingdom's population** was probably around 500,000. Around 525 B.C.E., Cambyses unsuccessfully attempted to conquer the kingdom (See [525–404](#)). In the fourth century three kings left inscriptions: **Ammannoteyeriké**, **Harsiotef**, and **Nastasen**. The kingdom finally collapsed in the third century C.E. under the assault of the nomadic Blemmyes and by the fourth century had been absorbed by the newer kingdom of Axum. (See [Africa, 500–1500](#)) <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## [5. Syria-Palestine, c. 3500–323 B.C.E.](#)

### [a. Geography](#)

**Syria-Palestine** has three geographic zones: a **coastal area** along the Mediterranean, a **desert fringe** along the Syrian Desert, and a double mountain chain from the **central steppe**, which divides the other two zones. In the third millennium the major cities were **Mari** (Tell Hariri), located where the Euphrates met the road to the Mediterranean, and **Ebla** (Tell Mardikh) near the Orontes River. The second millennium saw the development of Canaanite cities: **Ugarit**, **Byblos**, **Sidon**, and **Tyre** along the coast; **Damascus**, **Aleppo (Halab)**, **Carchemish**, **Yamhad**, **Qatna**, and **Qadesh** in the central steppe; and **Hazor**, **Gezer**, and **Shechem** (among others) in Palestine. After 1200, the region is divided into **Palestine** (Philistia, Israel, and Judah), **Aram** (Syria), and **Phoenicia** (discussed separately). The **population of Syria-Palestine** rose from approximately 250,000 in 3000 B.C.E. to about 800,000 by 1000 B.C.E. <sup>1</sup>

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## b. [Economy, Technology, Society, and Culture](#)

Syria-Palestine was originally **heavily forested**, and home to panthers, lions, and even elephants. Deforestation and overgrazing, however, destroyed much of the woodland even in antiquity, though the **cedars of Lebanon** were a valuable item of trade. The desert fringe was the home to **pastoralists**, who used donkeys for transport until the domestication of the camel around 1000 B.C.E. In the steppe region wheat, barley, olives, and grapes were grown. The coastal area relied on **trade**: routes from Anatolia, Mesopotamia, and Arabia led to the Mediterranean coast and were linked by ship to Cyprus, Greece, and Egypt. The coastal cities also produced a famous **purple dye** made from the *murex* sea-mollusk. <sup>1</sup>

Cuneiform texts from **Ebla** are the earliest writing in Syria and included historical texts, lexicons (including a massive Eblaite-Sumerian dictionary), mathematical texts, administrative documents, and letters, as well as literary and mythological texts. By 1400 B.C.E. scribes at **Ugarit** (Ras Shamra) developed a cuneiform alphabet in which is preserved Canaanite literature, including legal, historical, religious, and mythological texts. It is unclear whether the alphabet known as “Phoenician” developed before or after Ugaritic, but it was sometime in the mid-second millennium. Around 750 the Greeks borrowed this **alphabet** from the Phoenicians (See [Geography](#)). <sup>2</sup>

At Ebla and Mari the main deity was **Dagan**—other gods were **Ishtar**, **Baal**, **Rasap**, and **Adad**. The chief gods of the Canaanite pantheon were **El** (God), creator of heaven and earth; **Asherah**, El's consort and the mother-goddess; their son **Baal Haddu** (or Lord Storm); **Anat**, goddess of love and war; and **Dagan**, a grain god. The course of the development of the **monotheistic worship of Yahweh** by the Israelites is problematic. Some scholars see monotheism as an early element of Hebrew religion; others think it a much later development from an earlier polytheism. A Hebrew inscription of the 9th century suggests **Yahweh** had a consort named **Asherah**. <sup>3</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## c. [Ebla and Mari](#)

### c. 3500–1600

#### **EBLA.**

1

### c. 3500–2400

**EARLY EBLA.** **Urban culture** began around the same time as the Mesopotamian Uruk Culture (3500–3100), but the first large palace dates to c. 2700–2400. **Eblaite** was a west Semitic language, possibly an early version of **Canaanite**. 2

### c. 2400–2000

**THE KINGDOM OF EBLA.** At its height **Ebla** controlled the region, from the Orontes to Mari as far north as Carchemish, and held hegemony over a much larger area, from Kanesh in Anatolia to the northern border of Palestine. Ebla's king (*malikum*), was originally **the elected head of an oligarchy** made up of the provincial governors, who were the real power in the land. **Ibrium** (c. 2300) instituted a hereditary, and apparently absolute, monarchy. The kingdom had a **sophisticated economy** controlled by an elaborate palace bureaucracy. Women enjoyed a high position and a freedom unusual in ancient societies. **Sargon of Akkad** campaigned against Ebla, and his grandson, **Naram-Sin** destroyed the city (See [2371–2190](#)). Ebla recovered, although little is known of its history except that it suffered another destruction around 2000. 3

### 2000–1600

**AMORITE EBLA.** After a period of subservience to the kings of Ur III (2112–2004), **Ibbit-Lim** founded the **2nd (Amorite) Dynasty**. Amorite Ebla was much reduced from 4

its third millennium height, but it was still the most important city in northern Syria. The Eblaites traded with **the Assyrian colony at Kanesh** (See [c. 1900–1813](#)). The city was finally destroyed between 1700 and 1600, probably by the Hittites.

### c. 2900–1759

## MARI.

5

### c. 2900–2370

**EARLY DYNASTIC MARI.** Mari flourished in the Early Dynastic Period (2900–2370),<sup>6</sup> and the **1st Dynasty of Mari** is cataloged in the Sumerian King Lists. At some point Mari became tributary to **Ebla**, but when that city fell it recovered its independence.

### c. 1900–1759

**AMORITE MARI.** In the early 19th century, Mari was ruled by an Amorite, **Yaggid-Lim**, who was succeeded by his son, **Yahdun-Lim**. The Assyrian Shamshi-Adad I (1813–1781) conquered Mari and made his son Yasmah Addu its ruler (See [1813–1741](#)). **Zimri-Lim**, (c. 1791–1759), a descendant of Yahdun-Lim, drove out the Assyrians. The **palace at Mari** covered eight acres and contained a library of some 20,000 cuneiform tablets, almost all in Akkadian. Mari was destroyed by Hammurapi in 1759 (See [1813–1741](#)), but continued to be a city-state. It was abandoned in the 8th century.<sup>7</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [The Land of Canaan](#)

### c. 3100–2000

**EARLY BRONZE AGE CANAAN.** City-states developed in Syria-Palestine around **3100**, serving as mediators between the protoliterate culture of Mesopotamia and the Gerzean culture of Egypt. In the mid-third millennium the region was dominated by **Ebla**. Egyptian inscriptions begin at Byblos with **Nebka** c. 2686, and there are close trade relations throughout the period. Around 2300, **Uni**, a general of Pepy I, led an expedition which may have reached Mt. Carmel (See [c. 2345–2181](#)). Mesopotamian culture also exerted influence, and **Sargon the Great** (2370–2316) conquered parts of northern Syria, reaching the Mediterranean (See [2371–2190](#)). <sup>1</sup>

### c. 2100–1800

**FIRST PERIOD OF EGYPTIAN DOMINATION.** The **Amorite invasion** into Syria-Palestine, c. 2000, caused much dislocation, a decline in urbanism, and a return to nomadism in the Transjordan and parts of the central steppe. The **Execration Texts** from the Middle Kingdom Period (2040–1786) establish that **Egypt exercised political control** over southern Syria-Palestine, ruling through local vassal kings at Ashkelon, Beth-Shean, Shechem, Akko, Hazor, and Jerusalem. An inscription of **Sesostris III** (1878–1843) records a campaign which reached Shechem (See [1991–1786](#)). <sup>2</sup>

### c. 1800–1450

**THE GOLDEN AGE OF CANAAN.** By the 18th century, urban culture was reestablished and the Canaanite cities, many with Amorite rulers, **prospered through trade**. Yantinnammu ruled in an affluent **Byblos**; **Ugarit** rose in prominence; and **Hazor**, **Qatna**, and **Aleppo** were great centers of power. The rise of the **Hyksos**, apparently Amorites or Canaanites, is obscure, but in the 17th century they began building an <sup>3</sup>

**empire in the west.** Hyksos sites are characterized by enormous fortifications of earthen-work (*terre pisée*). The Hyksos 15th Dynasty (1650–1552) in Egypt exercised feudal authority in both Palestine and Egypt (See [1786–1552](#)). In the 16th century **Hurrians** (biblical **Horites**) migrated into Palestine. By the end of the period, the Amorites had completely assimilated.

### c. 1450–1365

**SECOND PERIOD OF EGYPTIAN DOMINATION.** Tuthmosis III (See [1490–1426](#))<sup>4</sup> reestablished Egyptian political control over Syria, placing a garrison in Ugarit. Egyptian power loosened under **Akhnaten** (1364–1347), and the Hittite Empire exerted increasing control on the region. The **Amarna Letters**, written by vassal kings in Palestine to the Egyptian pharaohs, give some information on political and social history. The society was **feudal**, with a nobility of chariot warriors and serfs beneath. One segment of the population became outlaws and mercenaries, the so-called **Hapiru**, who often attacked and even took over Canaanite cities. A connection with the later **Hebrews** is possible, but problematic. In the late 14th century, the **Akhlamu**, possible forerunners of the **Arameans**, began to enter Syria (See [1364–1347](#)). In 1270, Egypt and the Hittites divided Syria by treaty, with the boundary at the **Eleutheris River** (Nahr el-Kebir) (See [1289–1224](#)).

### c. 1200

**THE INVASION OF THE SEA PEOPLES.** Around 1200, after having demolished the Hittite Empire, the **Sea Peoples** entered the region, and destroyed Ugarit and Tyre (See [1224–1186](#)).<sup>5</sup> Around 1180, one of the Sea Peoples, the **Philistines** (Peleset), settled on the coastal plain of Palestine. They formed a **league of five city states** (Gaza, Gath, Ashkelon, Ashdod, and Ekron), each governed by a 'tyrant' (*seren*). After the fall of the Hittite Empire, Hittites and Luwians moved into northern Syria and formed the **Neo-Hittite Kingdoms**. There was a northern group under the hegemony of **Carchemish** and a southern group consisting of Ya'diya, Hattina, Arpad, Til Barsip, and Hamath. **Neo-Hittite art and architecture** is a mix of their traditional style with Hurrian, Assyrian, and Aramean traditions. A number of **Canaanite enclaves** (such as the Jebusites at Jerusalem) remained in the interior, but most of the Canaanites retreated to the narrow strip of coastal land from Tyre northward to Arvad. This region is subsequently called **Phoenicia** (See [Geography](#)).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Israel and Judah](#)

### c. 1300–1020

#### ISRAELITE TRIBAL PERIOD.

1

### c. 1300–1200

**THE CONQUEST OF CANAAN.** The biblical tradition traces the tribes of Israel back to the time of the **patriarchs** (Abraham, Isaac, and Jacob), who came from Mesopotamia to Canaan, living there as seminomads. Some scholars place the patriarchs in the context of the **Amorite invasions** in the 19th and 18th centuries, others in the **Aramean migrations** of the 14th to 11th centuries. Another biblical tradition details the migration of the Israelites from serfdom in the eastern Delta of Egypt under **Moses** and **Aaron**. The relationship of these two traditions to each other, and to the archaeological record, is problematic, and the history of Israel obscure, until the **Conquest of Canaan** sometime in the 13th century. It is unclear if the Israelite conquest was a **sudden invasion** or a **gradual infiltration**. In any case, the Israelites adopted the local Canaanite language, and to some extent, religion and customs. The first dated attestation of the People of Israel in Canaan is the **Merneptah Stele** (c. 1220) (See [1224–1186](#)).

2

### c. 1200–1020

**THE PERIOD OF THE JUDGES.** The Book of **Judges** records a story of conflicts between the Israelites and the surrounding Canaanites, Midianites, and Ammonites, in which the **Israelite tribes** joined together under a judge (*shopet*), primarily a military position. In the course of the 11th century, the **Philistines united** under the king of Gath and began an aggressive campaign of conquest against Israel. These attacks culminated around 1050, when the central shrine of the Israelites at Shiloh was destroyed and the **Ark of the Covenant** taken as booty. Around 1020, the last of the judges, **Samuel**, was

3

anointed **Saul** as king of Israel in order to better resist the Philistines.

### c. 1020–930

#### THE UNITED KINGDOM OF ISRAEL.

4

### c. 1020–1000

**THE REIGN OF KING SAUL.** Saul's kingship was limited, and his main title was not *melech* "king" but *nagid* "military commander." Saul's authority was more **charismatic** than **institutional**, and the tribal elders and the prophets (*nabi'im*) sometimes opposed him. Saul was successful for a time in his wars against the Philistines but was defeated and killed by them at the **Battle of Gilboa** (c. 1000). Saul's son **Ishbaal** ruled for a short period but was then assassinated, perhaps at the instigation of the next king, **David**.

5

### c. 1000–965

**THE REIGN OF KING DAVID.** A minor noble from the tribe of Judah, **David** fought in Saul's army but quarreled with the king and withdrew with his clan into the Judean desert. There he operated as a **bandit-chief** and eventually became a **vassal** of the Philistine king of Gath. After the death of Saul, he ruled **Judah** from Hebron for seven years, and when Ishbaal was assassinated, David was elected **king of Israel** by a tribal assembly. Conquering **Jerusalem** from the Jebusites, David made it both a **religious center**, transferring the Ark of the Covenant there, and the **royal residence**. A royal bureaucracy was developed. The **cult of Yahweh was centralized** and used to support the validity of his dynasty. David conquered the northern and Transjordanian tribes, incorporating them into Israel. The Philistines and the Aramean state of Zobah to the north were defeated and made vassals. He entered into a treaty with **Hiram**, king of Sidon and Tyre (969–936). **The earliest Hebrew writings**, including some **Psalms** and historical annals, possibly date to the reign of David.

6

### c. 965–931

**THE REIGN OF KING SOLOMON.** After David's death, Solomon killed his rival half-brother **Adonijah** and took power. With Phoenician help, Solomon built a **Temple** to Yahweh, as well as a magnificent palace and a citadel, in Jerusalem. Solomon

7

reorganized the **administration** and expanded the royal **bureaucracy** and the **standing army**. Diplomatic marriages were made with surrounding powers, including one to the daughter of Pharaoh **Siamun** of Egypt. In partnership with **Hiram of Tyre**, Solomon organized **shipping** for trade in the Mediterranean and on the Red Sea; with Cilicia and Egypt, he developed a cartel in horses and chariots; and he arranged with the **Queen of Sheba** (Saba) for trade in **frankincense and myrrh** from south Arabia (See [c. 1000–420](#)). The population of Solomon's kingdom was probably between 300,000 and 500,000. On Solomon's death, his son **Rehoboam** took the throne, but a revolt broke out under **Jeroboam I** who became king of the bulk of the country. **Rehoboam** retained only Jerusalem and Judah.

## 931–722

### THE (NORTHERN) KINGDOM OF ISRAEL.

8

## 931–909

**THE DYNASTY OF JEROBOAM.** Jeroboam I (931–910) established Israel's political capital at **Shechem** and fought a five-year war with Judah, which ended only with the invasion of Pharaoh **Sheshonq I** (Shishak) in 926 (See [945–715](#)). The Egyptians devastated much of Israel. Jeroboam's son **Nadab** (910–909) was assassinated by a general, **Baasha**.

9

## 909–885

**THE DYNASTY OF BAASHA.** **Baasha** (909–886) fought both with Judah and Damascus. **Ben Hadad I** of Damascus defeated Israel and annexed Bashan, north of the Yarmuk River (See [900–806](#)). Apparently in response to this, Baasha moved the capital to **Tirzah**, whose site is not known. Baasha's son **Elah** (886–885) ruled only two years before he was assassinated by one of his generals. A three-year civil war broke out in which another general, **Omri**, was finally successful.

10

## 885–841

**THE DYNASTY OF OMRI.** Omri (885–874) established a new capital at Samaria, which he fortified, and married his son Ahab to **Jezebel**, daughter of **King Ittobaal of**

11



**Tyre.** Omri attacked and subdued Moab in the Transjordan and also fought against the Judeans, but without much success. **Ahab** (874–853) made peace with Judah, marrying his daughter **Athaliah** to Jehoram, son of Jehoshaphat. In the **Battle of Qarqar** in 853, Ahab, along with the kings of Damascus and Hamath, temporarily stopped the Assyrians (See [858–824](#)). The coalition did not last, and Ahab lost his life fighting against Damascus. Jezebel attempted to **suppress the worship of Yahweh**, in favor of Baal, but was boldly resisted by the prophet **Elijah the Tishbite**. On Ahab's death he was succeeded by his two sons **Ahaziah** (853–852) and **Jehoram** (Joram, 852–841).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [The Land of Aram \(Syria\)](#)

### 1300–1200

**EARLY ARAMEAN MOVEMENTS.** The **Akhlamu**, mentioned in late 14th-century cuneiform records, may be the forerunners of the Arameans. It is certain that **two major movements of Aramaic speakers**, one west into Syria and another into Upper Mesopotamia and Babylonia (the Chaldeans), occurred in the course of the 12th century. <sup>1</sup>

### 1000–900

**EARLY ARAM.** By 1000, the Arameans had become dominant in the region of **Damascus** and **Zobah** (the valleys of the Anti-Lebanon, south of modern Homs). These **southern Aramean states** were already in conflict with Saul. Hadadezer, king of Zobah, led a **coalition of Aramean kings** into the Transjordan, but was defeated by David. David later counterattacked, and Zobah came under **Israelite domination** (See [c. 1000–965](#)). One of Hadadezer's general's, **Rezon**, set up a kingdom north of Zobah and continued resistance to Israel. In the course of the 10th century, the Arameans took over and replaced some of the **Neo-Hittite states** in Syria. Til Barsip became known as **Bit Adini** around 1000, Sam'al became Ya'diya around 920, and Arpad turned into Bit Argusi around 900. These, with Qarqar, Hamath, and others, became the **northern Aramean states**. The population of Aram was probably around 600,000 in 1000 B.C.E. <sup>2</sup>

### 859–855

**THE ASSYRIAN CONQUEST OF NORTHERN ARAM.** Shalmeneser III engaged a **coalition of northern Aramean kings**, Khayan of Ya'diya (Sam'al) and Akhuni of Bit Adini, and the Hittite states of Carchemish and Khattina. At the **Battle of Lutibu** (858) the Aramean-Hittite forces were defeated but not broken. In a second series of campaigns (857–855) Shalmeneser III conquered Bit Adini, the strongest of the northern Aramean <sup>3</sup>

states and turned it into an **Assyrian province** (See [858–824](#)).

## 900–806

**THE RISE OF DAMASCUS.** Damascus became the major Aramean state under the long reign of **Ben Hadad I** (also called Hadadezer, 880–842). In 878, Ben Hadad **defeated Israel** and annexed the territory of Bashan north of the Yarmuk. Ben Hadad again invaded Israel around 855 but was defeated by Ahab at the **Battle of Aphek**. When Shalmeneser, having broken the northern coalition, turned south, Ben Hadad allied himself with Ahab and King Ikhuleni of Hamath. At the **Battle of Qarqar** (853), the Aramean-Israelite coalition defeated Shalmeneser, who retired to Assyria. Ben Hadad subsequently absorbed all the small southern Aramean states. The **Assyrians returned**, however, and in a series of four campaigns Shalmeneser defeated Ben Hadad and took Damascus (842) (See [858–824](#)). Ben Hadad was murdered and a commoner, **Hazael** (842–806), seized the throne. The Assyrians did not remain in the region, and Hazael was left free to pursue his imperial ambitions. He **subjugated Israel** and much of Philistia and **laid tribute on Judah**. 4

## 806–732

**THE DECLINE OF ARAM.** Hazael's son, **Ben Hadad II** (806–750) was unable to hold together the Aramean Empire. Early in his reign he attacked Zakir, king of Hamath, but failed to subdue him. Joash of Israel fought free of Damascene control; indeed under Jeroboam II, Damascus as well as Hamath may have been annexed by Israel. With the **decline of Damascus**, the northern Aramean state of **Arpad** (Bit Argusi) came to the fore. In 755, King Matiel of Arpad allied himself with Urartu (See [744–727](#)) against the Assyrians, but they were defeated by Tiglath-Pileser III in 743. After a three-year siege, **Arpad itself fell**. Rezin, the son of Ben Hadad II, allied himself with Israel in an anti-Assyrian coalition. In 732 Tiglath-Pileser defeated the Aramean-Israelite coalition, and Aram, including Damascus, was divided into **Assyrian provinces**, collectively known as **Aram Naharain** (See [744–727](#)). This was the effective end of Aram as a political entity, although the Aramaic language subsequently became the **lingua franca** of western Asia and replaced Hebrew as the spoken language in Palestine. 5



## **6. Phoenicia, Carthage, and the Phoenician Colonies, c. 1200–322 B.C.E.**

### **a. Geography**

**Phoenicia** is the long narrow strip of land along the Mediterranean from the mouth of the Orontes in the north to Mount Carmel in the south. Its eastern boundary, the Lebanon chain, is rarely more than 12 miles from the coast. The most important cities were **Arvad**, Gubal or **Byblos**, **Sidon**, and **Tyre**; other cities were Marathus, Berytus (Beirut), and Ecdippa. By an arbitrary change of terminology, the Canaanites are called **Phoenicians** after 1200.

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## **b. Economy, Technology, Society, and Culture**

The **arable land** around the Phoenician cities was fertile, but limited, and wheat, grapes, figs, and date palms were staple crops. The Carthaginians developed a highly **systematized agriculture** in North Africa and wrote technical manuals on the subject. The main industry of Phoenicia was the manufacture of purple dye from the *murex* sea-mollusk, but weaving, glassmaking, metalworking, and ivory-working were also important. The famous **cedars of Lebanon** were exported to Egypt and elsewhere. The Phoenicians were famous **traders** and traveled widely from an early period all over the Mediterranean, and eventually as far as West Africa and Britain. <sup>1</sup>

The **Phoenician script** reached its completed form around 1200 B.C.E. Though some inscriptions exist, little Phoenician literature survives, mainly a few translated fragments of the historian **Dius** and the philosopher **Sanchuniathon**. The Phoenicians created a **synthesis** of Egyptian and Mesopotamian culture and were the agents for passing much of Near Eastern civilization on to the Greeks. <sup>2</sup>

The **Phoenician city-states** generally controlled only a small territory around them and rarely attempted to enlarge their land holdings. Generally, the city-states were ruled by hereditary kings assisted by advisory councils of nobles. **Carthage** also originally had a monarchy, but by the fourth century, the government was republican, with two annually elected magistrates (**sufetes**), a senate of 300 (which served for life), and a Council of 104, which had some sort of executive function. It is unclear when the republic replaced the monarchy: Carthaginian leaders are often called “kings,” which might be meant literally or as a translation of *sufet*, literally “judge.” In their late period other Phoenician cities were ruled by elected **sufetes** and senates. <sup>3</sup>

The chief god of Tyre and its colonies was **Melqart**, and Sidon's main deity was **Eshmun**. Both worshipped Resheph (Apollo), Dagon, Astarte, and Tanit. The Phoenicians also worshipped Egyptian deities, especially Isis and Bes. The Carthaginians worshipped **Baal Hammon**, an assimilation of Baal with the Egyptian Amun, perhaps in a Libyan form. Archaeological evidence has confirmed that the Phoenicians and Carthaginians practiced child sacrifice. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Phoenicia](#)

#### 1200–627

#### THE SIDONIAN STATE.

1

#### 1200–1000

**The Rise of Sidon.** **Sidon** and **Byblos** were the chief city-states at the beginning of the 12th century. **Tyre** had been destroyed by the Sea Peoples but was refounded by Sidonians in the 12th century. It was **well protected**, located on an island off the coast, and became the capital of the Sidonian state, which by 1000 dominated Phoenicia. By this time the population of Phoenicia had reached approximately 200,000.

2

#### 1000–888

**The Dynasty of Abibaal.** Under **Abibaal** (c. 1000), Tyre was transformed into a superb harbor and Abibaal's son **Hiram I** (969–935) entered into an alliance with David of Israel, which continued in the time of Solomon (See [c. 1000–965](#)). Phoenician artisans designed and built the temple of Solomon, and joint Phoenician-Israelite fleets sailed in the Mediterranean and the Indian Ocean. Hiram I unified all of Phoenicia from Mount Carmel to Arvad, though vassal dynasties continued to rule at Byblos and Arvad under Sidonian suzerainty. Little is known of Hiram's successors other than their names and dates: Baalmazzar I (935–919), Abd`ashtart (918–910), Ashtart (909–898), and `Astartrom (897–889). The last king of Abibaal's dynasty, Pilles (888) was assassinated by the high priest of Astarte, Ittobaal, who founded a new dynasty.

3

#### 887–627



**The Dynasty of Ittobaal.** **Ittobaal** (887–856) married his daughter Jezebel to Ahab, the son of Omri of Israel, and may also have linked his house by marriage to Ben Hadad I of Damascus. **Baalmazzar II** (849–830) paid tribute to Shalmeneser in 842 and was succeeded by Mittin (829–821) and then by Pu`mayton (**Pygmalion**, 821–774). Pygmalion's sister **Elissa** or **Dido** is credited with founding the city of **Carthage** in 814. **Hiram II** (774–c. 730) paid tribute to Tiglath-Pileser III in 738, but his successor **Luli** (c. 730–701) joined with the Egyptians and Judah in an unsuccessful rebellion against the Assyrians and fled to Cyprus. Sennacherib appointed **Ittobaal II** as king. The next Assyrian vassal king, 'Abdmilkot, rebelled against Esarhaddon, who defeated the Phoenicians, razed Sidon to the ground, and built a new city opposite it called Kar-Esarhaddon. 'Abdmilkot was executed and what was left of Sidon became an Assyrian province.

### 627–573

**THE ASCENDANCE OF TYRE.** The destruction of Sidon left Tyre as the leading city of Phoenicia. **Baalu** (c. 680) rebelled in the reign of Esarhaddon but soon capitulated: his mainland territories were taken from him, and he paid tribute. After the decline of the Assyrian Empire, the Phoenicians enjoyed a brief period of independence, though they never regained their former position, as Greek colonization had ended their near monopoly of trade in the Mediterranean (See [c. 800](#)).

### 573–332

#### **BABYLONIAN AND PERSIAN PHOENICIA.**

### 573–539

**Babylonian domination.** Nebuchadnezzar (See [626–604](#)) invested Tyre in 587, during the reign of Ittobaal III. The siege lasted 13 years; the city probably surrendered in 573. At first, Tyre was ruled by judges (*sufetes*) under Babylonian domination, but after a short time the monarchy was restored.

### 539–332

**Phoenicia under Persian Rule.** When Cyrus came to power in Babylon (539) Phoenicia

was bloodlessly absorbed into the Persian Empire (See [556–530](#)). It was designated as the fifth satrapy, but vassal kings continued to rule in Sidon, Tyre, Arvad, and Byblos. Phoenician fleets played an important part in Persia's wars against Greece. In c. 350, **Tennes** led a revolt against the Persians in Sidon, which was crushed by Artaxerxes III with great loss of life. When Alexander invaded Phoenicia, Tyre was the only city to resist under its last king, **Azemilkos**. The siege lasted from January to August 332. Alexander built an enormous mole across to the island city, which permanently connected it to the mainland. (See [The Persian Empire](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. Carthage and the Western Phoenician Colonies**

### **1100–600**

**The Foundation of the Western Colonies.** The Phoenicians founded merchant colonies <sup>1</sup> as early as the 11th century (at Hazor and Gaza in Palestine, Memphis in Egypt, and Kition (Latarkia) in Cyprus), but these were all quarters within established cities rather than separate settlements. Literary sources place the foundation of Phoenician colonies at **Lixus** (on the Atlantic coast of Africa), **Gades** (on the Atlantic coast of Spain), and **Utica** (in North Africa) at around 1100, but these dates have not been confirmed archaeologically. These three early colonies were probably settled by late 10th or early 9th centuries. Around 850, the settlement at Kition moved out of the native town and established itself as an independent town called Qart Hadasht—New City. The next Phoenician colony to be founded became the most famous—**Carthage**. The city's Phoenician name was the same as Kition's: **Qart-Hadasht** (Greek **Carchedon** and Latin **Carthago**). Several versions of its founding exist: one has **Elissa** (Dido) fleeing from Tyre and founding the city of Carthage in the 7th year of Pu`mayton (814), but another source gives the foundation date as 751. No archaeological remains have been uncovered at Carthage before the 8th century, but both dates remain possible. The colony of **Sexi** in Spain was also founded in the 8th century, probably in response to a growing Greek colonization movement. In the 7th century, the Tyrians established settlements at **Lepcis Magna** and Hadrumetum in North Africa; **Motya** in Sicily; and Sulcis, Caralis, Nora, and Tharros in Sardinia. Around the same time, **Mogador** was founded on an island on the West African coast, 450 miles south of the Strait of Gibraltar. Carthage established **Ibiza**, off the east coast of Spain, 160 years after its own founding, in 654 or 591.

### **600–322**

**The Rise of Carthage.** Around 600, Carthage tried unsuccessfully to prevent the <sup>2</sup> Phocaeans from founding Massilia (Marseilles) (See [600](#)), and in the 6th century, open war broke out between the Greeks and an alliance of the Etruscans and

Carthaginians. The Carthaginians under **Malchus** defeated the Greeks in Sicily around 550. In 535, the Carthaginian-Etruscan alliance crushed the Phocaeans in the sea **Battle of Alalia** in Corsica. From the mid-sixth to fourth centuries, **Mago** and his descendants dominated Carthage, either as monarchs or as political strongmen. By this time, the population of Carthage was probably around half a million—about 20 percent Phoenician and the rest native Berbers. In 508, the Carthaginians signed a treaty with the new Roman state. While Xerxes was invading Greece, in 480 (See [c. 586–330](#)), the Carthaginians invaded Sicily but were defeated at the **Battle of Himera** by the forces of Syracuse and Agrigento. Around this time the Carthaginians turned inland, taking over the city's fertile Libyan hinterland. In the fifth century the **voyage of Hanno** occurred down the African coast, as far as Sierra Leone and perhaps Nigeria, as well as the **voyage of Himilco**, which may have reached Britain or Ireland. Around 409, war broke out again between Syracuse and Carthage: in a seesaw struggle Dionysius sacked Motya in 398 and the Carthaginians besieged Syracuse unsuccessfully in 396. The Syracusans ultimately won this war, but fighting between the Carthaginians and Syracusans continued through much of the fourth century. In 348, a second treaty was signed with Rome, and the subsequent history of Carthage is part of Roman history (See [344 \(348\)](#)).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## [7. Asia Minor, c. 3000–333 B.C.E.](#)

### [a. Geography](#)

**Asia Minor**, or Anatolia, is a peninsula stretching westward from the Armenian mountains to the Aegean Sea, with the Black Sea to the north and the Mediterranean to the south. **Western Anatolia** contained four fertile river valleys, was called Arzawa and Assuwa in Hittite times, and later contained Troas, Mysia, and Lydia. In the southern part of the peninsula lay the Lukka Lands (Lycia) and to the east Kizzuwatna, later Cilicia. The northern Pontic coast was home of the warlike Kaska peoples. Most of Asia Minor is dominated by the **central plateau**. In its western part was Phrygia; in the center, south of the great Salt Lake (Tuz Göl), was the fertile Konya plain; and to the east of the Halys river was Hatti, the center of the Hittite Empire. In the southeast of the peninsula, Cappadocia was located in the **Anti-Taurus range**. In easternmost Anatolia, the mountains rise to the high peaks of Armenia. It was the most populous region of ancient western Asia, with a **population** of some 3 million through the Bronze Age.

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## **b. Economy, Technology, Society, and Culture**

In the fertile valleys of the west, as well as the Konya valley and Cilicia, grain, olives, and grapes were grown. Raising stock was important in the more mountainous regions. Both the Taurus and southwest Anatolia had mines, which provided copper, silver, iron, and gold. Since the peninsula lay on the land bridge to Europe and was the sea route from the Mediterranean to the Black Sea, trade was always a large part of the economy. The earliest writings in Asia Minor are 19th-century B.C.E. records of the Assyrian merchant colony at Kanesh in Cappadocia (See [c. 1900–1813](#)). In a later period, both **Hattic** and **Hittite** were written in cuneiform. After the fall of the Hittite Empire, so-called **hieroglyphic** Hittite was used to write inscriptions in the Luwian language. The Phrygians used an alphabet borrowed from the Phoenicians, but their language remains untranslatable. 1

The Hittite Empire adopted the palace bureaucracy of the Mesopotamian kingdoms along with the cuneiform script. Although the Hittite king was called the Sun and served as military leader, high priest, and judge, the Hittite state was not centralized, but feudal. Chariot-riding nobility were allotted serfs for their support in exchange for military service. The city-states of the west and south generally were ruled by kings, and some regions, like the Pontic coast, remained tribal in organization. 2

The Hattians worshipped the sun goddess Wurusemu and the storm god Taru; the Hurrians, Teshup and Hapat; and the Luwians, Tarkhunt. The **Hittite religion** was peculiarly syncretistic and mixed Hattic, Hurrian, Luwian, Akkadian, and Sumerian gods with native Hittite deities such as the sun goddess Arinna. The chief deities of the Phrygians were **Cybele** (or **Ma**, the Great Mother) and **Attis**, a god who died and was resurrected. Little is known about the religion of the Lydians: the gods **Santas** and **Baki** (Bacchus) were named in their inscriptions. 3



## c. [The Hattians and the Hittites](#)

### c. 3000–2000

**THE HATTIANS AND THE LUWIANS.** The **Hattians** inhabited central Asia Minor <sup>1</sup> in the third millennium. Their language, known from Hittite religious texts, is without known affinities. They appear to have been absorbed by the Hittites. Sometime after 2300, the **Luwians**, an Indo-European-speaking people, settled in southern Anatolia.

### c. 2000–1200

**THE HITTITES.** <sup>2</sup>

### 2000–1700

**THE HITTITE INVASION OF ASIA MINOR.** The Indo-European-speaking Hittites <sup>3</sup> migrated into central Anatolia from Europe sometime around 2000. Around 1800, the Hittite King **Pitkhana** of Kussara and his successor **Anitta** defeated the Hattic rulers of Hattusas and Kanesh. They sacked **Hattusas**, but used **Kanesh** as the capital of a Hittite state.

### c. 1680–1500

**THE OLD KINGDOM.** **Labarnas I** (c. 1680–1610) founded what is known as the Old <sup>4</sup> Hittite Kingdom or **Hatti**. **Hattusilis I** (c. 1660–1620) moved the capital to Hattusas (modern Boghazköy), located in the bend of the Halys River. He conquered the area of the Konya plain, which became the center of the Hittite empire, then overcame Alalakh in northern Syria and campaigned against Arzawa in the far west. His successor **Mursilis I** (c. 1620–1595) defeated a Hurrian army, destroyed Aleppo, and then boldly marched



south into Mesopotamia. The Hittites took Babylon, pillaged it, and brought down the 1st Dynasty of Babylon (1595) (See [1749–1595](#)). Political disturbances brought Mursilis back to Hattusas where he was assassinated in a coup d'état. After his death a series of petty kings ruled, and the Old Kingdom declined in power. The Hurrians (See [1749–1595](#)) took the North Syrian region, which they named **Hanigalbat** and Cilicia, now called **Kizzuwatna**. When **Telepinus** (c. 1520) came to the throne he halted the kingdom's decline of Hatti, pushing back the Hurrians. Telepinus issued an edict on the law of succession that stabilized the crown. The Hittite law code also dates from this general period.

### c. 1420–1200

#### THE HITTITE EMPIRE.

5

### c. 1420–1375

**THE EARLY KINGS. Tudhaliyas II** (c. 1420) established a new dynasty, but in the reigns of Arnuwandas I (c. 1425), Hattusilis II (c. 1400), and Tudhaliyas III (c. 1420–1375), the Hittite state was almost destroyed. The Hurrian kingdom of Mitanni attacked on the east, and Arzawa, now important enough to correspond with the Egyptian pharaoh, pressed from the west. The Kaska tribes from the north succeeded in taking and sacking Hattusas. The Hittites faced a desperate situation, when Tudhaliyas's son, who had served as commander of the army, took the throne.

6

### c. 1375–1345

**THE REIGN OF SUPPILULIUMAS. Suppiluliumas** rebuilt Hattusas, expanding the city and fortifying it with a four-mile-long wall of stone and brick. He also reorganized the home territories and then marched against the Hurrians. His first encounter with Tushratta of Mitanni resulted in a severe defeat for the Hittites, but, with the help of Artadama II, the rival to Tushratta for the throne of Mitanni, Suppiluliumas was able to conquer the capital Washukkani and Mitanni was turned into a vassal (See [c. 1550–1250](#)). The Hittites then attacked the Amorite kingdoms of northern Syria, and the two largest, Aleppo and Carchemish, were taken and given Hittite princes as kings (See [1365–1078](#)). The wealthy coastal city-state of Ugarit paid tribute. Suppiluliumas also campaigned against the Kaska peoples, keeping them under control. Suppiluliumas fell victim to a plague, and his son, Arnuwandas II (1345–1344), died after only a year.

7

## c. 1344–1250

**THE HEIGHT OF THE HITTITE EMPIRE.** In the early part of the reign of **Mursilis II** (1344–c. 1310), Ashur-Uballit I took Mitanni and annexed it to Assyria. Mursilis had more success against Arzawa in the west, defeating and killing its king. A revolt in Carchemish was pacified, and for many years he fought almost annual campaigns against the Kaska. **Muwatallis** (c. 1310–1280) inherited a powerful, well-organized empire from his father, but Ramses II was ambitious to regain Egypt's Syrian possessions and the inevitable battle was fought at **Qadesh on the Orontes** in 1286 (See [1305–1186](#)). Ramses claimed a victory but probably falsely, as Muwatallis continued his advance as far as Damascus, and the Hittites retained firm control of northern Syria. During the king's absence in Syria, the **Kaska** again sacked Hattusas, and, perhaps as a result, Muwatallis moved his official residence to **Tarhuntassa**, somewhere in the Taurus Mountains. **Urhiteshup** (c. 1280), Muwatallis's oldest son by a royal concubine, was shortly deposed by his uncle **Hattusilis III** (c. 1280–1250). In 1270, Hattusilis signed an important treaty with Ramses II, setting a boundary between the Hittite and Egyptian Empires. The treaty was probably made to counter the growing threat of Assyria under Shalmeneser I (See [1365–1078](#)). Hattusilis married Puduhepa, the daughter of a Hurrian priest from Kizzuwatna, and the couple issued edicts jointly. Hurrian influence appears in sculpture, particularly on the **reliefs of Yazilikaya**, with their enormous processions of gods.

## c. 1250–1200

**THE FALL OF THE HITTITE EMPIRE.** **Tudhaliyas IV** (c. 1250–1225) was almost continuously at war in western Anatolia: fighting the kings of Arzawa, as well as the **Ahhiyawa** (probably Achaeans from the Greek mainland). He conquered the island of Cyprus (Alashiya) to obtain control of its copper deposits. In the reign of Arnuwandas III (c. 1225–1220), the situation in the western provinces abruptly worsened, and in the reign of Suppiluliumas II (c. 1220–1200) the final waves of the **Sea Peoples** (See [1224–1186](#)) and Phrygians destroyed the empire.



## **d. The Phrygians and the Lydians**

### **c. 1200–1000**

**THE PHRYGIAN INVASION.** The Indo-European-speaking Phrygians came from Thrace about 1200 and occupied the whole of Asia Minor from the Sea of Marmara to the border of Assyria. They were divided into two groups of tribes, **Mushki** (biblical Meshech, perhaps the Mysians) and **Tabal** (biblical Tubal). 1

### **c. 1000–700**

**THE KINGDOM OF PHRYGIA** arose in the western part of the central plateau, with its capital at Gordium, not far from modern Ankara. Since the Phrygian inscriptions cannot be read, almost nothing is known of their history. Greek legend speaks of a King **Midas** of the Phrygians, whose touch turned objects to gold, but, ironically, a royal burial that was discovered unlooted in 1955, while quite elaborate, contained no gold whatsoever. **Midas** might be the individual called Mita of Mushku mentioned in the inscriptions of Sargon II (c. 715). The **Cimmerians** invaded Phrygia and devastated the kingdom, but the Phrygian nation remained independent until its conquest by Cyrus in 547 (See [556–530](#)). 2

### **c. 800–685**

**THE LYDIAN KINGDOM.** Little is known about the early history of the Lydian kingdom. Its capital Sardis was located on the Magnesia River between the Ionian cities of the coast and Phrygia. Lydia survived the devastation of the Cimmerians c. 695, which destroyed Phrygia. Herodotus relates the story of King Candaules' overthrow by his closest friend and advisor, Gyges. 3

## 685–547

**THE DYNASTY OF THE MERMNADAE.** Gyges (680–652) was the founder of the Mermnadae dynasty and defeated the nomadic Cimmerian tribes, extending the borders of his kingdom. A tablet recording an embassy of Gyges to Ashurbanipal of Assyria survives, but Gyges sent Carian and Ionian mercenaries to aid Psammetichus I in driving the Assyrians out of Egypt (See [664–525](#)). In 652, the Cimmerians renewed their attack on Lydia, and Gyges fell in battle. Gyges' successor **Ardys** (652–625) overcame the Cimmerian menace and then turned to fight the Greek cities along the coast of Asia Minor. The **Lydians invented coinage** in the 7th century using **electrum**, a natural alloy of gold and silver.

4

## 609–560

**THE REIGN OF ALYATTES.** Under Alyattes, the Greek cities of the coast (except Miletus) were conquered. In 590, **Alyattes** began a war with Cyaxares of Media which lasted for five years. After a battle, which can be dated by a solar eclipse to May 28, 585, a treaty was signed. Alyattes' daughter married Astyages, son of the Median king. The enormous tumulus tomb of Alyattes was described by Herodotus and is still to be seen near the ruins of Sardis.

5

## 560–546

**THE REIGN OF CROESUS.** Croesus brought the Lydian kingdom to its height. He controlled all of Asia Minor west of the Halys except Cilicia and Lycia. Under Croesus, pure gold coins were minted for the first time. In 547, Croesus went to war with Cyrus of Persia (See [556–530](#)) but was completely outmaneuvered. The Persians routed the Lydians in a pitched battle at Sardus, and Croesus was taken prisoner. A Lydian noble named Pactyas took the throne and continued resistance but was defeated.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

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### **e. [Persian Asia Minor](#)**

Asia Minor was divided into four satrapies. Lydia and Mysia, plus all of the cities along the western coast, were ruled from Sardis. A second province, Phrygia, with its capital at Daskylion, extended to the Halys River. The satrapy of Cilicia was ruled from Adana, and that of Cappadocia from Mazaca. The Royal Road connected Sardis to Susa, 1677 miles away. By this time the population of Asia Minor was probably around 4 million, including some 250,000 Greeks. The Greek cities revolted against the Persians from 499–494, and in 498, Sardis was burnt by the Ionians and Athenians. The army that Xerxes sent to Greece gathered somewhere in Cappadocia and wintered in Sardis from 481–480. In 407, Cyrus, the brother of Artaxerxes III, was appointed satrap of all Asia Minor. From there he planned and organized the revolt which culminated in his death at the **Battle of Cunaxa** (401). Asia Minor was the first part of the Persian Empire invaded by Alexander the Great (See [336](#)). He defeated the Persians in decisive battles in the region, first at **Granicus** (334), near the Sea of Marmara, then at Issus in **Cilicia**. From here he went on to conquer all the Persian Empire. <sup>1</sup>

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## 8. [Armenia, c. 1300–331 B.C.E.](#)

### a. [Geography](#)

**Armenia** is a mountainous region lying between the Black and Caspian Seas. The mountains of Kurdistan separate it from Mesopotamia, and its northern border is the Kura River. The region contains three great lakes: Van, Urmia, and Sevan. In the Urartian period, the main cities were **Tushpa**, **Erebuni**, and **Rusahinili**. The only major city in the Armenian period under discussion was **Armavir**. 1

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## **b. Economy, Technology, Society, and Culture**

Farming was excellent in the fertile river valleys, and fine wine was produced. Husbandry<sup>1</sup> was also highly developed: Urartian cattle and sheep were famous for their high quality, and superb horses were raised. At its height, the **Kingdom of Urartu** had a technology and culture equivalent to any in western Asia. Urartian architecture is noteworthy for the quality of its masonry, and its mountain-fortresses are impressive feats of construction. The Urartians also built formidable **hydraulic works**: an aqueduct brought fresh water 47 miles to Tushpa. After the invasion of the Armenians in the 6th century, the material culture regressed considerably and little survived of the Urartian civilization. In the Urartian period, a native hieroglyphic script was used alongside cuneiform. In Persian Armenia, Iranian written with Aramaic characters was utilized. The chief Urartian deity was **Haldi**, a warrior god; the storm god was **Teisheba** (Hurrian Teshup) and his wife was **Huba** (Hebat). After the Armenians arrived in the region, they adopted the **Zoroastrian** religion of the Persians (See [Economy, Technology, Society, and Culture](#)). (See [Economy, Technology, Society, and Culture](#))



## **c. Urartu (Van)**

### **c. 1300–c. 850**

**THE EARLY HISTORY OF URARTU.** The Urartians were related to the Hurrians and moved into the region sometime in the second millennium. In the time of Shalmeneser I (1275–1246), the region was divided into a number of small kingdoms and subsequently became tributary to the Assyrians. The Aramean invasions of the 11th century drove the Assyrians back to their homeland (See [1078–977](#)), and at some point afterward the kingdom of Urartu was established around Lake Van, with its capital at **Tushpa**. <sup>1</sup>

### **c. 850–584**

**THE KINGDOM OF URARTU (VAN).** Shalmeneser III defeated the first known king of Urartu, **Aramu** in 856. Sarduri I (c. 834) and Ishpuini (c. 822) also fought the Assyrians. **Menua** (c. 800) increased Urartian power, occupying the entire Armenian highland area, and built the walls and aqueduct of Tushpa. Argishti I (786–764) built the city of Erebuni as a royal capital. **Sarduri II** (764–735) reorganized the army along Assyrian lines and extended Urartian power as far as northern Syria. In 743, however, Tiglath-Pileser III defeated the Urartians and reestablished Assyrian control over north Syria. The Assyrians attacked Urartu itself in 735, annexed Urmia, and besieged Tushpa (unsuccessfully). In 714 Sargon II launched a carefully planned attack against **Rusa I** (735–714) and defeated the Urartian army. Although defeated by marauding Cimmerians in 707, **Argishti II** (714–685) kept the Assyrians at bay and built a number of new fortresses and irrigation works. Such projects were continued by his son **Rusa II** (685–645), who completed a new capital **Rusahinili** (Toprakkale). After the death of Rusa II, the Urartian kingdom declined. Sometime after 584, the Medes defeated King Rusa IV and destroyed Rusahinili. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [Armenia](#)

### 612–559

**ARMENIA UNDER MEDIAN RULE.** Around the time that the Medians took over <sup>1</sup>Urartu, the Armenians arrived in the region. The Armenians spoke an Indo-European language, but their origins are obscure. They may have originated in Phrygia, or even farther west, or may have arrived with Iranian tribes north of the Black Sea.

### 559–331

**ARMENIA UNDER PERSIAN RULE.** When Cyrus took over Astyages' kingdom in <sup>2</sup>559, the region was absorbed into the Persian Empire. Darius I (522–486) (See [c. 522–486](#)) made Armenia the 13th satrapy of his reorganized empire. It is in an inscription of Darius that the Armenians are first explicitly mentioned (519). In 401, Xenophon and the Ten Thousand arrived in the region, fleeing from the Persians (See [c. 586–330](#)). The satrap of Armenia at the time was Orontes I (c. 401–366). His son and successor, Orontes II (366–331) was killed fighting Alexander the Great at Arbela (See [331](#)). Alexander appointed Orontes II's son, **Mithanes**, to be the satrap. The dynasty, the **Orontids**, eventually became kings and ruled Armenia until 200 B.C.E.

## 9. [Iran, c. 2700–330 B.C.E.](#)

### a. [Geography](#)

**Iran**, or Persia, extends from the Zagros Mountains to the Indus Valley, and from the Persian Gulf to the Caspian Sea. The southwestern region was the site of the Elamite cities **Anshan** (Malyan), **Simashki** and **Susa**, and later the homeland of the Persians. The highland area was urbanized very late; the Median cities of **Ecbatana** (Hamadan) and **Rhagae** and the Persian **Persepolis** and **Parsargadae** were built only in the first millennium. In 1000 B.C.E. the population was around 2 million. 1

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## **[b. Economy, Technology, Society, and Culture](#)**

In the southwest urban life based around the temple and the royal palace flourished from an early period, but groups in the highlands usually remained tribal in organization. A hieroglyphic script (**Proto-Elamite**) was used as early as 2900 B.C.E., but around 2230 the Elamites adopted the cuneiform script, which was used as late as the Persian period. Though a large number of tablets have been found, Elamite still cannot be translated. The Persians also used cuneiform to write their language in monumental inscriptions. <sup>1</sup>

The religion of Elam, like Mesopotamia, had an organized priesthood and ziggurat temples. The main gods of the Elamites were **Humban**, the sun god **Nahhunte**, and **Inshushinak**, the god of Susa, but Sumerian deities such as Inanna and Nanna were also worshipped. The original religion of the Medes and Persians was similar to that of the Vedic Indians, with many gods, including **Mithra** and **Varuna**, in common. The Median religious reformer **Zoroaster** (Zarathustra, c. 630–550) introduced monotheism. **Zoroastrianism** banned the sacrifice of animals and the use of intoxicants and introduced the idea of individual salvation through the free choice of God (**Ahura Mazda**) over the Spirit of Evil (Angro-mainyu or **Ahriman**). The priests of the religion were known as **Magi**, originally a Median tribe. <sup>2</sup>

## c. [The Elamites](#)

### c. 2700–2230

#### EARLY DYNASTIC ELAM.

1

### c. 2700–2550

**THE FIRST DYNASTY OF AWAN** was contemporary to the Mesopotamian Early Dynastic Period, though none of the kings are known. The first mention of Elam is in the Sumerian King List: Enmebaragesi (c. 2700) “carried off the arms of the land of Elam as booty.” Eannatum of Lagash also raided Elam, and temple records from Lagash (c. 2300) speak of an Elamite raid on Sumer. A state of more or less constant warfare existed between Sumer and Elam throughout the 3rd millennium (See [2113–2004](#)).

2

### c. 2550–2230

**THE SECOND DYNASTY OF AWAN** was founded by **Peli** and ruled from Susa. The king ruled through a viceroy, often the king's brother, and the monarchy appears to have been elective. The provincial governors had considerable independence. Sargon of Akkad (2371–2316) defeated **Hishap-Resher** and sacked Susa. Under Naram-Sin (2291–2255) a treaty (the earliest known) was made with the king of Elam who was made a vassal. The last king of the dynasty **Kutik-inshushinak** (c. 2240–2230) threw off the yoke of Akkad and took the title “King of the Four Quarters.” He did a great deal of building in the sacred acropolis at Susa. The Dynasty of Awan, like that of Akkad, fell victim to Gutian incursions (See [2371–2190](#)).

3

### 2230–c. 1400

## THE OLD ELAMITE KINGDOM.

4

### 2230–c. 1925

**THE DYNASTY OF SIMASHKI.** Shulgi of Ur (2095–2048) conquered Susa, where he did considerable building, including a temple to Inshushinak. The Sumerians set up a frontier force made up of mercenary Elamites, commanded by a *sukkal-mah*, or Great Regent. Independent kings ruled in **Simashki** to the north of Susa. In 2021, the fifth king of Simashki, **Enpi-luhhan** attacked Elam and took Susa. Ibbi-Sin of Ur counterattacked and captured the Elamite king, but despite another invasion in 2017, the Sumerians were unable to maintain control of Elam. Soon afterwards, in alliance with tribes from the Zagros, the new king of Elam, probably **Hutran-tempti**, attacked and destroyed Ur itself. Royal succession in the Simashki dynasty was through the king's sister (and wife), who was called the “reverend mother” (*amma hashtuk*). In 1993, Ishbi-Erra (2017–1985) drove the Elamites from Ur, but the kings of Simashki continued to rule Elam. The end of the dynasty is obscure; its last certain king was **Indattu II** (c. 1925).

5

### c. 1925–1400

**THE DYNASTY OF EPARTI** began around the same time the Awan dynasty ended. Its kings styled themselves “Great Regent,” after the military title of the Ur III period, as well as “King of Anshan and Susa.” The dynasty reached its height under **Kutur-Nahhunte I** (c. 1752) who conquered southern Babylonia. Texts from Elam indicate large Akkadian and Amorite minorities in the country. Kurigalzu I, the Kassite king of Babylonia, conquered Elam around 1400 (See [1595–1150](#)).

6

### c. 1350–1110

## THE MIDDLE ELAMITE KINGDOM.

7

### c. 1350–c. 1200

**THE DYNASTY OF IGI-HALKI.** Elam regained its independence in the 14th century under Igi-Halki, who took the title “King of Elam.” Untash-napir-risha (c. 1250) founded a new capital **Dur-Untash** (Tchogha-Zambil), with a large ziggurat temple. The last king of this dynasty was Kiten-Hutran.

8

## c. 1200–1110

**THE DYNASTY OF HULLUTUSH-INSHUSHINAK.** Around 1200, Hullutush-Inshushinak I founded a new dynasty. Around 1160, **Shutruk-nahhunte** invaded Mesopotamia and took Babylon. He brought back spoils, including the Code of Hammurapi, to Susa and placed his son, Kutir-Nahhunte III, on the throne of Babylon. On his father's death, Kutir-Nahhunte III (1155–1150) became king of Elam but lost Babylon. **Shilak-Inshushinak I** (c. 1150–1120), one of the greatest kings of Elam, conquered large areas in the highlands and parts of Mesopotamia, but Hutelush-Inshushinak (c. 1120–1110) lost Anshan to Nebuchadnezzar I of Babylon (See [1156–1025](#)). After his reign, records cease and the end of the kingdom is obscure.

9

## c. 820–640

**THE NEO-ELAMITE KINGDOM.** Early in the 9th century, Humban-Tahrah founded a new dynasty, with its capital at Susa. Humban-nikash (743–717) joined forces with Merodoch-Baladan II and defeated Sargon II at the **Battle of Der** (721). The next king, **Shutruk-Nahhunte II** (717–699), conquered a considerable area to the northwest. Hallushu-Inshushinak (699–693) deposed his brother, raided Mesopotamia, and carried off Sennacherib's son, who was reigning as king of Babylon. Humban-numena (692–687), allied with the Arameans and Persians, defeated Sennacherib at the **Battle of Halule** (691). There was further fighting between Elam and Assyria over the next 40 years. Ashurbanipal defeated and killed **Tempt-Humban-Inshushinak** (Tuemman, 663–653) and made Elam an Assyrian vassal. The Assyrians invaded again in 647 and sacked Susa (See [668–627](#)). Humban-haltash II (648–644) fled but was turned over to Ashurbanipal and executed. Elam regained its independence but was absorbed into the Persian Empire in 538.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)



## d. [The Medes and the Persians](#)

### c. 1500–559

#### THE MEDES.

1

### c. 1500–850

**THE ARYAN INVASION OF IRAN.** The Medes were an **Aryan** (Indo-Iranian) people who entered the Iranian plateau around 1500 along with the Persians, Parthians, Bactrians, and Arachosians, while other Aryan tribes went on to conquer northern India. The Medes themselves were divided into six tribes (one of which was called the **Magi**). Nothing certain is known of Median history until their first mention in the Assyrian records of Shalmeneser III (859–825) (See [858–824](#)).<sup>2</sup>

### 701–625

**MEDIA UNDER ASSYRIAN RULE.** Sometime during the 8th century B.C.E., the Medes established a capital at **Ecbatana** (Hamadan) on the mountainous eastern fringes of Babylonia. The Dahyauka mentioned in Assyrian sources as a Median chieftain around 715 might be **Deioces**, who Herodotus says founded the Median dynasty. **Sennacherib** (705–682) made the Medes tributary in 701, but a revolt broke out in 674 under Khshathrita (possibly Herodotus's **Phraortes**), who ruled an independent Media for some time. Zoroaster (c. 630–550) introduced his religious reforms in Media. After a period of Scythian domination, **Cyaxares** (Huvakhshtara, 624–585) became king of Media and reorganized the army along Assyrian lines. The Medians took and sacked Ashur in 614. Cyaxares then allied himself to Nabopolassar of Babylon and, in 612 the Medians and Babylonians destroyed the Assyrian capital Nineveh (See [626–609](#)). Cyaxares and Nabopolassar divided the Assyrian Empire between them. In 609, the Medes conquered Urartu. Between 590 and 585, Cyaxares fought a war with the Lydians, which ended with<sup>3</sup>

a marriage alliance. Little is known of the subsequent history of the empire until its fall under **Astyages** (Arshit-vega, 584–549).

### c. 850–549

**THE RISE OF THE PERSIANS.** Sometime in the 9th century, another Aryan tribe, the **Persians**, settled in Anshan to the south of Susa. In the early 7th century, one of their chiefs, Achaemenes (Hakhamanish) founded a dynasty, the **Achaemenids**, and won independence from the Neo-Elamite kings. His son, **Teispes** (Chishpish), took the title “King of Anshan” and allied himself with the Elamites in their war against Sennacherib. When Ashurbanipal sacked Susa in 646, **Cyrus I** (Kurush) became an Assyrian vassal. After the rise of Cyaxares, Persia became a Median dependency. Around 560, the Median King Astyages arranged for his daughter to marry the Persian King Cambyses I. Their son Cyrus II served as a commander in the Median army.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [The Persian Empire](#)

### 556–530

**THE REIGN OF CYRUS THE GREAT.** On the death of his father, Cyrus II became the king of the Persians. In 553, Cyrus led a revolt against his grandfather Astyages. Although he suffered some early defeats, the Median army eventually went over to Cyrus, and he took Ecbatana in 549. Cyrus now ruled the entire Median Empire. In 546 Cyrus conquered Lydia, adding much of Asia Minor to his realm. Cyrus then defeated King Nabonidus, entered Babylon in 539, and took over all the Babylonian Empire: Mesopotamia, Phoenicia, and Syria-Palestine. <sup>1</sup>

### c. 530–521

**THE REIGN OF CAMBYSES.** Cyrus was succeeded by **Cambyses** (Kambujiya) who, to ensure the throne, had his brother **Smerdis** (Bardiya) killed. Cambyses defeated Psammetichus III and by the summer of 525 had taken control of all of Egypt, but he was unsuccessful in an attempt to conquer the Kushite kingdom of Meroë (See [591 B.C.E.–350 C.E.](#)). In 522, a pretender named Gaumata seized the throne, claiming to be the dead Smerdis. Cambyses died on his way to deal with the revolt. <sup>2</sup>

### c. 522–486

**THE REIGN OF DARIUS I.** A member of another branch of the Achaemenid family, **Darius I** (Darayavaush) defeated Gaumata's revolt as well as other revolts in Babylonia and the eastern provinces. Darius's commemoration of his achievements, the **Behistun inscription**, written in Old Persian, Elamite, and Akkadian, became the key to the modern decipherment of cuneiform. Darius later added the Indus Valley and Libya to his empire, now the largest the world had ever known. He reorganized the administration and divided the empire into 20 **satrapies**, as well as introducing a standard gold coinage, the <sup>3</sup>

**daric**. At its height, the Persian Empire probably contained around 15 to 16 million inhabitants, with some 4 million in Persia proper. There were royal residences at Susa, Persepolis, Ecbatana, and Babylon, and good roads, with stations for royal messengers, which made possible regular communications within the vast realm. After 513, Darius started expanding into Europe and led an expedition which crossed the Danube. In 499, the Ionian Greeks in Asia Minor revolted but were suppressed after a six-year war. The Athenians had aided the rebels, and to punish them Darius sent the expedition which was defeated at the **Battle of Marathon** (490) (See [490](#)).

### c. 586–330

**THE DECLINE AND FALL OF THE PERSIAN EMPIRE.** The next king, **Xerxes I** (Khshayarsa, 486–465), undertook a major invasion of Greece but was defeated at sea in the **Battle of Salamis** (480) and on land at **Plataea** and **Mycale** (479). After Xerxes' murder in a palace coup, **Artaxerxes I Longimanus** (Rtaxshaca, 465–424) took the throne. Athens took the offensive against Persia by sending troops to aid a revolt in Egypt (456–454) and by attacking Cyprus (450), but finally readied a peace agreement with Persia in 448 (See [448](#)). The empire suffered a series of coups d'état: **Xerxes II** (424–404) was assassinated by his brother Sogdianus (424), who in turn fell at the hands of **Darius II Nothus** (424–404). **Artaxerxes II Mnemon** (404–358) faced the rebellion of his brother Cyrus, who raised an army in Anatolia which included ten thousand Greek mercenaries. The rebel army won the **Battle of Cunaxa** (401) near Babylon, but Cyrus was killed. The Greeks marched back to the Black Sea under the leadership of Xenophon, who wrote the **Anabasis** (“March Upcountry”) about the experience. Another insurrection broke out in Asia Minor under Datames, the satrap of Cappadocia, and spread to the western satrapies (366–360). Egypt won its independence in 404. **Artaxerxes III Ochus** (358–338) succeeded through energetic measures in reconstituting the empire but faced the growing power of **Philip of Macedon**, who had unified the Greeks under his rule (See [338](#)). Both Artaxerxes III and his weak son, Arses (338–336), were assassinated, and it was **Darius III Codomannus** (336–330) who met the invasion of Philip's son, **Alexander the Great**. Alexander defeated the Persians at the battles of Granicus (334), Issus (333), and Gaugamela, near Arbela (331). The next year, Darius, fleeing from the Macedonians, was killed by some of his nobles (See [330](#)). (See [The Neo-Persian Empire of the Sassanians, 223–651 C.E.](#))



## 10. [Arabia, c. 850–332 B.C.E.](#)

### a. [Geography](#)

**Arabia** is divided into northern and southern regions. The north is mainly flat desert dotted by oases, while in the southwest the Sarat Mountains rise up to 10,000 feet and receive generous rainfall. The main trade route ran through **Yathrib** (Medina), with a western branch running through Dedan to Ma`in to Gaza and an eastern branch through **Teima** to **Qedar** (Duma) to Mesopotamia. The population was around 100,000 in 2000 B.C.E., rising to around 500,000 by the end of the second millennium. 1

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## **[b. Economy, Technology, Society, and Culture](#)**

The **domestication of the camel**, around 1000 B.C.E., made possible a Northern Arabian nomadic culture based on goat-herding and shepherding. Some oases supported permanent settlements, which combined stock raising with date cultivation. The use of the camel also led to overland trade with South Arabia. In South Arabia, the mountainous terrain was cultivated on a network of terraces. Arabia controlled the long-distance trade in spices and raw silk from the Far East and, in addition, produced **frankincense and myrrh**, resins used in religious rituals throughout the Mediterranean world. The frankincense tree grew only in Dhofar (in modern Oman) and myrrh was harvested around the peninsula (especially in Ma`in). <sup>1</sup>

In this period Aramaic was the written language of North Arabia, but native **Sabean and Minean scripts** developed in the south. The polytheistic religion of Northern Arabia lacked a structure or priesthood, but Southern Arabian religion was temple-based. Each Southern Arabian tribal state was under the patronage of a god, but there was a common pantheon. Major deities were **Athtar, Ilmaqa, and Wadd**. <sup>2</sup>

## c. [Northern Arabia](#)

### c. 850–700

**NORTHERN ARAB TRIBES.** Tiglath-Pileser III (745–727) received 30,000 camels as tribute from Samsi, an Arabian queen, and Sennacherib (704–681) defeated a Queen Iati'e of the Arabs (See [704–681](#)). These “Queens” were probably tribal leaders, and the Assyrians did not establish political control in the region. Tribes such as the **Abdeel** and **Nebaioth** roamed near Palestine. <sup>1</sup>

### c. 700–400

**THE KINGDOM OF QEDAR.** The Qedarites were the most organized of the Northern Arabian tribes, and at its height in the 6th century, the organization controlled a large region from the Persian Gulf to the Sinai. Ashurbanipal allied himself with the King **Yauta`** (676–652), though he later helped depose him in favor of **Abiyate** (652–644). After this, nothing is known of Qedar until the 5th century, when an Aramaic inscription names Geshem and Qainu as kings. The “Geshem the Arab” mentioned in the Book of Nehemiah is possibly this person (Neh. 2:19, 6:1). <sup>2</sup>

### c. 550–332

**BABYLONIAN AND PERSIAN DOMINATION.** It was Nabonidus (555–539) who first conquered Northern Arabia (See [561–539](#)). The purpose behind his mysterious ten-year sojourn in the oasis of Teima is unknown, but he subdued most of Northern Arabia during his stay. The region was peacefully absorbed into the Persian Empire in 539, and units of Arabs on camels took part in Xerxes' campaign in 480. After Alexander defeated the Persians, Northern Arabia regained its independence. <sup>3</sup>



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [Southern Arabia](#)

### c. 1000–420

**THE SOUTHERN ARABIAN KINGDOMS.** From about 1000, the **Hadrami** tribe ruled the Wadi Hadramaut from Shabwa and controlled the production of frankincense. The **Mineans** lived along the eastern foothills of the Sarat Mountains, with a capital at **Ma`in**. Minean edicts were issued in the name of both their king (*malik*) and a council of nobles and priests. **Saba** was the wealthiest and most advanced of the South Arabian kingdoms. At its capital **Marib**, as well as at Sirwah, Yithil, and Sana, there were palaces and temples to the tribal god Ilmaqa. The king had more power than at Ma`in, although there was a tribal council. Some scholars connect the **Queen of Sheba** (1 Kings 10:1–13) with a Saba in the north, but the consensus is that she came from Southern Arabia. Sargon II (721–706) received tribute from King **Ita'amra** and Sennacherib from **Karib'il** (685). 1

### c. 420–332

**THE SABEAN EMPIRE.** The greatest Sabean king was **Karib'il Watar** (c. 420), who conquered Ma`in, Hadramaut, Awsan, and Qataban and took the title *mukarrib*, something like “emperor.” The succeeding *mukarribs* engaged in massive building projects, like the stone dam at Mar'ib, which distributed the waters of the Wadi Dhana for agriculture. The Sabean kingdom declined in the 3rd century and control over the desert trade shifted north to the Kingdom of Nabatea. (See [The Middle East and North Africa, 500–1500](#)) 2



## **C. Early Civilizations and Classical Empires of South and East Asia**

### **1. South Asia, to 72 B.C.E.**

An early urban civilization in the Indus Valley produced the polished stone, metals, incised seals, and pictographs excavated since 1920 at Harappa and Mohenjo-Daro. Harappan civilization began in the middle of the third millennium B.C.E. It generated a writing system that has yet to be deciphered. It was anchored in two great cities along the Indus River, Harappa itself and Mohenjo-Daro, each carefully laid out in a gridlike pattern. Extensive building suggests a strong governing elite capable of organizing forts, city walls, and extensive urban sewage systems. Trade was conducted with the Middle East, China and Southeast Asia, but military technology lagged, with scant use of bronze. Priests figured prominently in a polytheistic religion, with abundant artistic expression of goddesses and sacred animals. The civilization declined by the second millennium B.C.E. and was thereafter open to nomadic invasions. 1

A good deal more is known about the civilization that emerged much later with invasion from the Iranian plateau by **Aryans** of uncertain antecedents, who gradually conquered, pushed back, or absorbed the earlier **Dravidian** and Austro-Asiatic **Munda** populations. The conquest is variously placed at 2000–1200 B.C.E. 2

#### **1200–c. 800**

The Indian Aryans worshiped nature-gods. The chief gods were **Indra**, god of the air and of the storm; **Agni**, the sacrificial fire; and **Soma**, the intoxicant used for libations. **Varuna** was worshiped as guardian of cosmic regularity, including individual human acts. The oldest sacrificial hymns, composed in north India west of the Ganges (perhaps 1200), are contained in the *Rigveda*, which dates from c. 1000 B.C.E., possibly two centuries prior to the related *Gathas* in the *Avesta* of Iran; the *Samaveda*, which contains antiphonal selections from the Rig; the *Yajurveda*, hymns and sacrificial prose; and the *Atharvaveda*, a repertory of magical formulae. The *Rigveda* reveals an Indo-European hieratic literary language remarkable for clarity of structure and wealth of inflection, 3

which was originally transmitted orally. This normative text depicts a patriarchal society, engaged in cattle raising and agriculture, characterized by usual monogamy, adult marriage, and normal widowhood. The Aryan tribes were frequently at war among themselves and with indigenous tribes. Their attitude toward life was vigorous and objective; the doctrine of reincarnation and the correlated aspiration to release are absent.

### 800–c. 550

A transition period during which the Aryans expanded eastward through Magadha (modern Bihar) is known chiefly from the *Brahmanas*, prose commentaries upon the *Vedas* (c. 800–600), and the earlier *Upanishads* or confidential teachings (c. 600–300). These texts include the first religious justifications for a hierarchical structuring of society, asserting the Vedic division of Aryan society into three honorable classes: priests (*brahman*), noble warriors (*kshatriya*), and commonalty (*vaisya*), including both farmers and artisans. These “twice-born” castes were augmented by a fourth group, the slaves (*sudra*), consisting of non-Aryans with whom the twice-born classes had no ritual community. Progressive **evolution of the concept of caste** in these normative texts may be traced to desire of priest and noble to perpetuate supremacy, to diversification of specialized occupation, to indigenous rules of endogamy, and to absorption of the sudras, many of whom improved their servile status. The relationship between normative prescriptions and actual social practice is, however, debatable. It is clear that successful military campaigns brought to power men with varied social antecedents who then claimed kshatriya status. Significant social mobility made the textual definition of the caste hierarchy more theoretical than real. Continual elaboration by the priesthood of an already laborious ritual had become devoid of religious significance. The doctrine of continuous rebirth (*samsara*), conditioned by the inescapable results of former acts (*karma*), was first expressed in the early *Upanishads* (c. 600–550). The *Upanishads*, too, teach that the soul may escape from the suffering inherent in individual existence only by the realization of its identity with an impersonal cosmic soul. Union with the latter is possible through knowledge, but not through Brahman ritual.

4

### 550–321

The north Indian area was divided among many petty states. These divisions suggest a much larger pattern characteristic of the subcontinent throughout much of its history: an ongoing tension between localized rule (increasingly clustered around distinct regional cultures) and larger kingdoms or empires. Sixteen small states are enumerated in an early list. **Kosala** (King Prasenajit, contemporary of the Buddha) was the largest,

5

extending from Nepal to the Ganges, including modern Oudh. **Magadha** was its small neighbor on the east, south of the Ganges. The King of Avanti ruled at Ujjain. The capital of the Vamsas (King Sedayama) was at Kosambi (on the Jumna below Agra). Ten tribal republics are named in the oldest Pali records.

A general estimate of **population** at the end of the 4th century B.C.E. puts it around 100 million, a figure calculated partly from the size of the Indian army as described in Greek sources discussing Alexander of Macedon's campaign in north India. (Another estimate for the early 17th century C.E. uses the same figure, suggesting relatively little absolute population growth before the modern period, although there would have been important ebbs and flows in the intervening centuries, brought on by famine, drought, and disease and countered during periods of good trade and agrarian production, as well as immigration patterns.)

**Dissent from Brahmanism**, to abolish authority of its scriptures and rites, was found in many schools, among them the **Jains**, followers of the Jina (“Victorious”); Vardhamana Mahavira (?540–468?), who elaborated the doctrines of an earlier prophet **Parsya**; and in Magadha under Kings Bimbisara (?543–491?) and his parricide son Ajatasatru (?491–459?). Parsya had enjoined four vows: to injure no life, to be truthful, not to steal, and to possess no property. **Mahavira** added chastity and rigid asceticism as a means to a free man's immortal soul from bondage to the material world.

**BUDDHISM** was founded in the same period and region by **Siddhartha** (?563–483?) of the clan of Gautama and the hill tribe of Sakya, who attained “illumination” (*bodhi*) at Bodh-Gaya after he had convinced himself that Brahman doctrine and asceticism were alike ineffective. He taught the means of escape from the world of suffering and rebirth to **Nirvana**, a state of peaceful release from rebirth, through a twofold way of life, withdrawal for meditation and personal religious experience, combined with strict morality and self-sacrificial altruism. Shortly after the Buddha's death, 500 disciples met at Rajagriha to rehearse together his doctrine (*dharma*) and his code of discipline (*sangha*) which he founded. That community served as the instrument for propagation of his religion, which, like Christianity, offers salvation to all who accept the simple doctrine and ethics and seek for personal religious experience. A second **council at Vaisali** a century after the Buddha's death was concerned with the *vinaya*. About this time were formed the four *Nikayas*, earliest extant anthologies from more primitive collections (*Pratimoksa*, and so on).

**Darius I** of Achaemenid Persia seized Gandhara from the disunited Aryans and sent his Greek admiral Skylax to explore the Indus. *Kharoshthi* script, used in northwestern India (5th century), is based on Aramaic of the Persian scribes. It remained confined to the northwest. 9

The *Sutras* (c. 6th–2nd century B.C.E.), “Threads” through the **Brahmanas**, compendious manuals designed to be learned by heart, prescribe rules of conduct of various Vedic schools, regions, and periods, for sacrifice and incidentally, for daily life and describe a society in which plural marriage is permitted and child marriage recommended, while numerous taboos mark the beginning of an elaborate theory of caste defilement. **Panini** (c. 400) gives in his *Sutra* the earliest extant Sanskrit grammar, with a wealth of illustration which is augmented by the *Varttikas* or supplementary rules of Katyayana (c. 180) and the rich *Mahabhashya* (Great Commentary) of Patanjali (c. 150). 10

### 327–325

**Alexander the Great** (See [325](#)) invaded the Punjab, crossed the Indus (Feb. 326), was welcomed to the rich and cultured city of Takshasila (Taxila), won a battle on the banks of the Jhelum, and withdrew on demand of his troops, sending Nearchus with a fleet by sea. Important **cultural contacts** took place between Hellenistic and Indian civilizations. 11

### c. 321–c. 184

The **MAURYA DYNASTY** was founded by **Chandragupta** (c. 321–c. 297), who first united north India from Herat to the Ganges Delta with his capital at Pataliputra (Patna) and who defended it against Seleucus Nicator (c. 305). The emperor ruled with aid of a privy council and an elaborate official hierarchy, paid army, and secret service. Administration of public works embraced highways and irrigation, important underpinnings for the expanded trade characteristic of this period. 12

A Jain high priest **Bhadrabahu** led a portion of his community south into the Carnatic to escape a 12-year famine in Bengal. On their return (c. 300) the still resident monks in church council at Pataliputra undertook to collect the Jain scriptures but were unable to record some of the older *purvas*. The canon of the Svetambara sect, the *Siddhanta*, written in its present form at the council of Valabhi (5th or early 6th century C.E.), is consequently incomplete. The returning monks maintained a stricter rule, avoided the council, and, as the **Digambara sect**, have steadily maintained that the true canon is lost. The **Jain** community had then already begun a westward migration to Ujjain and Mathura. 13

Despite the vagaries of political rule, a continuity of strong **trading relationships** 14

provided coherence and consistency for society. In particular, merchants became increasingly wealthy, powerful, and influential. Indeed, it was merchant patronage that ensured the expansion of both Jainism and Buddhism in this period. **Merchant guilds** shaped much of urban life, influencing public opinion and organizing production.

**Artisans**, too, participated in guilds that set standards for quality and rules for work. The guilds had to be registered in the locality; some of the leading guilds including potters, metalworkers, and carpenters. (Given the fact that sons usually followed the trade of their fathers, guilds also became associated with caste. If an occupation underwent a transition, however, this triangulated relationship between work, social status, and economic organization was disrupted.) <sup>15</sup>

### c. 274–c. 236

**ASHOKA'S EMPIRE**, extended by conquest of Kalinga (Orissa with the Circars, c. 262), embraced two-thirds of the peninsula. As a devout convert he ruled at home and abroad in accordance with Buddhist law. This ideological connection between kingship and religion also served Ashoka well in positioning his kingdom to support trade and merchants, and the strong political support he received from traders was an important aspect of his rule. <sup>16</sup>

Besides many pious foundations, he engraved on rocks and pillars throughout his empire in true Achaemenid-style edicts in vernacular Prakrit exhorting respect for animal life, reverence, and truth, and appointed censors to enforce these injunctions. He sent Buddhist missions to Syria, Egypt, Cyrene, Macedonia, and Epirus, and with much greater success to Burma and Ceylon (c. 251–246; Aryan conquest of Ceylon, traditional date 485 B.C.E.). The Punjab and Gandhara became a stronghold of the liberal Mahasanghikas, who developed a canonical tradition enriched by legends to bring the life of the Buddha into that region. The canon was then or in the 2nd century expanded in Kausambhi, Sanchi, and Malwa and fixed in Pali to form the *Tripitaka* (“Three Baskets”): *stura* (doctrine), *vinaya* (monastic code), and *abhidharma* (philosophical discussion). The Pali tradition, which was carried to Ceylon and there preserved intact, says a third church council was held at Pataliputra under Ashoka. <sup>17</sup>

The west remained the chief stronghold of **Brahman doctrine** which now reasserted itself. The gradual absorption of substratum cults within the formal brahmanistic framework under the tutelage of the Brahmans gave rise to the complex system of beliefs and practices, characterized as the two main sects of **Saivism** (worship of Siva) and **Vaishnavism** (worship of Visnu and his avatars or incarnations). Major gods arose: **Siva**, personification of cosmic forces of destruction and reproduction implicit in all change; **Vishnu**, god of the sacrifice who was recognized as incarnate in **Krishna**, a hero presented by popular legend at Mathura as romantic lover of cowherd-girls, and on <sup>18</sup>



the west coast as a somber warrior. A second avatar or reincarnation of Vishnu was **Rama**, symbol of conjugal devotion. To Vishnu as Preserver and Siva as Destroyer was added **Brahma** the Creator, a personification of the Brahman principle of the *Upanishads*.

The *Mahabharata*, an epic poem composed by several generations of bards, seems to have taken form about the 4th century B.C.E., although probably revised early in our era. The original 9,000 verses were swelled to 100,000 by later accretions, including myths, legends, popular philosophy, and moralizing narratives. It recounts a feud between the wily Kurus and the fierce Pandus. Krishna takes prominent part in the struggle as counselor of Arjuna, the Pandu chief. Noteworthy within the epic is the *Bhagavadgita* (“Song of the Lord”), which first urges personal love and devotion (*bhakti*) to Krishna. The *Ramayana*, although traditionally ascribed to Valmiki (?6th century B.C.E.), is, in its present form, later than the *Mahabharata*. It recounts the trials of Rama in rescuing, with an army of apes, his wife, Sita, from a fiend. Both epics are composed in a popular form of Sanskrit.

The **increasing prosperity and resulting influence of merchants** suggests a society that departed from the normative theories put forward in these texts. Indeed, Ashoka's pleas for social harmony suggest that those labeled *vaisyas* and placed third in the hierarchy persistently challenged Brahmins and *kshatriya* through their patronage of the heterodox sects of Buddhism and Jainism and through their support of the ruler. Social and economic tension undoubtedly was mirrored in religious life.

One way to ease this tension lay in giving the king increasing power by seeing him as the connecting point for various communities in the realm. Ashoka elaborated this connection through a new interpretation of *dhamma* (or **dharma**), which assigned to the king the duty of enabling each caste to fulfill its own *dharma*. The polity thus was seen as a congeries of distinct groups, each with its own duties or social responsibilities to fulfill, integrated by the figure of the king. To effect such a political theory, Mauryan government created a centralized **bureaucracy**, dependent especially on the treasurer and chief (tax revenue) collector; Mauryan fiscal accounts were carefully kept. Ashoka also traveled extensively to stay in touch with, and to influence, public opinion. He elaborated, as well, the use of spies into an **espionage system** that brought him regular news of his far-flung empire.

## 206

**Antiochus III** of Syria occupied Gandhara but shortly lost it to the Greek (Yavana) King Demetrius of Bactria, who (c. 185) seized the Punjab also. Eastward expansion of the Yavanas was halted (after c. 162) by civil war between the houses of Euthydemus, represented especially by the warrior-philosopher Menander, and Eucratides.

## c. 184–c. 72

The **SUNGA DYNASTY** was founded in the Ganges Valley and in Malwa by **Pushyamitra**, who overthrew the Maurya and repulsed the Yavanas under Menander, and by a Brahman reaction that may have stimulated Buddhist emigration to Bharhut, Sanchi, and Mathura. The dynasty in its later years was overshadowed if not actually displaced by its line of Brahman advisers, the **Kanvas**.

23

At the same time (c. 100 B.C.E.–50 C.E.) flourished in Gandhara a school of sculpture which created a Buddha image based on the Greek Apollo. Only a few decadent monuments (mostly 1st century C.E.) bear dates (318, 356, 384 with coin of Kadphises, 399) by reference to a Mauryan era (?322 B.C.E.) or more probably the Seleucid era of 312 B.C.E. Stylistic influence of the art of Gandhara was exerted chiefly in Afghanistan (frescoes of Bamiyan and Dukhtar-i-Nushirwan), where it was fused with Sassanian influences, eastern Turkestan, China of the North Wei dynasty, and Japan. But its iconographic formulae were accepted by the entire Buddhist world. Meanwhile, in western India (near Bombay) were cut in rocky cliffs Buddhist *chaityas* or temple halls, of which the earliest (c. 125–100 B.C.E.) are at Bhaja, Kondane, Pitalkhora, and Ajanta (cave 10); the largest, finest, and latest (1st century C.E.) at Karli. Jain caves in the Udayagiri hills of Orissa are of similar date.

24

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [South Asia, 72 B.C.E.–500 C.E.](#)

By the end of this period, the **rule of the Guptas** (c. 300–700 C.E.) over much of north India provided an integrative pattern taken by later historians as representative of a “classical civilization.” The characteristics of Gupta rule, in which some centralization and some rise in the standard of living (especially for elite groups) took place, were taken as establishing certain norms for a broad-based empire ruling over much of the subcontinent. At the same time, and in tension with this characterization of a political “norm,” a series of regional politico-cultural clusters began to solidify that provided alternative bases for state formations. In particular, based on the very different geographical and agrarian patterns in the north and south, these halves of the subcontinent tended to foster different sizes and forms of polities. (See [South Asia, 500–1199](#)) <sup>1</sup>

### a. [North India: Punjab and the Gangetic Plain](#)

#### 1st Century B.C.E

Dating of the known Saka rulers, the “**Great King Moga**” or Maues, Azes, and Azilises, raises a complex chronological problem affecting the whole epoch from 100 B.C.E. to 200 C.E. It springs from multiplicity of eras, which are hardly ever explicitly identified. <sup>2</sup>

The **Pahlavas** (Parthians closely related to the Scythians) under Vonones and his brother Spalirises became independent in eastern Iran with the title of “King of Kings” sometime (c. 30? B.C.E.) after the death of Mithridates II (88 B.C.E., supposed by L. de la Vallée Poussin to begin a Pahlava era). **Azes II**, son of Spalirises, succeeded the Sakas in the Punjab. Pacores was the last to rule as suzerain, although others probably continued as satraps. <sup>3</sup>

The Kushana **Kujula Kadphises** forcibly united the five tribes of Yüeh-chih in Bactria (end 1st century B.C.E.) and seized from the Pahlavas the Kabul Valley and adjacent regions. His son **Vima Kadphises** conquered northwestern India and ruled it by deputy till his death at 80. An inscription near Panjtar speaks of a “Gushana Great King” under <sup>4</sup>

date “122” which is 64 or 34 C.E. by the Azes or Pahlava systems. The inscriptions of “136” similarly belong to 78 or 48 C.E.

### c. 78–176+ C.E

A second **Kushana dynasty** was founded by

5

### c. 78–96+ C.E

**KANISHKA**, who extended his rule from Benares and Kabul to the Vindhyas, and established his capital at Peshawar. Whether or not the era he founded is the “Saka” era of 78 C.E., he probably came to the throne near that date.

6

Kanishka appears to have been tolerant in religion and built a great stupa at Peshawar over relics of the Buddha. A fourth church council, unknown to the Pali sources, was apparently convoked at Jalandhara in the Punjab by the powerful Sarvastivadin, a realist sect of the conservative **Theravada** (Hinayana, (See [2nd Century C.E](#))). It probably supervised translation into Sanskrit of the canon which had been fixed in Prakrit in Mathura, the Punjab, and Kashmir in the last centuries B.C.E. The earliest and most vigorous classical Sanskrit is found in Asvaghosha's *Saundarananda* (“Conversion of Nanda”) and the *Buddhacharita*, an artistic versified life of the Buddha, together with a work long supposed to be his *Sutralamkara*, which is now identified as the *Kalpanamanditika* of Kumaralata, a junior contemporary.

7

### 2nd Century C.E

Kanishka's successors with their inscriptions (dated in terms of his reign) are: his son Vasishka (24, 28, 29); the latter's son Kanishka II (41); his younger brother Huvishka (29 or 33–60); Vasushka, son of Kanishka II (68, 74); and Vasudeva (76–98).

8

Ujjayini (Ujjain) became a center of Sanskrit learning and was taken as meridian by Indian astronomers. At Mathura, where sculpture early resembled that of Bharhut and San̄chi, and later imitated the forms of Gandhara, the heavy drapery of the Hellenistic school was rendered transparent and schematized in decorative ridges, creating the so-called *Udayana Buddha* carried to China and Japan.

9

The Buddhist community was now divided between two means to salvation: the **Hinayana**, or Lesser Vehicle, which retained much of the primitive simplicity of the *Dharma*, “Law” by which Buddhism was then named; and the **Mahayana**, or Great

10

Vehicle, which emphasized personal devotion to Sakyamuni and exalted **Bodhisattva** (future Buddhas) as saviors. Although practically deified in the *Lalitavistara* (2nd century ?, Chinese trans. 308) and *Saddharma-pundarika-sutra*, “Lotus of the Good Law” (Chinese trans., 265–316), Buddha is regarded as but the human representative (*manushi-buddha*), for the current epoch, of an infinite series of buddhas. Popular bodhisattvas are Avalokitesvara (*Lotus Sutra*, ch. 24), Manjusri (*Avatamsaka-sutra*, 2nd–3rd centuries, Chinese trans. 317–420), Samantabhadra, and Kshitigarbha, all of whom have deferred their own illumination to succor struggling mankind. The goal of effort is no longer sainthood or final absorption in nirvana, but direct attainment of buddhahood or rebirth to indefinite residence in a celestial paradise. Nagarjuna (2nd century), founder of the *Madhyamika Sutra*, teaches that all sensory and mental experience is illusion and comments on the *Prajñāpāramitā*, “*Perfect Wisdom*” (Chinese trans. 160), which consists in recognition of the Buddhist law as sole reality.

Already before this era Indian writers recognized and wrote treatises about three phases of human existence: **dharmā**, religious and moral duty; **artha**, politics and practical life; and **kama**, love. The *Artha-sastra* (compounded from earlier materials c. 300–330) aims to teach a prince the whole science of successful rule according to accepted principles. It assumes autocratic monarchy, justification of all means by the end (personal aggrandizement), and chronic war. It advocates use of spies in all quarters; deception, intimidation, false witness, and confiscation to obtain money; cunning; and assassination. Virtuous rule is described because it is desirable to win affection of a conquered people. The *Kamasutra* (“Laws of Love”) by Vatsyayana Mallanaga (c. 4th century or later) imitates the *Artha-sastra* in both form and morals. 11

### 320–c. 535

The **GUPTA DYNASTY** united north India after five centuries' division. 12

### 320–c. 330

**Chandragupta I** ruled from Pataliputra (Patna), having strengthened his position by marriage into the ancient Lichchavi tribe. 13

### c. 330–c. 375

**Samudragupta**, his son, completed the conquest of the north (Aryavarta) and won glory by traversing Telugu lands to force homage of the Pallava. He claimed to receive tribute 14

from southeastern Bengal; Assam; and Nepal; with presents from the Kushan “son of Heaven and king of kings” (now actually vassal of the Sassanids) in Kabul-Kapisa-Gandhara; the satrap of Ujjain; and the King Meghavanna (352–379) of Ceylon (who founded a monastery at Gaya for his subjects). He revived the Vedic horse-sacrifice which sanctified claim to the title of “universal monarch.” He was a patron of poetry and music.

### c. 375–c. 415

**Chandragupta II Vikramaditya** (on throne in 379) ended the satrapy of Ujjain by conquest of Malwa, Gujerat, and Surashtra (between 388 and 401). He moved his capital to Ayodhya (in Awadh) and then to Kausambi on the Jumna. 15

### c. 415–455

**Kumaragupta I** probably founded the monastic community at Nalanda which was the principal Buddhist seminary till it burned c. 988. 16

### 455–c. 467

**Skandagupta** repulsed the White Huns, as heir apparent and as emperor (455). 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [The Deccan](#)

The **DECCAN** was dominated (from c. 100 B.C.E. to c. 225 C.E.) by a dynasty called **Andhra** by the late *Puranas* but **Satavahana** or **Satakani** in their own Prakrit inscriptions. Founded by Simuka on the ruins of the Sunga-Kanva power, with its capital at Pratishthana (Paithan) on the upper Godavari, its early conquests to the north and northwest were appropriated by the Saka satraps. A Saka satrap **Bhumaka** established Scythian power on the northwest coast (c. 70 C.E.). Nahapana, junior to him, ruled many years over Surashtra (Kathiawar) and the adjacent coast with a capital probably at Junnar, east of Bombay. Named Mambanos in the *Periplus* (c. 89), his inscriptions are dated “41–46” (?119–124 C.E.), probably with reference to the Saka era of 78. <sup>1</sup>

### c. 109–132+

**Gotamiputa Siri Satakani** conquered Surashtra from Nahapana and in an inscription at Nasik (18th year of his reign, c. 126) claimed not only the Deccan from the Vindhya to Banavasi, but less probably Malwa as well. Very likely by this epoch the Satakani had extended control over the properly Andhra Teluga (Dravidian) lands of the Godavari and Kistna deltas. The Prakrit poems of the *Sattasai* in part date from this time. Liberal toward all religions, the Satakani especially exalted the Brahmins. <sup>2</sup>

Sculptures about the great Buddhist stupa of Amaravati on the lower Kistna reveal union of Hindu traditional style with its crowding and naturalism, already more refined than at Bharhut and Sanchi, with Greco-Buddhist motifs which were borrowed from Gandhara and in turn transmitted to Malaya, Sumatra-Java, Cambodia, and Champa. <sup>3</sup>

### c. 120–c. 395

A **DYNASTY OF WESTERN SATRAPS** of Ujjain in Malwa was founded by Bhumaka's son Chashtana (Tiastanes of Ptolemy, c. 150). <sup>4</sup>

## c. 170

**Rudradaman**, Chashtana's grandson, in a Sanskrit inscription at Girnar in Kathiawar, records repair of a dam which broke in 150 C.E., defeat of northern tribesmen, and repeated rout of the southern Satakani. (See [Deccan and Western India](#)) 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### c. [South India](#)

The whole Indian peninsula south of the Vindhyas, save for a part of Maharashtra (Nasik and Pratihthana) easily accessible from Malwa and already Aryanized, was occupied by **Dravidians**: Canarese-speakers on the northwest, Telugu-speakers on the east, and Tamil-speakers in the Carnatic. Jainism, brought to Sravana Belgola in Mysore under Chandragupta (end 4th century B.C.E.), flourished in the Digambara, “naked clergy,” form which the north rejected. Buddhism with its stupas and sculpture was brought to Amaravati and Mysore under Ashoka. Sanskrit culture and Hindu culture were carried from the south to Cambodia about the opening of our era. Sanskrit influence is clear in the early Tamil grammar *Tolkappiyam* and in the *Kural* of Tiruvalluvar, lofty songs of a priest of pariahs (2nd–3rd centuries C.E.). Brahman colonies with Saivite and Vaishnava sectarianism and the caste system were at various periods imported from the Ganges Valley and endowed by local rulers, as was done also in Bengal. 1

The south, however, placed its own impress on what it received and developed linga-worship, *bhakti* devotion to Vishnu and Siva, organization of Saiva monasteries and laymen, occasional violent religious intolerance, especially between adherents of Vishnu and Siva, and municipal and corporate life with a sacrificial spirit of personal loyalty. 2

In search of the great profits on spices sold to the Romans, merchants on west and south coasts began to sail eastward to Java, Sumatra, and Bali. Their sharply increased wealth helped to fund expanding urbanism and the spread of Buddhism and Jainism. 3

**2nd century C.E.** Ashoka's inscriptions name three **Tamil states** in the Carnatic: Pandya (extreme south), Chola (southeast), and Chera or Kerala (southwest coast, chief port Muziris). These competed with Maesolia at the mouth of the Kistna and especially with the rich western port of Barygaza (Broach) in thriving trade with the Roman Empire. An embassy to Augustus (c. 22 B.C.E.) was sent by a king “Pandion” who may have been a Pandya. Strabo (d. 21 C.E.) speaks of fleets of 120 ships from Egypt to India, and Pliny (23–79) values annual imports from India at 50 million sesterces. 4

**King Karikalan** of early Tamil poems is credited with construction of a great irrigation dam on the Kaveri River, east of Trichinopoly. 5

**c. 225**

Breakup of the Satakani Empire led to establishment, in Maharashtra near Nasik, of a 6

**c. 250–c. 500**

**Traikutaka dynasty**, probably founded by chiefs of the pastoral Abhira tribe. 7

**c. 300–888**

The **Pallava warrior dynasty** of foreign (Pahlava?) origin, using Prakrit and later Sanskrit, held from Kanchi (near Madras) hegemony of the Deccan, which it disputed with the Chalukyas of Vatapi (550–753), the Rashtrakutas of Malkhed (753–973), and the Chalukyas of Vengi (611–1078). 8

**c. 300–c. 500**

**The Vakatakas**, extended their power from the fortress of Gawilgarh in northern Berar to Nagpur, Bundelkhand, and Kuntala, probably limiting Gupta expansion to the south. 9  
Farther south the **Chutu branch of the Satakani**, called Andhrabhrityas in the Puranas, ruled at Banavasi (c. 200–c. 250) where they were succeeded by 10

**c. 350–c. 500**

The **Kadamba dynasty**, founded by a Brahman rebel from the Pallava. His great-grandson **Kakutsthavarman** (c. 435–475) married his daughters to a Gupta, a Vakataka (445), and a Ganga of Mysore. 11

In the Telugu lands, the Andhras were succeeded by the **Ikshvaku dynasty** (3rd century), notable for donations to a Buddhist stupa on the Nagarjunikonda (hill), on the Kistna above Amaravati; by the 12

**c. 300–450**

**Salankayana of Vengi;** and by the 13

**c. 400–611**

**Vishnukundins**, a dynasty of at least ten kings at the same place. (See [South India](#)) 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### d. [Ceylon \(Sri Lanka\)](#)

Ceylon traditionally received Buddhism from Ashoka under 1

**?247–?207 B.C.E**

**Devanampiya Tissa**, who founded the Mahavihara or Great Monastery at his capital Anuradhapura. The Pali *Tripitaka*, which reflects Theravadin tradition, was written under 2

**89 B.C.E.–40 C.E. or 29 B.C.E.–?17 C.E**

**Vattagamani**, who founded the rival Abhayagiri Monastery. His epoch is supported by the geography (c. 90–200 C.E.) of the *Mahaniddesa*, a commentary admitted late to the Canon. 3

**412–434**

**Mahanaman**, Buddhaghosha of Magadha, author of the *Visuddhimagga* or “Way of Purity,” recorded in Pali Sinhalese traditions. (See [Ceylon](#)) 4

### **3. Southeast Asia, c. 500 B.C.E.–500 C.E.**

For both the Malay Archipelago and the mainland areas of Southeast Asia, the main characteristic during this period was of scattered centers of civilization with widely divergent linguistic patterns (See [Japan](#)). What has been called the *mandala* pattern organized space and the polities within it (often this meant an unstable political situation in a vaguely definable geographical area without fixed boundaries; these boundaries expanded and contracted regularly); within these mandalas would reside several tributary rulers. Typical of the entire Southeast Asia area, between the 3rd and the 13th centuries C.E., was the appearance of hundreds of Indic kingdoms (*negara*), in which rulers adopted the Indic models of kingship and social order. 1

**Demography.** Characteristic of this period, in areas where there was surplus food production—resulting primarily from the development of wet rice production—there would be a tendency to have **more dense population growth**, but this increase in population was offset by patterns of warfare and plunder during this period. The scarcity of labor in relation to available land meant a pattern of competition for resources in which additional labor was more valued than additional land. As different centers of power vied for control, an area would be stripped of its inhabitants and they would be forced to relocate to the territory of the victorious ruler. This pattern of warfare, though not particularly high in casualties, severely disrupted agricultural patterns so that sustained population growth patterns did not occur until after the 1500s. 2

Around 500 B.C.E. beginning with the establishment of wet rice cultivation, socially stratified villages relatively autonomous from one another developed. Common to most lowland areas was cognatic kinship (descent reckoned equally through males and females) and, thus, the downgrading of the importance of lineage. The development of town life and, especially, the emergence of entrepôts (established to facilitate the growing trade between India and China) were among the greatest changes. The entrepôts became centers for the spread of Indian civilization in Southeast Asia, a process of cultural synthesis often referred to as the “Indianization” of the states of mainland Southeast Asia, or the “Hinduizing” of belief systems, beginning about 200 B.C.E. 3

These early civilizations centered around the major river valleys and the Great Lake of 4

Cambodia. At the same time, the emergence of peasant societies underscored the increasing differentiation between hill (tribal cultures) and lowland peoples. Hill peoples became incorporated into social systems dominated by lowland peoples, a relationship symbolized by various ceremonials in which the hill peoples paid tribute, often situated in gift exchanges.

This period witnessed the expansion of trade between China and India via Southeast Asia. Accompanying this expansion was the movement of Brahman priestly specialists, Buddhist monks, and other scholars. The Southeast Asian rulers played a leading role in the Indianization of their societies. (See [Southeast Asia, 500–900](#))

5

### a. Funan

The polity termed by the Chinese “Funan” is the first known polity to emerge in Southeast Asia, usually dated in the **1st century C.E.**, with its capital near present-day Ba Phnom in Cambodia's province of Prei Veng. Because of its location on the then-existent trade route, which included an overland segment, and its access to sufficient agricultural production to support the needs of traders, it greatly benefited from the growth of maritime trade, which resulted during the century when Roman demand for Asian goods increased dramatically.

6

### By the 2nd or 3rd Century

Funan was a center with Indians, Chinese, Persian Gulf, and Malay traders. Its fortunes of wealth and power appear to have peaked in the **4th century**.

7

### By the 5th Century

, competition from the Malay traders and the competition of an all-sea route from India to China that went through the Straits of Melaka undermined its position.

8

### By the 6th Century

, its position had been so undermined that it was taken over by the **Khmer** people who lived in the middle sections of the Mekong River.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. [Champa](#)**

The peoples of Champa, located in the region between the Mekong Delta and the Hue, are ethnolinguistically Malay. The Cham monarchs during this era evidently did not have access to a broad plain providing enough wet rice production to support an elaborate political structure or power base and could not maintain dominance over other Cham monarchs for any extended period of time. As a result, the center or capital of Cham authority would shift over time to various locations as one Cham ruler would lose his dominance to other rulers. As a result of the failure to have a secure economic base either through agricultural production or trade activities, the Cham ruler relied on plunder from raids on neighboring areas, including Khmer territories to the west and Vietnamese territories to the north. In addition, the Cham rulers used local and Indian cultural symbols and their spiritual relationship with the ancestors as defined by religious cults. Also part of the ideological mix were Indian traditions of the king's divinity as the basis for their authority. (See [The Malay Archipelago and Peninsula](#)) <sup>1</sup>

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### **c. Burma (Pagan)**

From early times Burma came under Indian influence. By the **3rd century C.E.**,  
expanding Hindu peoples had established commercial settlements on the Tenasserim  
coast and at the principal river mouths, which developed small kingdoms in contact with  
the Tibeto-Burman tribes of the Irrawaddy Valley. Commercial relations with China were  
less influential, although an embassy from a Burmese state reached Ch'ang An in 802.  
(See [Burma \(Pagan\)](#))

1

#### 4. [China, to 221 B.C.E.](#)

The Chinese people are now considered part of the larger Mongoloid race. The Chinese language is related to Thai and Vietnamese, all of which are part of the larger Sino-Tibetan group. The importance of family to Chinese society and culture dates far back into Chinese prehistory. Family organization and family names are extremely old in China, and families were unified by worship of common ancestors. The “Chinese,” or Han people, began in the north China plain and then spread south. Early people of the south include the Man and the Tai. Southerners were linguistically and racially kin, though in the north people were racially kin but linguistically diverse. 1

**Periodization.** Early Chinese history is derived from archaeological evidence and (with due caution) later legend. More systematic history begins with the Shang and particularly the Zhou dynasties. This early political period, vital in Chinese cultural development, ends in 221 B.C.E. with the establishment of a more powerful state. 2

**Legendary rulers.** Chinese texts speak of three great rulers and three sage kings, all mythical, of high antiquity. The former include: 3

##### 2852–2737 B.C.E

**Reign of Fuxi** who domesticated animals and instituted the family. 4

##### 2737–2697 B.C.E

**Reign of Shennong** who invented farm tools and sedentary agriculture. 5

##### 2697 B.C.E.–?

**Reign of Huangdi, the Yellow Emperor**, who created Chinese writing, silk cloth, and the bow and arrow—he was a heroic figure as well.

6

The latter three include:

7

### 2357–2256 B.C.E

**Reign of YAO**, who is credited with the calendar for managing agriculture, for beginning centralized government, and for using ritual to foster morality. He sagaciously ignored his own incompetent son to pass the reigns of state to **SHUN** (r. 2255–2205 B.C.E.), a poor peasant but a filial son. Shun similarly passed the throne to **YU** (r. 2205–2198 B.C.E.), because the latter had controlled China's flood waters by dredging to the sea, thus creating north China's major river systems. Yu picked an able successor, but the people allegedly opted instead for his son and so was instituted the **XIA dynasty** (trad. 2205–1966). The last ruler of the Xia was the evil Jie, who was deposed by Tang, who founded the **SHANG dynasty** (1766–1122). Details of the Xia from historical and literary texts are difficult to corroborate. It was probably in present-day Shanxi Province.

8

The oldest Chinese **archaeological evidence** comes from Zhoukoudian (near Beijing); between 200,000 and 500,000 years old, **Beijing Man (Peking Man)** (See *Homo Erectus*) of the Old Stone Age was found here with certain Mongoloid characteristics. Mongoloid *homo sapiens* appear c. 20,000 years ago, using Stone Age techniques. Agriculture and ceramics emerge in China c. 12,000 years ago (in the transition from paleolithic to neolithic eras) in the Yellow River region. There is also archaeological evidence for rice agriculture in the Yangzi Valley from prehistoric times. Neolithic or **Yangshao** culture is associated with painted clay pottery; people lived in small villages, mainly harvested millet, hunted with bows and arrows, domesticated pigs and dogs, used numerous tools made of stone and bone, engaged in fertility rites, and showed respect for their dead through burial. This culture reached its apex c. 3000 B.C.E. and was gradually replaced by **Longshan** culture, characterized by black, unpainted pottery crafted on wheels. Longshan society was less mobile, more sedentary than before, with walled communities. People harvested rice and millet, domesticated cows and sheep (as well as dogs and pigs), had more buildings and agricultural implements, used a more stratified system of professions and for burial rites, practiced ancestor worship, and divined by means of “**oracle bones.**” It reached its apex c. 2000 B.C.E.

9

Shang rulers, about thirty in all, came from one branch of Longshan culture centered in present-day Henan province. They covered from the Yellow River plain in the west to as far as Shandong in the east. There were numerous capitals, the last of which was at **Yin** (or **Anyang**) where the last twelve kings ruled from c. 1395 B.C.E. The Shang is thus often called the Yin. Capital cities were unprecedentedly large in scale. There were developments in bronze technology and the emergence of horse-drawn chariots. Also

10

new was the **earliest form of written ideographic Chinese**: oracle bones (made of turtle shells and the clavicles of oxen) were inscribed, placed in a fire, and the cracks were read by diviners. Shang also used elaborate, inscribed bronzes for ceremonies.

**Shang state and society** witnessed the origins of the patrilineal family and ancestor worship, as well as increasing differentiation in social and status roles from earlier times. There were three principal classes in Shang times: hereditary nobles and their families, commoners, and slaves (often sacrificially buried) who were largely war captives. The Shang state was a centralized monarchy. While Shang times saw the further development of settled agriculture, hunting remained important. 11

### c. 1133 B.C.E

King Wu, son of King Wen who hatched a plot to break with their erstwhile ally, the Shang, came to power. He erected a new capital at Hao (near present-day Xi'an) and invaded Shang unsuccessfully in 1124 B.C.E. 12

### 1122?–771 B.C.E

The **WESTERN ZHOU** was, like the Shang, descended from Longshan civilization and settled in the Wei River valley of Shaanxi. 13

### 1122 B.C.E

The second attack defeated the Shang under the rule of the last “evil” Shang king, Shou. According to tradition, Wen was a wise, kind ruler, while Wu was a strong and tough one. 14

### 1116 B.C.E

Wu died at Hao. Tradition has it that he had wanted to sack Yin but was prevailed upon by his brother, the **Duke of Zhou**, who is credited (as regent to the boy ruler Cheng) with giving the Zhou longevity and a firm institutional basis, especially after crushing a rebellion of the last Shang heir and bringing the Yellow River plain under Zhou hegemony. The Duke of Zhou was later revered. Zhou built a city at Luoyang on the opposite side of the Yellow River plain to balance Hao. Yin was destroyed. Cheng died in 1079 B.C.E. by which point Zhou institutions were soundly in place. 15

## 771 B.C.E

King You (r. 781–771) was killed and Hao pillaged by northern border peoples. Hao was thereafter abandoned by Zhou descendants for the new capital at Luoyang. End of western Zhou. 16

The **state system of the western Zhou** was less centralized with small city-states and graded (feudal) rankings. Zhou lords and vassals were unified via bonds of kinship or marriage. The Zhou king was simultaneously the political leader and the paterfamilias of a large extended family. Over time the ties of the regional states to the Zhou loosened, and they acquired characteristics of their own. By the 8th century B.C.E., there were about 200 such states. There were also non-Zhou peoples on the borders and in the large **state of Chu** south of the Zhou in the Yangzi Delta. From the 9th century, there were interstate troubles and clashes with border peoples increasingly. 17

**Western Zhou culture, religion, and society** showed marked developments. Two major works describe this era, though both were written much later: *Zhouli (Rites of Zhou)*, traditionally believed to depict state organization, and *Yili (Propriety and Rites)*, depicting proper behavior for the cultivated gentleman. The *Zhouli* pictures a centralized feudal system with fiefs (or states) probably centered on walled towns where the lords lived, the surrounding terrain falling to their control. The “central states” (later the term for “China”) were considered the most culturally advanced. Lords paid personal homage to the Zhou king, offered military support, had their heir confirmed by the king, paid taxes, and kept local order. The king was responsible for peace in the entire realm, maintained through garrison forces throughout the land. There were countless bureaucratic titles which are now difficult to understand. Originally tied to Zhou religious beliefs, the idea of a “**mandate of heaven**” emerges; omnipotent heaven rules through the men upon whom it confers its mandate, and it can withdraw same. Victory over a dynasty in battle was used *ex post facto* to prove a change in heaven's will. Rulers were rigorously obliged to listen to able ministers, for governments ruled to keep peace and social order and for the welfare of the common people. To ignore the latter's feelings was conceived of as tantamount to betraying heaven. While Zhou elite society was organized around common ancestors, commoners lived in nuclear families. From early on, government service was considered the highest calling; **scholarship was revered and early became an avenue into public service**. Farmers were esteemed in theory as the basic producers. Social mobility in the western Zhou is still a moot point, but there was less “slavery” than in the Shang. The economy was based on settled agriculture of a manorial sort. Barter exchange remained, and hunting declined. There was also population growth through expansion and greater stress on agriculture. 18

## 770–256 B.C.E

The **EASTERN ZHOU** marked the end of centralized control by the Zhou king and the commencement of increasingly strong regional powers. The **state of Qin**, initially a semi-Sinic state like Chu, was given control over northern Shaanxi, homeland of the Zhou, and gradually became extremely strong in the west. The states of Jin in the north and Qi in the east (Shandong) were also quite powerful. 19

## c. 700 B.C.E

Qin, Jin, Qi, and the semi-Sinic state of Chu in the south were the most important regimes. Honors continued to be paid by all to the Zhou in Luoyang, but the latter had little real power. 20

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## a. Schools of Classical Chinese Thought

In response to the chaotic, changing world of the late Spring and Autumn period and Warring States period, many schools (frequently dubbed the “Hundred Schools”) emerged usually surrounding an individual, an itinerant thinker seeking to offer advice to the feudal lords. The following schools are among the most famous: <sup>1</sup>

### 1. Confucianism

Confucians shared a belief in a heaven that guided all matters in the cosmos and that men were most happy when they were ruled in accordance with the **Way** (*dao*). To live a moral, virtuous life was to live in harmony with the *dao*. **Rites** (*li*) were manifestations of proper conduct. Proper behavior required wisdom gained through rigorous study, which all were capable of acquiring, by learning from the sage kings and through the lessons of history. All humankind and human society itself was perfectible. Each of the **five human relationships**—father-son, ruler-subject, brother-brother, husband-wife, and friend-friend—was nurtured by a distinct virtue, and all bonds were reciprocal. <sup>2</sup>

#### a. Confucius (551–479 B.C.E.)

Born Kong Qiu in the state of Lu (in Shandong), Confucius taught students about proper behavior in government and life, traveling widely to get a hearing at regional states but without success. His *Lunyu* (**Analects**), compiled by his disciples, is a collection of his thoughts and didactic stories usually in question-answer form with the disciples. Human beings were central to his thinking. He argued that people should seek to be the best they could, for goodness itself was its own reward. He stressed the role of the **gentleman** (*junzi*) or moral exemplar who should rule. He also placed emphasis on ritual as the embodiment of proper behavior. **The Way** was the correct sociomoral manner in which human life and politics need be conducted, and the *junzi* lived in full accord with it. “Do <sup>3</sup>

not do to others what you would not want others to do to you.” His government would be one ruled by moral men, not abstract laws; he was a self-proclaimed transmitter of the institutions and practices of the Duke of Zhou, not their creator.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## 5. [China, 221 B.C.E.–589 C.E.](#)

The year 221 B.C.E. marked the emergence of East Asia's first unified empire, that of the Qin in China, followed soon thereafter by the Han. Han expansionism in all directions, but especially to the northeast, south, and southeast, brought Chinese civilization to what is now Korea and Vietnam. There was still, at this time, minimal contact with Japan. The notion of an East Asian or Sinitic sphere began to take shape. Despite the breakup of the Han Empire in 220 C.E., this East Asian region continued to retain its overall form, and, in the subsequent Three Kingdoms period in China, Japan established contact with the state of Wei. The Period of Division from 220 C.E. through reunification of China in 589 marked the major second subdivision of the larger period. By the late 6th century, East Asia as a unit was firmly in place. <sup>1</sup>

### 221–206 B.C.E

**QIN DYNASTY** (or Qin Empire). Originally a feudal state to the west of the ruling Zhou house, the Qin had weathered a long history of military conflicts with non-Sinic tribes along its borders. In the process, it developed an ironhanded political tradition. It was the first truly unified Chinese dynasty to control a region all of which was considered to be “China.” Although the size and shape of “China” would change over the subsequent centuries, Qin laid the foundations of a government structure and bureaucratic administration for all later dynasties. <sup>2</sup>

### 247–210 B.C.E

The **reign of SHI HUANGDI**, “China's first unifier,” was an era in which the very idea of a Chinese dynasty as such came into being. The “feudal” decentralized form of the Zhou was transformed into a centralized governmental structure with a bureaucracy; former feudal states were abolished and incorporated into the new regime. The political <sup>3</sup>

map of China was redrawn into a system of districts and prefectures for levels of local administration with a strict chain of command. Precedents for this system can be found in the work of Guan Zhong (7th cent. B.C.E., state of Qi), Shen Buhai (d. 337 B.C.E., Han), and Long Shang (d. 338 B.C.E., Qin). Qin standardized weights, measures, coins, wheel-axle widths, even variant Chinese writing in an effort to overcome the plethora of regional systems in use till then. Qin also sought to standardize thought by ending the philosophical debates popular in the late Zhou, so as to forestall criticism of the Qin state and its tough policies.

### 221, 219, 213 B.C.E

Former great families and their dependents (numbering in the tens of thousands) were removed to the capital where they could be watched.

4

### 213 B.C.E

The **great book burning** proscribed all writings other than official state documents, texts on agriculture and medicine, and some writings on divination.

5

### 212 B.C.E

The **execution of 460 scholars** was ordered by the emperor in a draconian effort to standardize thought as he was doing with weights and measures. A new palace was constructed in the rebuilt capital at Xi'an, and Shi Huangdi made grand tours throughout his realm. He also began construction on his own huge tomb. He undertook massive public works projects: a network of uniform-width roads, better waterways, a canal linking the Yangzi River to south China so as to facilitate the movement of goods to armies in the south, and a linking of the walls built by some of the northern states along the northern border into the first **Great Wall of China**. All of these projects cost many lives. Harsh Qin laws, inspired by Legalism, supported these labor drives and the forced labor of criminals. There was also continued fighting with states south of the core Zhou homeland.

6

### 210 B.C.E

By the time of Shi Huangdi's death, Qin conquests in the south reached as far as the

7

Hanoi area of Vietnam. In the process, all former city walls were destroyed; all weapons were seized and melted down for the Qin imperial palace. Late in life, Shi Huangdi sought a Daoist elixir to attain immortality, and **Li Si** took over affairs of state. Shi Huangdi had earlier banished his eldest son and heir, leaving a will that he succeed him, but Li Si hid the will after the emperor's death, forged an edict demanding this son commit suicide, and placed the second son on the Qin throne.

### 208 B.C.E

Li Si was imprisoned by a fellow schemer and executed.

8

### 207 B.C.E

The weak second Qin emperor was poisoned.

9

### 206 B.C.E

Qin surrendered to rebel forces.

10

**Qin state and society** were built on a strict brand of Legalism. While this enabled the regime to rise rapidly, it ultimately undid it as well. In an effort to abolish the Zhou social order and nobility, Qin eliminated heredity as grounds for bureaucratic recruitment; only service to the state mattered, and only rewards and punishments were meted out. Qin also began using eunuchs more extensively than earlier as the emperor's personal attendants to watch over the harem. Conflicts between regional bureaucrats and eunuchs became endemic. Merchants were particularly despised, and many were banished to the far south. Legalism was respected at the expense of almost all other schools of Zhou thought.

11

### 207–206 B.C.E

The many rebellious groups that arose in late Qin boiled down to **Xiang Yu** (232–202 B.C.E.) of Chu noble stock and **Liu Bang** (c. 256–195 B.C.E.) of poor peasant stock. They had worked together to bring down the Qin. After the Qin capital surrendered, Xiang destroyed it, angering Liu who had accrued a popular following among the rebels for his evenhandedness. Xiang, a brilliant strategist, lost out in the struggle and committed suicide.

12

## 202 B.C.E.–9 C.E

The **FORMER OR WESTERN HAN DYNASTY** was founded by Liu Bang (posthumous temple name (Han) **Gaozu**, r. 202–195 B.C.E.), who had been Prince of Han since 206 B.C.E., the first time a peasant rose all the way to become emperor. He relied on advisers for civil and military matters and rewarded them accordingly; he relaxed Qin authoritarian controls of state, so that government could serve the populace. He realized that one “can conquer the realm on horseback, but one must dismount to rule.” Taxes were lowered on farmers. While the basic Qin bureaucratic structure was retained, Gaozu gave to his major supporters hereditary fiefs in the eastern half of the Han Empire, realizing that he could not maintain the Qin centralization and keep order.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 6. [Korea, to 540 C.E.](#)

Korea is a mountainous peninsula 100–150 miles wide and about 400 miles long, extending southward from Manchuria toward the western tip of Japan. High mountains and the frigid Sea of Japan have inhibited the development of the east coast, but the milder climate and more suitable terrain of the west coast facing China and the south coast opposite Japan have made these regions the natural centers of Korean history. The **Yalu River** in the north forms a natural border with China. 1

Since prehistoric times, the people seem to have been closely related racially, linguistically, and culturally to the ancient peoples of Manchuria and Siberia as well as to Japan, but post-Neolithic civilization came in large measure from China. The oldest **Paleolithic** (c. 50,000–40,000 B.C.E.) remains from dig sites reveal that the people were cave dwellers and built homes, using fire for food and warmth. They were hunters and gatherers and fishermen and used stone tools. The earliest **Neolithic** remains (c. 4000 B.C.E.) indicate that the people had pottery and polished stone implements. The Korean Peninsula (c. 3000 B.C.E.) had numerous settlements. Its pottery was gray in color with “comb pattern” markings on the outside, similar to pottery in the Russian Maritime Province, in the Amur and Sungari River basins of Manchuria, and in Mongolia. Another pottery culture emerged with painted designs, from Manchuria (c. 1800 B.C.E.). 2

People lived near waterways and later lived inland in pit dwellings. They hunted and ate fish they caught. Later there was some agriculture, too. There may have been a settled, community life in small villages. Society was organized by clans, each with a clan totem (an animal), headed by a chief; and each clan community was autonomous in its own terrain. Extra-clan bonds were formed through marriage and contiguous territory. They had animistic religious beliefs; nature's objects were revered, some even deified. Most important was the Sun, which figured prominently in Korean myths of human births from eggs following exposure to it. 3

**Bronze** was first used with subsequent regional variations (c. 9th–8th cent.–4th cent. B.C.E.). Dolmen burial, bronze daggers, and mirrors have been excavated from the Korean bronze age. People lived on higher ground than in the Neolithic age. Rice agriculture was practiced alongside fishing and hunting. Bronze was employed as 4

weaponry and helped in the conquest of Neolithic communities. Walled-town states emerged as Bronze Age culture developed, and some community chiefs became more powerful than others, the embryos of Korean statelets.

In the 4th century B.C.E., six small states by river basins became sufficiently prominent that they were known even in China. The most prominent among them was **Old Chos**

**ŏn** in the basins of the Liao and Taedong Rivers (a major Bronze Age site) in northwest Korea. Rulers of Old Chos **ŏn** combined political and religious affairs, claiming descent from a sun deity. Old Chos **ŏn** later merged with other walled states into a “kingdom,” designating its leader a “king,” a clear Chinese borrowing. The use of **iron** came to northern Korea from Manchuria and was employed for plows and other farming tools, leading to the domestication of animals and increased agricultural production. Iron was also used for weaponry and horse-drawn vehicles, largely for the elite. People lived in pit dwellings. The influence of Chinese metal culture is evident from numerous Chinese coins unearthed at dig sites.

### c. 300 B.C.E

The Chinese state of Yan invaded and conquered Old Chos **ŏn**. It was subsequently taken over by the Qin.

### 206 B.C.E

Old Chos **ŏn** conquered by Liu Bang, rebellion followed.

### 194–180 B.C.E

Power was taken back by **Wiman**, a Chinese refugee forced to flee to Korea during the tumult of the time. Wiman established the state of **Chos** **ŏn** (or **Wiman Chos** **ŏn**) which was highly Sinified but not a Chinese colony.

### 109 B.C.E

As Chosŏn continued to conquer other Korean statelets, the Han dynasty under Wudi, beginning to fear a Chosŏn-Xiongnu alliance, launched an attack.

9

### 108 B.C.E

The Chosŏn capital at present-day P'yŏngyang fell, and the Han established three commanderies on former Chosŏn terrain: Luolang (Nangnang), Zhenpan (Chinbŏn), and Lintun (Imdun).

10

### 107 B.C.E

A fourth commandery at Xuantu (Hyŏndo) was established. Zhenpan and Lintun were dissolved in 82 B.C.E. and linked, respectively, with Luolang and Xuantu. Luolang, near P'yŏngyang, became effectively an outpost of Han civilization with Chinese civil and military officials and Chinese colonists. Other Korean states also acquired Chinese culture artifacts through Luolang.

11

Some of the other more important states along the Korean Peninsula follow. Puyŏ (Chinese: Fuyu), in the Sungari River basin of Manchuria, was first mentioned in the 4th century B.C.E. and then often from the 1st century C.E. It was seen as a threat to Wang Man's Xin dynasty. By 49 C.E. the Puyŏ ruler was calling himself "king," implying control over a confederated kingdom. Puyŏ sent emissaries to China with whom it was on good terms. It was later conquered by Koguryŏ. Koguryŏ is traditionally said to have been founded by Chumong in 37 B.C.E., south of Puyŏ. It was in the region of the Xuantu Commandery, but in 75 B.C.E. the latter was moved farther to the west into Manchuria due to local resistance and Koguryŏ's emergence as a confederated kingdom. It was led by a warrior aristocracy frequently at odds with the Chinese, and it thus acquired more through warfare than productive work, unlike Puyŏ. It began expanding in the early 1st century C.E. and fought against Wang Mang (12 C.E.); under King T'aejo (53–146?) it continued to spread south. Later in the 1st century it attacked also to the north. The **Chin** state was in the southern part of the peninsula, and it first appeared in records in the 2nd century B.C.E. It attempted contacts with Han China but was cut off from doing so by Wiman Chosŏn. Many Chinese refugees with knowledge of metalwork escaped to Chin. The use of iron in the south was important to social and

12

cultural development, for example, in the greater use of rice agriculture. Chin was eventually subdivided into three statelets: Mahan, Chinhan, and Puy<sup>!</sup>nhan (known collectively as Samhan or the “three Hans”).

In **society** at the time, agriculture was most important, supplemented by the raising of livestock and the domestication of animals. Kogury<sup>!</sup> retained much hunting. The village communities lived off farming and paid heavy taxes but were forbidden from participation in the military. The elite lived in walled towns apart from these peasant communities. The confederated kingdoms developed from the merging of these walled-town states. Kingship was hereditary from at least the late 2nd to early 3rd century C.E. in Puy<sup>!</sup> and Kogury<sup>!</sup>. Aristocratic relatives controlled the political and economic affairs of the states; the richer ones had large retinues of household slaves. Through this process, the confederated kingdoms became centralized aristocratic states.

There was a separation over time between **religion** and politics. The chief of ritual practice emerged with powers in his own quarters; shamanism continued to be practiced; there were various seasonal rituals; and festivals were open to all classes of populace. Royal burials were extravagant, and the numerous burial objects imply that ancestor worship was strong.

### c. 210 C.E

The **Gongson** family of southern Manchuria gained control over Luolang.

### c. 238

The **Wei dynasty** (one of the Three Kingdoms in China) captured Luolang.

### 244

Wei attacked Kogury<sup>!</sup> and took its capital; when it attacked again the next year, the Kogury<sup>!</sup> king fled.

### 313–668



**THE THREE KINGDOMS PERIOD** began after Koguryŏ under King Michŏn destroyed the Luolang Commandery (313), ending four centuries of Chinese control, and took the Taedong River area to its south, before confronting the rising state of **Paekche** in the southwest. The third state, **Silla**, was in the southeast. 18

## 342

The Xianbei state of **Yan** attacked Koguryŏ from the north, invaded the capital, took thousands of hostages, and burned down the imperial palace. 19

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 7. [Japan, to 527 C.E.](#)

### a. [Geography](#)

Japan proper consists of a group of islands running eastward from south of the Korean Peninsula for about 700 miles and then turning abruptly to the north for about the same distance, approaching the Asian mainland once more off the coast of the Russian Maritime Province. It is the most geographically isolated of the principal four East Asian countries. Although, like England, Japan is an island country off the coast of a continent, Japan's closest point to the mainland at the Straits of Tsushima is 115 miles, while the English Channel is only 21 miles. The cold Sea of Japan enclosed by this island chain gives the inner side of the archipelago a cold, damp climate, but because of the current from the Pacific Ocean off the southwest coast, that part of Japan enjoys a warm, temperate climate. 1

The four main islands of Japan are: **Honshu**, the largest; **Hokkaido**, the second largest and northernmost; **Kyushu**, at the southwestern extremity; and **Shikoku**, east of Kyushu. Among the many lesser islands, Tsushima and Iki are the most significant, for they lie in the straits between Japan and Korea. The three main plains are: **Kinai** (500 sq. mi.) at Osaka Bay, with Kyoto and Nara forming part of this area; the plain (600 sq. mi.) at **Ise Bay**; and the **Kanto** plain (5,000 sq. mi.) by Tokyo Bay. The Inland Sea, as an artery of communications, and northern and western Kyushu, which face the Asian mainland, are also important regions. 2

The rivers are short and shallow. Mountains cover almost the entire area and are especially high in central Honshu. Many are volcanic, and eruptions and earthquakes are frequent. The climate is generally temperate throughout the country, and rain is plentiful. Rice has been the principal crop since antiquity. 3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)



---

## **b. Ethnology**

The origin of the Japanese people is still debated. Archaeology and physical anthropology<sup>1</sup> indicate a close connection with the Koreans and Tungusic peoples of northeastern Asia. Linguistic evidence, also hotly debated, tends to support this. There may have been a land bridge connecting Japan with Korea in high antiquity, which would help explain the connections. The Japanese are a mixed Mongoloid race, similar to Chinese and Koreans, perhaps with some Southeast Asian contributions as well; the Ainu (a Caucasoidlike people) originally inhabited the northeastern half of Japan and possibly contributed to the racial mix of Japanese today.

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### c. [Religion](#)

The early religion of Japan was a simple worship of the manifold manifestations of the powers of nature combined with a system of ritualistic observances, notable among which was an insistence on physical and ritual purity. The deities tended to become anthropomorphic and often merge with memories of past heroes. The Japanese were also affected by attempts to explain the origins of mankind and society in mythical terms. This eventually led to an organized mythology centering around the **Sun Goddess (Amaterasu mikami)** and her descendants, the imperial family. After the introduction of Buddhism, this combination of nature worship, ritualistic observances, and ancestor-honoring mythology was given the name of **Shint **.

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### d. Early Civilization

Archaeological evidence indicates that in the Palaeolithic era the Japanese were hunters and gatherers and used some stone implements. The **Jōmon** (“cord script”) era (c. 10,500–300 B.C.E.), with various subdivisions, acquired its name from the designs on unearthed pottery datable to 10,000 B.C.E. The Jōmon people hunted, fished, and ate vegetables. They lived in sunken pit dwellings and perhaps in villages. Rice only began to be planted in Kyūshū late in the Jōmon era. Archaeologists have uncovered Jōmon sites from Hokkaidō all the way south to the Ryūkyū chain. Jōmon pot designs indicate magical religious beliefs and a variety of cults. Unearthed earrings and ornaments are similar to those discovered in Korea. <sup>1</sup>

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### e. Japanese Historical Mythology

The first verifiable historical accounts of Japan occur in the Chinese dynastic histories of the 3rd century C.E. and picture western Japan, if not all Japan, as divided among a large number of small political units, among which feminine rule may not have been uncommon. Some of these statelets had direct relations with the Chinese colonies in Korea, and embassies from Japanese states to the Chinese capital are recorded from 57 to 266. However, Japanese mythology commences with a creation myth in which the brother-sister pair of deities, Izanagi and Izanami, descend to Earth, create the islands of Japan, and give birth to subsequent gods with various powers. These include Amatera-su and Susano- (the storm god). The latter two in turn copulate to produce more gods. Ninigi (grandson of the Sun Goddess) comes to Earth and settles in Kyushu, whence he also brings the **three sacred imperial regalia**: a bronze mirror (symbol of the sun), an iron sword, and a jeweled necklace. His grandson subsequently conquers as far north as the Kinki plain; there he creates the **Yamato state** in 660 B.C.E., taking the throne as **Emperor Jimmu**. The mythology hints at a successful battle for supremacy of the imperial clan with another clan in **Izumo** on the Sea of Japan. The Izumo clan apparently had a distinctive culture and rather close ties with Korea.

### c. 3rd Cent. B.C.E.–250 C.E

**Yayoi era.** Yayoi replaced Jomon, beginning in Kyushu and moving toward the Kantō plain where it arrived by the end of the 1st century B.C.E. Yayoi had more refined pottery, settled agriculture (with rice cultivation using sophisticated irrigation techniques), and use of bronze and iron implements. Bronze was employed mainly for symbolic items, such as mirrors, bells, and elegantly thin (ornamental) weapons. The technology to make these items probably came from China and Korea. The discovery of Former Han coins in Yayoi dig sites indicates contact with the mainland. Yayoi pottery was similar in certain ways to Korean pottery, but it also continued Jomon styles. By

the late Yayoi period, a new society altogether had come into existence. Rice paddy cultivation spread from Ky<sup>!</sup>sh<sup>!</sup> east, and there it needed more sophisticated irrigation methods because of the higher terrain. This emphasis on rice production probably affected social organization, bringing about more intensive farming, increasing wealth, population growth, and geographic expansion.

### c. 239 C.E

With the accession of the tenth ruler of Yamato, **Sujin**, Japanese records began to contain material of probable historical accuracy.

3

### c. 250–552

**Kofun (tumulus) era.** This was an extension of Yayoi culture, as Yayoi people began building huge tombs, traditionally considered to be for “emperors.” The largest and most elaborate tomb (120 ft. high) was for **Nintoku** (trad. r. 395–427) near present-day <sup>!</sup>saka. The tombs were often in a keyhole shape, some with moats. Buddhism later gradually eroded the tomb culture, which was eventually abandoned. Close ties between the state of **Kaya** (in Japanese, **Mimana**) in southeastern Korea and Kofun peoples of southwestern Japan continued until **Silla** conquered Kaya in 562.

4

Clay tomb figurines, known as *haniwa*, of human beings, houses, and animals were placed outside the tombs. Some figures of warriors on horseback with bronze or iron weapons indicate that this kind of warfare was engaged in. These are similar to Korean figurines of the time. The figurines depict daily life, including some female shamans. According to Chinese sources, the first queen, **Pimiko** (or Himiko, mid-3rd century), ruled the **state of Yamatai** with magic and was buried in a large tomb. There is still no conclusive evidence, however, for the location of Yamatai.

5



### c. 360



**Queen Jing**<sup>!</sup>, ruling in the name of her deceased husband and later in the name of her son, is traditionally believed to have led and won military victories over Korea. There probably were Japanese campaigns on the peninsula at this time, which is corroborated by Korean records. A Korean inscription of 391 indicates the presence of Japanese armies. From this time considerable Japanese influence in the Korean state of Kaya can be dated, but recent archaeological research indicates that Japan was probably not

6



receiving tribute from Kaya. Japanese influence in the state of **Paekche** also was growing. With the emerging strength of Silla, Japanese clout on the Korean Peninsula was on the wane. Via these Korean contacts, Japan opened her doors to continental culture and Chinese civilization. This also enabled direct contacts with China, initiated in 413.

**Society** in the Kofun era was organized around a social elite in *uji* lineages (tribal in structure), each of whom claimed common ancestry and worshipped a deity (*kami*) which fostered *uji* solidarity. *Uji* were led by a hereditary chief (*uji no kami*) who claimed direct descent from the *kami* and ruled as both priest and secular head. The chief and his immediate family often bore one of seven hereditary titles (*kabane*), which in time came to be grouped hierarchically. Beneath the *uji* were commoners or *be*, agricultural tillers who lived in villages and were organized by occupations (e.g., weavers, fishers, cloth weavers). The *uji* used the *be*, the economic fundament of the *uji* system. At the bottom of the social order were domestic servants and slaves. These *uji* communities may correspond to the large number of political groupings mentioned in the early Chinese sources about 3rd-century Japan. The Yamato state emerged from this structure through conquest and the like (c. 5th cent., although perhaps later), either in Ky sh  or in the Kinki area.

Over the course of time, a ranking order developed among *uji*, with the most powerful one claiming its *kami* to be descendant directly from the Sun Goddess. This is thought to be the origin of the **imperial clan**, at first little more than hegemon among the various *uji*. Its chief was the “emperor,” and its rule over the country very loose. The clans with the two most important hereditary titles, *omi* and *muraji*, were controlled through the  *omi* (great *omi*) and  *muraji* (great *muraji*).

The **importation of continental culture** came hand in hand with a large influx of Korean refugees to Japan and seriously shook the *uji* system. About the end of the 4th century, scribes able to read and write Chinese came to Japan from the Korean state of Paekche. This development indicates the official **adoption of Chinese writing**, though not the first knowledge of it in Japan. Although writing spread slowly, it was used early on for historical records. In imitation of China, there developed a greater centralization of power in the hands of the imperial *uji* and its ministers. Imperial lands were gradually extended, and imperial authority grew apace, eventually leading to a thorough political and economic reorganization of Japan on the China model.

A serious revolt in Ky<sup>!</sup>sh<sup>!</sup> prevented the crossing of an army to Korea to aid Kaya. Dissension among the Japanese and treachery among some officers on the peninsula reduced Japanese prestige there and opened the way for Silla's subsequent conquest of Kaya. (See [Japan, 552–1185](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **D. Classical Greece and the Hellenistic World**

### **1. The Bronze Age, 3000–1200 B.C.E.**

#### **a. Geography**

**Greece** (ancient **Hellas**) is the extension of the mountain ranges of the Balkan Peninsula, with the **Ionian Sea** to the west and the **Aegean Sea** to the east. In antiquity, **northern Greece** comprised **Epirus**, **Amphilochia**, and **Acarnania** in the west, and **Macedonia**, the **Chalcidice** (whose three peninsulas jutted into the Aegean Sea), and **Thessaly** in the east. Central Greece began at the **Thermopylae Pass** and contained **Aetolia**, **Locris**, and **Phocis** in the west; **Boeotia** in the center; and **Attica** to the east, with the large island of **Euboea** lying off its eastern coast. After the narrow **Isthmus of Corinth** lay the **Peloponnese** or “Island of Pelops.” It had six main regions: the **Argolis**, just south of the Isthmus, **Achaea** along the Gulf of Corinth in the north, **Elis** in the west, **Messene** in the southwest, **Laconia** (or **Lacedaimon**) along the eastern coast, and **Arcadia** in its mountainous center. Off the west coast of Greece lay the **Ionian Islands: Corcyra** (Corfu), **Cephalonia**, and **Zacynthos**. The Aegean Sea was dotted with islands: in the north **Scyros**, **Lemnos**, and **Imbros** (between the Hellespont and Euboea), and **Thasos** and **Samothrace** off the Thracian coast; a string of islands along the coast of Asia Minor, of which the most important were **Lesbos**, **Chios**, **Samos**, and **Rhodes**; and the **Cyclades**, stretching southeast from Attica and Euboea and including **Melos**, **Delos**, **Paros**, **Naxos**, and **Thera**. Some fifty miles southeast of the Peloponnese lay **Crete**, the largest of the Aegean islands and its southern boundary. <sup>1</sup>

The climate of Greece is temperate. Rainfall sometimes exceeds forty inches per year in the west but is only about sixteen inches in the east, making drought a constant menace. It rarely freezes, and in the summer the midday heat can exceed 100° F. Only 18 percent of the land surface is arable, and over large areas of the country, the soil is thin and rocky, making the cultivation of grain difficult, though olives and grapes ripen well in the rainless summers. Ancient Greece was more heavily wooded and more fertile than today, as the country has suffered from severe deforestation and erosion of the topsoil. The mountainous terrain in Greece promoted the development of numerous small city-states. There were some large cities, but most Greeks lived in towns and big villages, walking <sup>2</sup>

out to their fields, rather than staying in small isolated hamlets. Since many areas had to import grain, seaborne commerce developed at an early stage. But the civilization of ancient Greece at no time depended primarily on manufacture or trade and was always basically agrarian.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. [The Minoan Civilization](#)**

### **c. 3000–2200**

**EARLY MINOAN.** Around 2700 the Bronze Age began in Greece, apparently connected with an immigration from Asia Minor. Pottery was still hand-shaped, and settlement size was small. In the mid-third millennium a rapid rise in culture occurred; towns and cities emerged, as well as the first palaces. **There was contact with Egypt**, and the **votive double axes**, characteristic of later Minoan religion, appeared. An indigenous **Hieroglyphic Script** survives on seals and pottery, but it has not yet been deciphered. This earliest civilization in Crete is called **Minoan** after the legendary King Minos of Knossos. 1

### **c. 2200–1700**

**MIDDLE MINOAN I and II: The Rise of Crete.** The great palaces at **Knossos**, **Phaistos**, and **Mallia** were constructed during this period. These stone palaces, built asymmetrically around a large open court, contained large living quarters, storerooms for goods and products, and toilets superior to any in Europe before modern times. A road system connected Knossos with the plain of Phaestus. Wheel-thrown pottery was perfected, and fine examples were made as thin as an eggshell. A new script called **Linear A** replaced the Hieroglyphic Script, but except for the numeral system and a few pictographic signs, it cannot be read. Conclusions about Minoan culture, particularly government and religion, are necessarily conjectures based on archaeology and later Greek legends. The king was evidently the chief figure in religious worship, and the palace, a seat of religious cults. What appears to be a **Mother Goddess**, associated with snakes, is widely represented. To judge from wall paintings, the Minoans were devoted to sports, including hazardous bull jumping. Scenes of war are rare, and the towns were at all times unwallled. The Minoan palaces were almost all destroyed toward the end of the period, but whether the destruction occurred through war or natural causes (such as an earthquake) is unknown. 2

### c. 1700–1450

MIDDLE MINOAN III–LATE MINOAN I: **The “Thalassocracy” of Minos.** The art of Minoan Crete reached a high point in this period, and the earliest wall frescoes appear at this time. In the 18th and 17th centuries, Crete had extensive trade relations with Ugarit in Syria and Byblos in Phoenicia. After 1600, this trade declined, but Minoan influence strengthened over the Cyclades, and there was close contact with Egypt. To what extent these changing trade patterns reflect political events is unknown, but legend has Crete's **King Minos** founding a sea empire (**thalassocracy**). Both public and private building reflects great wealth. At the end of this period there was another widespread destruction throughout Crete. <sup>3</sup>

### c. 1450–1125

**Late Minoan III: Mycenaean Crete.** Knossos was the only Cretan palace to be rebuilt, and it was now ruled by Greek-speaking Mycenaeans. Remains in graves and pottery indicate considerable numbers of Greeks moved to Crete. Clay tablets were inscribed with a new type of script, obviously derived from Linear A and known as **Linear B**. In 1952, **Michael Ventris** proved that the Linear B texts were written in Greek. They revealed a highly bureaucratic state centered in the palace of Knossos. A rapid decline in Mycenaean Crete came at the same time as that on the mainland. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **c. Mainland Greece: The Early and Middle Helladic Periods**

### **c. 2800–2500**

**Early Helladic I.** Around 2800, Greece, like Crete, seems to have been invaded from northwest Asia Minor. The beginning of the Bronze Age corresponds roughly with this invasion. Probably the immigrants were the **Pre-Hellenic** population of Greece who left the non-Indo-European place names in Greece and elsewhere ending in *-ssos* (e.g., Knossos and Parnassos), and in *-inth* (Corinth). New villages sprang up throughout Greece, and there is evidence of trade with the Aegean Islands and especially Crete. Northern Greece and Thessaly were not as advanced in material culture as the southern mainland. 1

### **c. 2500–2200**

**Early Helladic II.** Houses in this period were larger and some contained large storage facilities for grain. At Lerna there are remains of what may have been a palace (**House of Tiles**), indicating some sort of central authority. Large settlements at Zygouries and Tiryns, with gold and silver jewelry buried in tombs, suggest a rising prosperity. 2

### **c. 2200–1900**

**Early Helladic III.** Signs of massive destruction are present at almost all Early Helladic period III sites. A new material culture was introduced, characterized by **Minyan Ware** (also called Orchomenos ware), a fine, wheel-made pottery. Whether the break in material culture represents the invasion of **Greek-speakers** into the region is debated. Scholars date the intrusion of the Greeks from as early as 2200 to as late as 1500 B.C.E., though most agree that the Greeks seem to have settled for some time in Thessaly before moving into the rest of the peninsula. In classical times, Greek was divided into three dialect groups: **Aeolian**, **Ionian**, and **Dorian**. Originally thought to predate the Greek 3

invasion, some scholars believe the dialect division occurred after the Greeks took over the peninsula.

### c. 1900–1600

**Middle Helladic.** A rapid rise in wealth and sophistication is associated with a palace-based civilization, which developed under Minoan influence. Kings and other royal persons were buried in shaft graves within a sacred precinct. One such grave at Mycenae, called **Circle B**, contained gold and silver objects on a small scale. In this period, Mycenaean culture was centered in the eastern Peloponnese and central Greece.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **d. The Late Helladic Period: The Mycenaean Age**

### **c. 1600–1500**

**Late Helladic I: The Rise of Mycenaean culture.** The shaft-grave culture continued but became wealthier. The shaft graves in **Circle A** (found earlier but dating later than Circle B) contained a remarkable 80 pounds of gold objects. Mycenaean architecture, called **Cyclopean**, is characterized by use of enormous stones. The rectangular **megaron** was now the typical private building, consisting of a portico (*aithousa*), vestibule (*prodomos*), and main room (*domos*). The largest and most important settlements were **Mycenae** and **Tiryns**. Major centers existed at **Orchomenos** and **Thebes** in Boeotia. Lake Copais, which covered a large area of western Boeotia, was drained during the Mycenaean period, providing fertile land. The fortress at Gla was built to protect the region. **Athens** was an important city and Cyclopean fortifications were built on the Acropolis. **Pylos** was one of the few early Mycenaean sites in western Greece. <sup>1</sup>

### **c. 1500–1400**

**Late Helladic II: The “Tholos-Tomb” Dynasty.** Around 1500 the Mycenaean burial style changed from the shaft grave to circular rock-lined chambers cut out of hillsides: so-called **tholoi** or “beehive” tombs. After c. 1450, the Mycenaeans conquered Crete and established themselves at Knossos. Evidence of Mycenaean presence is found in the Cyclades, Rhodes, Sicily, and Italy, although where political control ended and trade began is unknown. The prosperity of Mycenaean Greece was due largely to an expansion of trade: Egypt, Babylonia, Assyria, and the Hittite Empire were all ruled by wealthy palace-based governments, which fostered international exchange. <sup>2</sup>

### **c. 1400–1200**

**Late Helladic III: The Height of the Mycenaean Age.** After 1400, the Mycenaean <sup>3</sup>

culture spread throughout Greece, eventually penetrating virtually the entire mainland. The fine pottery found even in nonroyal tombs suggests a general prosperity, and the most impressive Mycenaean architecture dates to the 14th century. Around 1350, the citadel at **Mycenae** was enlarged, and an immense 23-foot-thick wall was constructed of Cyclopean blocks, which included the famous **Lion Gate**. The royal palace at the summit of the acropolis contained a throne room, living apartments, and a shrine. Its walls were covered with painted frescoes showing military scenes. Similar large palaces from this period were found at **Tiryns** and **Pylos**. The largest beehive tombs date to after 1300: the so-called “Treasuries” of Atreus at Mycenae and Minyas at Orchomenos. (The buildings have no connection to these mythical characters.) **Linear B** tablets have been found at Pylos, Mycenae, and Thebes on the mainland, as well as at Knossos in Crete. While limited to accounts and inventories, they give important information on Mycenaean language, government, economy, and religion. The king, or **wanax**, exercised supreme authority, followed by the *lawagetas*, or Leader of the People (or Army). There were a series of lower officials, including the *basileus*, later the Greek word for king. A special class of priests existed (unlike in the Classical period), as well as a palace economy with a complex division of labor, with numerous slaves. The names of later Greek gods, such as Zeus, Hera, Poseidon, Hermes, and Athena, were already present. After 1300 Mycenaean trade with Egypt and Syria declined, although the reasons for this are unclear.

### c. 1200–1100

**Late Helladic C: The Decline of Mycenae.** Around 1230 most of the large Mycenaean cities, with the exception of Athens and Mycenae itself, were destroyed. Texts from Pylos, written just before the city's destruction, discuss military dispositions against an apparent invasion. Around the same time, the export of Mycenaean pottery to Syria and Egypt ceased completely. A number of factors probably brought Mycenaean culture to an end, but a major one was probably the movement of the **Sea Peoples**, which affected the Middle East at the same time (See [c. 1200](#)).

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. The Greeks in Asia Minor**

### **c. 1500–1200**

**The Ahhiyawa.** Hittite records mention the **Ahhiyawa**, who lived in, or raided, western Asia Minor. Some scholars have connected the Ahhiyawa with the Achaeans, Homer's name for the Greeks. Attacks on Cyprus by Attarissyas the Ahhiyawan, reported by the Hittites, may refer to the activities of Atreus, the father of Agamemnon, referred to in Greek mythology. <sup>1</sup>

### **c. 1200**

**The Trojan War.** **Troy**, located where the Aegean meets the Hellespont, was inhabited after 2000 by people who shared cultural characteristics with the population on the Greek mainland. There are nine levels of habitation, from the Early Bronze Age to Roman times, numbered I to IX. Around 1300 Troy VI was destroyed by an earthquake and replaced by Troy VIIa, generally identified with the city of the Trojan War celebrated in Greek mythology. Troy VIIa was destroyed by fire c. 1200. <sup>2</sup>

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## **2. The Dark Ages, 1200–800 B.C.E.**

### **a. Economy, Technology, Society, and Culture**

The Greek **Dark Ages** were characterized by a gradual, though severe, decline in material culture. Mycenaean pottery styles were gradually replaced by proto-Geometric ware, cremation supplanted burial, and the appearance of **long pins** and **spectacle-fibula** suggest a new style of dress. International trade, monumental building, and the size of the Greek population declined considerably from Mycenaean times. There is no evidence for writing, and cities dramatically shrank in size. The new technology introduced in the Dark Ages was mainly military: iron weapons and tools appeared, and the slashing sword and throwing spear were introduced. In the 11th or 10th century, cavalry replaced the chariots of the Bronze Age. The later Greeks saw this period as a **Heroic Age**, and much of our information about Greek society and culture in the Dark Ages comes from legends preserved in later literature. The exploits of these heroes formed three “cycles”: The **Theban Cycle**, supposedly occurring two generations before the Trojan War and concerning **Oedipus** and his family; the **Cycle of Heracles** and his sons, the **Heraclidae**; and, the **Trojan Cycle**, the war of the Achaeans against Troy, led by **Agamemnon**, **Achilles**, and **Odysseus**. These legends are preserved in Attic drama of the fifth century B.C.E. and in the epic poems called the *Iliad* and the *Odyssey*. The epics were ascribed to the blind poet, **Homer**, who probably lived sometime between 850 and 650 B.C.E. Both works may have been composed by the same individual, but it is more likely that the *Iliad* predates the *Odyssey* by about a century. The poems contain some reliable traditions dating back to the Mycenaean Age: the use of chariots and bronze weapons, large royal palaces, and the **Catalog of Ships** (*Iliad* 2.484 ff), which reflects the importance of Mycenaean, not Dark Age, states. Other elements clearly belong to the 10th and 9th centuries: the use of the dipylon or “figure 8” shield, the ritual gift of tripods, and the cremation of the dead. In both epics, the Mycenaean world and the Dark Ages are blended together, and it is difficult to distinguish the date of various elements of the poems.

In the Dark Ages, Greek states were considerably smaller and less wealthy than in Mycenaean times, though the basic unit is already the walled *polis* or city-state. Social

organization was tribal: Ionians, for example, were grouped into four tribes. Within the tribes there were “brotherhoods” (*phratriai*) composed of members sufficiently related to each other to certify legitimate birth and citizenship. The landless day-laborers (*thetes*) were at the bottom of the social ladder, below even slaves. Most of the people (*demos*) were free peasants, who might be convened in the assembly place (*agora*) to listen to their superiors but expressed their wishes only by silence or applause. There was no voting and it was not normal for a commoner to speak in the assembly. **An aristocratic warrior class**, based on birth, wealth, and military prowess, formed clans (*gene*), which maintained relations with each other through arranged marriages and guest-friendship (*xenia*), involving the ritual exchange of gifts. The leaders of the aristocratic clans met in a council (*boule*) and advised the king, now called a **basileus** instead of **wanax**. Royal powers were not absolute but depended on the consent of the nobles and clan leaders. Religion was family-based and centered around the *hestia*, or hearth. Zeus was the king of the gods, but the other gods sat in council, gave advice, and even sometimes opposed Zeus. The gods had local associations: Hera with Argos, Sparta, and Mycenae; Athena with Athens and Troy; Aphrodite with Paphos in Cyprus; and Ares with Thrace.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Dorian Invasion**

In the 12th century, the power vacuum created by the decline of Mycenaean civilization was filled by Greeks speaking the **Dorian** dialect, who invaded the peninsula from the north. Greek tradition characterized this movement as the “return” of the sons of Heracles (**Heraclidae**): Hyllus, Dymas, and Pamphylas, who were the eponymous founders of the three Dorian tribes. The Dorians originally came from southern Macedonia, though the Greeks derived their name from the city of **Doris** in central Greece. It may be that the Dorians settled there for some time before moving into the **Peloponnese**. The Argolis, Lacedaemon, and Messenia were conquered, and the Achaeans and Arcadians pushed into corners of the peninsula. Other Dorian groups attacked the Aegean Islands, and conquered Thera, Melos, and the central portion of Crete. A few cities in Asia Minor (principally, Halicarnassus and Cnidos) were founded or cofounded by Dorians. The Dorian invasion corresponded with the start of the **Iron Age** in Greece, but despite the introduction of this superior metal, culture as a whole declined in Greece as a result of the Dorian invasion. <sup>1</sup>

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### **c. The Aeolian and Ionian Migrations and the Greek Renaissance**



#### **GREEK CITY STATES (MAP)**

The speakers of the Aeolian and Ionian dialects were pushed out of their original territories by the Dorian invaders. The Aeolians settled on the northwest coast of Asia Minor and on the islands of Tenedos and Lesbos. This **Aeolian migration** seems to have started around 1130 and to have lasted until 1000 or even later. Athens resisted the Dorians, though in the 11th and 10th centuries there were changes in Athenian burial customs, dress, and pottery style, which suggests the arrival of new peoples. These were probably Ionian and perhaps Mycenaean refugees fleeing the Dorians. Athens also formed a base for an **Ionian migration** to the east. The Ionians invaded the western coast of Asia Minor, which was subsequently called **Ionia**, taking over the existing cities of Colophon, Miletus, Smyrna, Myus, Priene, Ephesus, Phocaea, and others. The Cyclades were also settled by Ionians in this period. The spread of **proto-Geometric** pottery from Athens to all over the Aegean world in the 10th century is probably connected to this Ionian migration. The Ionians shared common religious festivals, particularly the **Panionium** and Delian festival of Apollo.

1

#### **900–800 B.C.E. the Greek Renaissance**

After 900, eastern (“orientalizing”) influence resulted in the development of the **proto-Corinthian** and **proto-Attic** pottery styles. The stiffness of geometric design gave way to lively representations of humans and animals: color reappeared; ornament, often symmetrical, was vigorous. A whole new set of vase shapes was invented. Spread by the growing trade with distant places, then by colonies, proto-Corinthian became the luxury pottery of the Mediterranean world. Grave sites at Athens indicate a remarkably high rate

2

of population increase in the 9th century.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### **3. The Archaic Period, 800–510 B.C.E.**

#### **a. Economy, Technology, Society, and Culture**

The Greek diet was simple: bread, cheese, vegetables, olive oil, wine, and occasionally fish or pork. Beef was seldom eaten, and sheep and goats were kept mainly for hides, wool, and milk. Most farms were small, and slave labor was apparently rarely used in agriculture in the Archaic period. By 800 the **classical polis** was beginning to emerge, the city-state with its own central palace, territory, government, and loyal citizens (along with many noncitizen inhabitants). Many cities, including Athens, were dependent on the **importation of grain**, particularly from the Black Sea region. The main centers for **manufacture** were Athens, famous for its painted vases; Corinth; Sicyon; Argos and Chalcis, noted for metal-work; and Miletus and Samos, which made furniture and textiles. **Mining** was extensive: marble came from Mt. Pentelicus and Paros; silver, from Mt. Laurium and Mt. Pangaeus; gold, from Mt. Pangaeus and Thasos; iron, from Laconia; and copper, from Cyprus. Rough terrain and poor roads made overland travel difficult, so most **commerce** was by sea. The introduction of **coined money** from Lydia in the 7th century facilitated trade and capital investment but also increased debt. The two prominent standards of currency were the **Euboean** and the **Aeginetan**. By c. 750 B.C.E. the Greeks had borrowed the **Phoenician alphabet**, adapted certain letters to represent vowels, and added others for sounds found only in Greek. Marble temples appeared, and the three architectural orders—**Doric, Ionic, and Aeolic**—developed. **Sculpture** began representing the human body in the nude. Marble statues were generally painted in lifelike colors. Early Greek painting is known mainly from decorated pottery: red-figured vases replaced black-figured c. 500 B.C.E. 1

In the early Archaic period, **aristocratic oligarchies** generally replaced Dark Age monarchies, except in Sparta and Macedonia. Later, ambitious individuals overthrew the constituted governments of many cities and established themselves as **tyrants**. Beginning c. 760 B.C.E., Greek cities started founding colonies, which eventually occupied much of the coastline of both the Mediterranean and Black Seas. Colonists, led by a founder, or **oikistes**, generally adopted the religious cults and constitution of the “mother city” (**metropolis**) but were politically independent. In the 7th century, **hoplite warfare** 2

developed. Hoplites were citizen soldiers who provided their own equipment: a round bronze shield (*hoplon*), a bronze helmet with cheek and nose guards, and a nine-foot spear. They fought in a **phalanx**, shoulder-to-shoulder in line, facing the enemy with a wall of shields and spears and marching in step to the music of flutes. **Athletics** was an important element of Greek culture. There were major international festivals which involved athletic contest, such as the **Pythian Games** at Delphi and the **Olympian Games**, starting (traditionally) in 776 and held every four years.

The Boeotian poet **Hesiod** (c. 700) wrote the **Theogony**, on the genealogy of the gods, and the **Works and Days**, giving advice on proper living. Other early poets included the Ionian **Archilochus** (c. 700), the Aeolians **Alcaeus** and **Sappho** (c. 600), and the Dorians **Stesichorus** (630–555) and **Arion** (c. 600). **Lyric poetry** was exemplified by **Alcman** (c. 654–611), **Anacreon** (born c. 570), **Simonides** (c. 556–468), **Pindar** (518–442), and **Bacchylides** (c. 480). Tragic drama grew out of cultic songs, originally performed by a chorus at religious festivals. The poet **Thespis** first introduced a speaking actor into a tragedy in 534 B.C.E. Greek philosophy began with **Thales** (c. 600), who was said, probably falsely, to have predicted a solar eclipse in 585 B.C.E. **Anaximenes** (c. 600) and **Anaximander** (c. 610–540) and other early philosophers started to seek knowledge for its own sake and to develop rational explanations for natural phenomena. The so-called **logographoi** wrote local histories, the best example being **Hecataeus** of Miletus (c. 500).

The normal age for **marriage** in Greece was 30 for men and 15–16 for women. Most marriages were arranged. **Women took little part in public life and, in some cases, had no more legal rights than slaves.** Most citizen women spent their lives secluded in women's quarters. Spartan women were the exception and received the same physical training as men. At least one woman poet wrote in the Archaic period: **Sappho of Lesbos.**

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Asia Minor and the Aegean Islands**

### **c. 800–680**

**Rise of the Ionian cities.** The Ionian cities of Asia Minor were the wealthiest and most advanced Greek city-states in Archaic times and served as conduits for Near Eastern technology and culture entering Greece. The Ionian cities, particularly Miletus and Phocaea, were also leaders in the colonization movement. 1

#### **757**

Miletus colonized **Cyzicus** on the southern shore of the Propontus. 2

#### **680–652**

**Beginnings of Lydian Conflict.** King Gyges turned Lydia into the leading power in Asia Minor. He frequently attacked the Ionian cities but was unable to conquer them. 3

#### **675**

The Milesians send a colony to **Abydos** on the Hellespont. 4

#### **630**

The southern Aegean island of Thera colonized **Cyrene** in North Africa. 5

## 610

With permission of the Pharaoh **Psammetichus I**, Miletus founded a trading post in the Nile Delta, which developed into the Greek city of **Naucratis** (See [Economy, Society, and Culture](#)). 6

## 609–560

**Alyattes** of Lydia conquered Smyrna, but Miletus and Clazomenae continued to resist. Ionian culture reached its height, particularly in **philosophy: Thales, Anaximenes, and Anaximander** were all active at Miletus. 7

## 600

Phocaea settled **Massalia** (Marseilles) on the southern coast of Gaul. 8

## 560–546

The Lydian king **Croesus** conquered Ionia, though Miletus maintained its privileged position. Tyrants ruled most of the cities and paid tribute to Lydia. 9

## 546–499

**Persian rule.** **Cyrus** defeated Croesus in 546. The Persian general Harpagus subdued Ionia and installed pro-Persian tyrants. Miletus continued to enjoy a favored status. The Ionian cities were placed together with Lydia and Mysia in a single satrapy and ruled from **Sardis**. 10



## c. [Sparta and the Peloponnese](#)

### c. 900–700

**The Rise of Sparta.** In the 9th century, four or five Laconian villages joined to form the city of **Sparta**, with two royal dynasties, the **Agiads** and the **Eurypontids**, reigning jointly. Between 800 and 730, Sparta conquered the rest of Laconia. Around the same time, the Spartans reorganized their constitution, introducing lifelong military training, a rigid oligarchic government, and a code of absolute obedience and austerity. At the age of seven, boys were taken from their parents for military training. Men of military age lived away from their wives in barracks and ate at common messes (*syssitia*). Five tribes replaced the three Dorian ones, each providing a regiment (*lochos*) for the army. A council (**Gerousia**) composed of 28 elders and the two kings proposed legislation, which was then approved by the assembly (**Apella**), made up of adult male citizens (**spartiates**). The chief magistrates (**ephors**), eventually five in number, had wide powers. The non-Spartan Laconians, called **Perioikoi**, tithed to the Spartans and were drafted into the army but had no vote in the assembly. The introduction of this constitution was later ascribed to **Lycurgus**, though some scholars doubt his existence. <sup>1</sup>

### c. 735–715

**The First Messenian War.** Sparta, led by **King Theopompus** (c. 720–675), defeated Messenia and divided it into allotments (*klaroi*), rent which supported the individual Spartiates, leaving them free to train for war. The Spartans turned the Messenians into serfs (*helots*) who worked the land for them. <sup>2</sup>

Corinth, ruled by an oligarchy under the **Bacchiadae** clan, founded two colonies: one at **Syracuse** in Sicily and another on the island of Corcyra (modern Corfu) in northwestern Greece. 3

728

The Megarians colonized **Megara Hyblaea** in Sicily. 4

720

Achaea and Troezen jointly founded a colony at **Sybaris** in southern Italy, which became proverbial for its wealth and opulence. 5

c. 710

Achaea settled the colony of **Croton** on the “toe” of Italy. 6

706

Sparta founded its only colony, **Taras** (Tarentum), in southern Italy (See [706](#)). 7

c. 680

King **Pheidon of Argos** defeated Sparta and Tegea in the **Battle of Hysiae** (669). He later overcame Epidaurus and Athens, and Argos became the leading Greek power. Pheidon may have introduced coinage into mainland Greece, perhaps with a mint at Aegina. 8

676

Megara colonized **Chalcedon** on the Asiatic side of the Hellespont. It was called “the city of the blind,” because the settlers missed a better site at Byzantium on the European shore. 9

## 660

Megara founded a colony at **Byzantium**.

10

## 657

**The Cypselid Tyranny in Corinth.** Cypselus (657–625) overthrew the Bacchiad oligarchy and made himself tyrant of Corinth.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## d. [Athens](#)

### c. 800–680

Athens gradually unified Attica by conquest and by **synoecism**, the process of merging with smaller towns. The Athenians were divided into four tribes (*phylai*) made up of phratries. Each phratry was divided into two groups: the clansmen (*gennetai*), made up of the aristocratic *eupatridae*, and the guildsmen (*orgeones*), who practiced trade and manufacture. Where poor farmers and serfs (*hektemoroi*) were enrolled is unclear. For administrative purposes, each tribe was divided into 12 *naucrariai*, each providing one ship for the navy. The army was provided by two of three classes: the knights (**hippeis**), wealthy aristocrats who made up the cavalry, and the hoplite class (**zeugitai**) who provided their own arms and made up the infantry. The **thetes**, who had no property, did no military service. The **Medonidae** ruled as kings, but during the 8th and 7th centuries, the aristocrats gradually usurped royal power. The king's military functions were absorbed by the war archon (**polemarch**) and his civil duties were absorbed by a civil archon (*archon eponymos*) after whom the year was named. The kingship retained only religious significance. <sup>1</sup>

### 683

Athens abolished the monarchy completely. The king's religious duties were now performed by a king archon (*archon basileus*). Six *thesmothetai* were created to be judges and interpreters of law, and these officials along with the civil archon, the king archon and the polemarch were known as the **Nine Archons**. They were chosen each year from among the aristocracy by the **Areopagus**, the council of ruling aristocrats, which ran the state. The important priesthoods were hereditary in aristocratic families. The **Ecclesia**, or assembly of citizens, had little power. <sup>2</sup>

### 623

**Cylon** attempted to establish a **tyranny** in Athens, but the people did not support him. Cylon himself escaped, but many of his followers were massacred by Megacles and the aristocratic Alcmaeonid clan while in a religious sanctuary. This impious slaughter gave rise to the so-called “**Curse of the Alcmaeonidae.**”

3

## 628–620

According to tradition, **Draco**, one of the *thesmothetai*, issued Athens' first written laws. The “Draconian” penalties were most severe—death in most cases.

4

## c. 600

Athens seized **Sigeum** from Mytilene. The resulting war was arbitrated around 590 by the tyrant **Periander** of Corinth in Athens' ofavor.

5

## 594–591

**THE REFORMS OF SOLON.** The introduction of **coined money**, and high rates of interest, led to increased indebtedness. Debt slavery in turn brought civil unrest. To solve the crisis, **Solon** was made sole archon in 595, with special legislative powers. In 592, he was appointed “reformer of the constitution.” His **Seisachtheia** (“shaking-off-of-burdens”) canceled all debts on land, banned debt slavery, and freed all debt slaves. Those who had been sold abroad were redeemed at state expense. Solon replaced Draco's laws, except those on homicide, with a milder code. A popular court, the **heliaea**, was created, to which the citizens could appeal the decisions of the magistrates. Solon created a Council (*boule*) of 400 (100 from each tribe), which proposed laws to the assembly (*ecclesia*). The assembly could still only accept or reject the council's proposals but now elected all the magistrates. The Areopagus council continued, but in a reduced capacity. Four classes of citizens, based on wealth, were established: (1) the **pentacosimedimnoi** had annual revenues of 500 bushels (*medimnoi*) of grain or measures (*metretai*) of wine or olive oil, (2) the *hippeis*, with revenues of 300 bushels or measures, (3) the *zeugitai*, with 200, and (4) the *thetes* who made up the rest of the citizen body. At some later date, these classes were redefined in terms of money and based on property rather than income. Every member of the first two classes was eligible for the archonships. Since ex-archons automatically joined the Areopagus council, it ceased to be exclusively aristocratic. The first three property classes could run for the

6

lower magistracies, but the fourth class, the lowest and largest, could participate only in the *heliaea* court and the assembly. Solon's reforms were important but did not solve the underlying class tensions, perhaps because no provision was made to supply freed slaves with land or to relieve the burdens of the serfs (*hektemoroi*, “sixth-parters”). Unlike other contemporary political leaders, Solon did not try to become a tyrant. After making his reforms, he left Athens for ten years, traveling around the Mediterranean. Factional fighting broke out immediately after Solon's departure between two parties: the rich aristocrats of the plain (*pediakoi*) led by **Lycurgus**, and the merchants and craftsmen (*paralioi*) headed by **Megacles** the Alcmaeonid.

### c. 565

**Peisistratus**, a relative of Solon, acquired fame by conquering the island of Salamis from Megara. He organized a new party, the *diakrioi*, based in the hill country of north Attica, made up of small farmers, shepherds, artisans, and the poor.

7

### 561–510

#### THE TYRANNY OF THE PEISISTRATIDS.

8

### 561–527

**The Rule of Peisistratus.** In 561, Peisistratus made himself tyrant of Athens but shortly thereafter was driven out of the city by Megacles and Lycurgus. In 560/559, allying himself with Megacles, he was restored to power, only to be expelled again in 556. Peisistratus spent some years in Thrace, gaining wealth from mines he owned there. In 546, he was again made tyrant with help from Thessaly and from **Lygdamis**, the tyrant of Naxos. Peisistratus exiled his opponents, confiscated their lands, and distributed them to the poor, so that the **hektemoroi** now became landowners. Peisistratus encouraged industry and trade and introduced the popular **cult of Dionysus**, which reduced the power of the aristocrats' hereditary priesthods. He sent **Miltiades** to establish a tyranny over the Thracian Chersonese, which controlled the passage between Europe and Asia. Peisistratus also “purified” the island of Delos, the center of an Ionian religious league, which extended his political control into the Cyclades. At home, Peisistratus kept the form of the Solonian constitution, while holding all real power.

9

## 527

Upon Peisistratus's death, his sons **Hippias** and **Hipparchus** succeeded to the tyranny. <sup>10</sup>

## 519

Athens defeated Thebes and prevented it from forcing **Plataea** into the Boeotian League. <sup>11</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. Central and Northern Greece**

### **c. 800**

**Chalcis** and **Eretria**, the two largest cities on **Euboea**, were major powers in the Archaic period, and Euboean coinage, weights, and measures were used throughout the Greek world. 1

### **c. 775**

Chalcis, Eretria, and the Aeolian city of Cyme jointly settled a colony on the island of **Pithecusae** (Ischia) in the Bay of Naples. 2

### **757**

These same cities, along with the Pithecusans, established a colony at **Cumae** on the Italian mainland. 3

### **c. 730**

Eretria settled colonies at **Mende** in the Chalcidice and at **Methone** and **Dicaea** in Macedonia. 4

### **c. 720**

Chalcidian colonists established **Rhegium** in southern Italy. 5

### c. 710

Chalcis colonized **Torone** in the Chalcidice and subsequently founded some 30 small colonies on the peninsula.

6

### c. 700–500

**THE TAGEIA OF THESSALY.** Before 700, Thessaly was organized into four **tetrads**, each ruled by a **tetrarch**. In the 7th century, Aleuas of Larissa organized the **Thessalian League** and led it as **tagos**, or general. The *tagos* was an elected office but generally held by a member of the **Aleuadae** clan. A federal assembly levied taxes and troops, and until the 6th century the Thessalian League possessed the strongest army in Greece. The League's loose organization, however, prevented Thessaly from playing a leading political role, though it dominated the **Amphictyony of Anthela**, a religious league which, by 600, included all the city-states of central Greece.

7

### c. 700

Chalcis, supported by Corinth, Samos, and Thessaly, fought the **Lelantine War** against Eretria, Aegina, Miletus, and Megara, over the rich Lelantine plain. Chalcis and its allies were victorious.

8

### c. 640

Perdiccas I of the Argead dynasty conquered the Macedonian plain and established a capital at Aegae (Vergina). Macedon was inhabited by a variety of ethnic groups, including Greeks, Illyrians, and Thracians. Whether the Macedonians themselves spoke a dialect of Greek or a separate language is a hotly debated subject. The royal family and the aristocracy, in any case, became increasingly Hellenized.

9

### c. 590

**THE FIRST SACRED WAR.** **Crisa**, in whose territory Delphi lay, started levying tolls on visitors to the shrine of Apollo. The **Amphictyony of Anthela**, under Thessaly's leadership, and with help from Sicyon and Athens, declared war. Crisa was defeated and

10

demolished. The Amphictyony took over the administration of Delphi and moved its headquarters there. Athens and the Peloponnesian Dorians were admitted as members.

### c. 550

**THE BOEOTIAN LEAGUE.** Thebes formed the **Boeotian League** and began subordinating the smaller states in the region. After a long struggle, the city of **Orchomenos** was defeated and forced to join the league.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [Sicily and Magna Graecia](#)

c. 800

Before the Greeks arrived, **Sicans**, **Sicels**, and **Elymi**, along with **Phoenician colonists**,<sup>1</sup> inhabited Sicily. Sicels also lived in south Italy, along with other native peoples such as the **Messapii** and **Apuli**.

c. 775

**Pithecusae** (Ischia) was settled from Chalcis, Eretria, and Cyme on an island in the Bay<sup>2</sup> of Naples. A very early Greek inscription (c. 730) was found there.

757

**Cumae** was established by Pithecusan colonists, Chalcidians and Eretrians. Southern<sup>3</sup> Italy came to be known as Greater Greece (**Magna Graecia**).

735

**Thucles**, the *oikistes* for a group of Chalcidians, established **Naxos**, the first Greek<sup>4</sup> colony in Sicily. Subsequent Greek colonization drove the Phoenicians from most of Sicily. Only three Phoenician cities remained: **Motya**, **Panormus**, and **Solus**, all on the west coast.

c. 734



Corinth founded **Syracuse**, which grew to be the preeminent city in Sicily. 5

**c. 729**

Thucles, leading a party of Naxian colonists, founded **Leontini** in Sicily. Around the same time another group of Naxians, under **Evarchus**, settled **Catana**. 6

**728**

The Megarians, failing at colonizing Trotilon and Thapsos, succeeded at **Megara Hyblaea**, 14 miles north of Syracuse. 7

**c. 720**

Chalcis settled **Rhegium**, in Italy, just across the strait of Messene from Sicily. 8

**c. 710**

The Achaeans established **Croton** on the toe of Italy, which became a leading city in Magna Graecia. 9

**706**

Sparta established its sole colony, **Taras** (Tarentum), in southern Italy. The colonists, lead by Phalanthus, were **Partheniae**, children of Spartan men and helot women. 10

**688**

**Gela** on the southern coast of Sicily was founded by Cretans and Rhodians. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **4. The Classical Age, 510–323 B.C.E.**

### **a. Economy, Technology, Society, and Culture**

In this period, **crop rotation** was introduced, dramatically increasing agricultural production. Large estates that were worked by slave labor emerged, though small farms owned by free citizens remained the rule. **Slavery became more important in Greek economy.** Slaves were employed mainly in domestic service and mining, but also in manufacture and agriculture. The ruling class in all Greek cities, including democracies, depended on unfree labor both for income and personal services. War and piracy were the main sources of slaves, and slavery was never confined to any particular ethnic group. Slaves were often freed, or **manumitted**, and eventually their descendants merged with the free population. By the 5th century, Athenian **coinage** became the predominant medium of exchange in the Greek world, though after the Peloponnesian War, the Rhodian standard replaced it in Ionia. Temples continued to serve as depositories of money, but c. 500 B.C.E., **private bankers** (*trapezitai*) took over most of the business of exchanging and lending money. **Bottomry loans** (*nautika*) developed, repayable only if a cargo safely reached its destination; often given by groups of investors, such loans spread out risk and encouraged trade. Around the same time, the Athenians developed a new kind of colony, the **cleruchy**. Each settler received an allotment (*kleros*) but retained Athenian citizenship. The **financial system** of most Greek cities was highly developed. Cities generally covered the costs of some sort of police force or night watch, the military (except equipment provided by the hoplites themselves), fortifications, sacrifices and religious festivals, public buildings, salaries for officials and jurors, and pensions for orphans and crippled soldiers. Food and money were also distributed to the population under certain circumstances. **Direct taxes** were unusual, and paid mainly by resident aliens (*metics*), freed slaves, and those employed in certain low-class crafts and trades. Most state income was provided by **indirect taxes**, excise duties, and assessments, such as court fees and fines, gate tolls, auction taxes, sales taxes, harbor dues, fees for fishing rights and pasturage, and duties for using public scales and temple precincts. Many cities had income from **state property**, such as mines, quarries, and state-owned land. Hegemonic states received **tribute** from allies and subject states. Compulsory contributions by wealthy citizens, called **liturgies**, helped with certain large expenditures

such as equipping warships. In peacetime, cities were able to amass cash reserves, usually deposited in temples. But during famine or war, regular revenues were not always sufficient to meet expenditures. In such cases, direct property taxes (*eisphora*) were sometimes introduced, state property and political rights were sold, and public loans were raised, often on a compulsory basis. Some cities debased their coinage to raise cash. Public finance in **Sparta** remained simple: it had no regular taxes at all except a small contribution in kind to the kings. Administration and the army were provided by the Spartiates, financially supported by their helots.

The best examples of 5th-century architecture were erected on the **Acropolis** at Athens: the **Parthenon** (447–432), the **Propylaea** (437–432), and the **Erechtheum** (420–408). In the mid-4th century, the center of architecture shifted to Ionia, with masterpieces such as the tomb of Mausolus (**Mausoleum**) in Caria, and the **Temple of Artemis** at Ephesus. By the 5th century the Greek sculpture was representing the body very accurately, reaching its height in the works of **Myron** (c. 480–445) and **Polyclitus** (c. 430) of the Argive School and **Phidias** (c. 490–431). Phidias is best known for his colossal **chryselephantine** (gold and ivory) statue of Athena in the Parthenon and of Zeus at Olympia, but he also designed the architectural sculptures of the Parthenon (**Elgin Marbles**). From 500 to 415, Attic painters of red-figured vases developed line drawing in a series of exquisite styles. **Polygnotus** (c. 490–447) mastered the technique of large-scale painting, and **Agatharchus** of Samos (c. 430) was the first to use perspective on a large scale.

The level of literacy in the classical period is controversial. Probably only a minority of even the citizen body could read and write, but the proportion had clearly increased dramatically from archaic times. The number of teachers and schools grew, though there was no public education in the classical period. The culture remained essentially oral, but written works now became more common. **Aeschylus** (525–456) introduced a second actor into tragic drama, and by the time of **Sophocles** (c. 496–405) there could be up to four. **Euripides** (480–406) developed tragedy to its height. Plots were usually mythological, but sometimes reflected current events, for example, Aeschylus's *Persians*. **Aristophanes** (c. 448–385) was the acknowledged master of the **Old Comedy**. Comic plots were fantastic, often took off on contemporary events, and held important people up to ridicule. The little-known **Middle Comedy** was replaced by **New Comedy**, in which plays became less vulgar and plots more sentimental. Its most outstanding playwright was **Menander** (342–c. 280).

The first true historian in the Western world, **Herodotus** of Halicarnassus (484–425), wrote a lengthy account of the Persian War. **Thucydides** (471–c. 400) perfected the writing of history in his *Peloponnesian War*. **Xenophon** (431–354) continued Thucydides' history from 410 to 362, in addition to writing other prose works. Instruction in rhetoric was given by professional teachers, called **Sophists**, such as **Gorgias** (c. 485–380), who came from Sicily to Athens in 427; **Protagoras** (c. 485–415); **Prodicus**

(c. 430); and **Hippias** (c. 400). The best-known Attic orators were **Lysias** (c. 459–380), **Demosthenes** (384–322), and the advocate of Pan-Hellenism, **Isocrates** (436–338).

The philosopher **Heraclitus** of Ephesus (c. 550–480) envisioned a universe in constant flux governed by universal law (**Logos**). **Parmenides** of Elea (c. 515–445) and the **Eleatic School** argued that what is real is motionless and made the distinction between belief and knowledge. **Empedocles** in Sicily (c. 500–430) developed the idea of the **four elements** (fire, air, water, and earth). **Leucippus** (c. 450) and his student **Democritus** of Abdera (c. 460–370) advanced the **atomic theory**: the universe was made up of indivisible units (**atoms**) whose motion created the sensible world. **Anaxagoras** of Miletus (c. 500–425), the first philosopher to live in Athens, argued that the world was made up of “elements” (*homoeomeries*) organized by the cosmic mind (*nous*). Anaxagoras strongly influenced **Socrates** (469–399), the key figure in Greek philosophy. Socrates emphasized ethics over physics and was known for his morality, personal courage, and relentless pursuit of the truth by means of dialectic inquiry (the **Socratic Method**). His greatest pupil, **Plato** (427–347) founded the **Academy**, the most important philosophical school in Greece. Plato reconciled reason and observation, arguing that while perception is flawed, everything is a reflection of a perfect form (**idea**). True knowledge is obtained by recollecting the ideas our souls knew before they were imprisoned in our bodies. Plato's antidemocratic political ideas are set out in the *Republic* and the *Laws*. Another of Socrates' students, Antisthenes (c. 445–360) inspired **Diogenes** (c. 400–325), the founder of Cynicism, a philosophy which rejected all unnatural conventions. **Aristotle** (384–322) studied under Plato, became the teacher of Alexander the Great, and upon returning to Athens in 335 B.C.E. founded the **Lyceum** or **Peripatetic School**. Aristotle ultimately rejected the idea of forms and felt that flaws in perception could be overcome by careful categorization of reality. In medicine **Hippocrates of Cos** (born c. 460) founded a school combining common sense, natural medicine, and personal hygiene. In the classical period women continued to lead very limited lives. Most women remained under the guardianship of a man, generally their father or husband, their entire life. Women could not inherit, witness in court, or own property. While divorce was theoretically easy to obtain, the woman's case had to be brought by a male third party. Most citizen women remained at home, but poor women worked in the fields and in the cities as washerwomen, woolworkers, vendors (mostly of food or flowers), nurses, and midwives. Women did not participate in the government in any direct way, though **Aspasia**, the mistress of Pericles, wielded considerable political power. Women did play an important role in religion as priests and seers. Many prostitutes were slaves, but the free ones, while they had to register with the state and pay taxes, had control over their own money.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Rise of Athenian Democracy and the Persian Wars**

### **510**

Enlisting Spartan aid, the Alcmaeonidae returned to Athens. They overthrew Hippias, who fled to Persia and was made the tyrant of Sigeum. A struggle ensued between the aristocrats, led by **Isagoras**, and the common people, headed by the Alcmaeonid **Cleisthenes**. The latter won and a democratic reform of the constitution was instituted. <sup>1</sup>

### **508**

**THE REFORMS OF CLEISTHENES.** To end regional divisions, Cleisthenes created over 140 townships (*demes*), which replaced the phratries as the basis of citizenship. Ten tribes (*phylai*) were created, and Attica divided into three regions: the city of Athens, the coast, and the interior. Several demes comprised a “third” (*trittys*) and ten trittys formed a region. Each tribe was made up of one trittys from each region, so had members in all parts of Attica. A Council of 500, with 50 men chosen by lot from each of the tribes, replaced the Solonian Council of 400. The army was organized into ten tribal regiments. Some scholars believe that an early form of **ostracism**, a milder form of banishment, was introduced under Cleisthenes. <sup>2</sup>

### **507**

Isagoras invited the Spartans to invade Attica. King Cleomenes expelled Cleisthenes and restored the aristocracy. The Athenian people rose up, however, drove out the Spartans, and restored Cleisthenes. <sup>3</sup>

### **506**

A second Spartan expedition failed. The Athenians crushed the Boeotians and Euboeans and annexed part of the territory of Chalcis. When the Persian king Darius I demanded the restoration of Hippias as tyrant, the Athenians disregarded his ultimatum. 4

## 501

The general (*strategos*) of each of the ten tribal regiments was now elected annually. 5

## 499–494

The Ionian cities of Asia Minor revolted against the Persians (See [c. 522–486](#)), led by **Aristagoras** of Miletus. In 498, Aristagoras traveled to mainland Greece, soliciting aid. Athens responded with 20 ships and Eretria with five. The rebels captured and burned Sardis, the satrapy's capital, but were defeated in the naval **Battle of Lade** in 494. Persian control of the sea enabled them to take and sack Miletus, which ended the revolt. One of the rebel leaders, **Miltiades** (c. 550–489), the tyrant of Chersonese, fled to Athens and, despite the opposition of the Alcmaeonidae, rose to political prominence. 6

## c. 494

The Spartans under King Cleomenes defeated Argos in the **Battle of Sepeia** and forced it into the Peloponnesian League. Cleomenes tried to punish Aegina for supporting Persia but was blocked by the other king, Demaratus. 7

## 493

In Athens, **Themistocles**, leader of the anti-Persian party, was selected as archon. He began fortifying the Piraeus. 8

## 492



**First Persian Expedition.** Darius I sent **Mardonius** to punish Athens and Eretria for aiding the Ionian cities in their revolt. The Persian fleet was destroyed in a storm while rounding the Chalcidice. Mardonius did not advance further, but Thrace and Macedonia remained under Persian domination.

9

## 491

Cleomenes deposed Demaratus as Eurypontid king on a charge of illegitimacy, despite the opposition of the ephors, and replaced him with the more compliant **Leotychides II** (491–469).

10

## c. 490

Traditionally, Cleomenes went mad, was imprisoned, and committed suicide. He may in fact have been arrested and executed by the ephors. Cleomenes' half-brother **Leonidas** (c. 490–480) succeeded him as Agiad king.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Rise of the Athenian Empire](#)

487

**REFORM OF THE ATHENIAN CONSTITUTION.** A series of reforms made the constitution more democratic. The nine archons were now chosen by lot from some 500 candidates elected by the demes. Subsequently ten preliminary candidates were elected from each tribe. Later these preliminary candidates were also chosen by lot. The military functions of the polemarch were taken over by the ten elected generals (*strategoï*), who were now assigned to command expeditionary armies. A general-in-chief (*strategos autocrator*) was sometimes promoted over the others. The anti-Persian party regained power with a noble faction led by **Aristides** and a common wing by **Themistocles**. <sup>1</sup>

487

The first known **ostracism** was conducted, that of **Hipparchus**, a relative of the tyrant, who was suspected of being pro-Persian. At a special assembly, citizens cast potsherds or *ostraca* with an individual's name written on it as ballots. If 6,000 ballots were submitted against a particular man, he was obliged to leave Athens for a period of ten years, although he retained his property and remained a citizen. <sup>2</sup>

486

**Xerxes** succeeded to the Persian throne and demanded earth and water (i.e., submission) from the Greek states, most of which refused. The Alcmaeonid leader Megacles was ostracized. <sup>3</sup>

483

A rich new vein of silver was discovered at the state mines at Mt. Laurium. Themistocles convinced the assembly to use the money to build a fleet of 200 **triremes**, a type of warship. **Aristides** was ostracized for his opposition to this measure.

4

## 481

The Greek states, led by Sparta and Athens, set up the Hellenic League to resist the coming Persian invasion. Themistocles was elected *strategos autocrator* at Athens and became its most powerful political figure.

5

## 480

**Third Persian Expedition.** The Persian king Xerxes personally led an expedition which marched into Greece through Thrace and Macedonia. Herodotus says the Persian army had 5 million men (including camp followers): modern estimates range from 100,000–500,000. The Persian fleet included from 600–1200 ships. A Greek army of 7,000 hoplites occupied the pass at Thermopylae, and a fleet of 270 ships stationed itself at the nearby Gulf of Artemisium. Unable to take the pass by direct assault, the Persians took a side path and turned the Greek position. Most of the Greeks withdrew, but King **Leonidas** with 300 Spartans and 700 Thespians refused to retreat, and at the **BATTLE OF THERMOPYLAE** they were surrounded and annihilated. The Persian navy suffered heavy damage from storms, losing half their ships, but they still outnumbered the Greeks. The **Battle of Artemisium** was indecisive, but the Greeks withdrew after Thermopylae was taken. The Boeotians, Phocians, and Locrians went over to the Persians (**medized**). The Greek army retreated to the Peloponnese and built a wall across the Isthmus of Corinth. The fleet moved to the Saronic Gulf between Athens and Salamis. Unable to defend their city, the Athenians fled and the Persians occupied Attica and destroyed Athens. In **THE BATTLE OF SALAMIS**, the Persians attacked the Greek fleet in the narrow strait, losing their advantage of numbers, and were decisively defeated. Xerxes, probably fearful for his supply lines, returned to Asia Minor with a third of his army, leaving another third with Artabazus in Thrace, and the rest in Boeotia under Mardonius.

6

## 480

In Sicily, **Terillus**, the tyrant of Himera, appealed to Carthage for help against Theron of Acragas and Gelon of Syracuse. Hamilcar led a Carthaginian army onto the island, but it was decisively defeated by Theron and Gelon at the **Battle of Himera**. 7

### 479

The Persians under Mardonius again invaded Attica. The Greek forces, led by the Spartan king **Pausanias**, defeated the Persians at the **BATTLE OF PLATAEA**. Mardonius was killed and his camp plundered. The Greeks took Thebes by siege, abolished the oligarchy, and instituted a democracy. 8

### 479

**The Battle of Mycale.** King **Leotychides II** of Sparta led a small Greek fleet to guard the Cyclades against Persia. The Samians and Chians convinced him to attack the Persians, who had drawn their ships up on the beach at Mycale near Samos. In the ensuing battle the Persian fleet was destroyed. 9

### 479–478

**The Siege of Sestos.** The Ionian cities in Asia Minor and several of the island cities (Samos, Lesbos, and Chios) revolted from the Persians. The allied Greek fleet laid siege to Sestos, a Persian stronghold in the Thracian Chersonese. The Spartans returned home in the fall, but the Athenians and Ionians succeeded in reducing Sestos during the winter. 10

### 478

**Pausanias**, leading the allied Greek fleet, reduced Cyprus and Byzantium. Suspected of treasonous negotiations with the Persians, the Spartan ephors recalled him. He was tried for treason, but acquitted, and sent back to Byzantium. 11



### **d. The First Peloponnesian War**

460

**The First Peloponnesian War** broke out between the Athenians and Peloponnesians, caused in part by Athen's alliance with Megara and Argos. In the same year, the Athenians sent a fleet of some 200 ships to Egypt to aid its revolt against the Persians. The Athenians defeated a Persian fleet on the Nile and besieged a Persian army in the citadel of Memphis. 1

c. 459/8

The Athenians were defeated at **Haliëis** by the Corinthians and Epidaurians, but their fleet won a victory at **Cecryphaleia**. 2

458

The Aeginetans joined the Peloponnesian alliance, but their combined fleet was defeated by the Athenians in the **Battle of Aegina**. The Athenians, under the command of Leosthenes, landed on the island of Aegina and besieged the city. The Corinthians invaded Attica, trying to force the Athenians to raise the siege, but were defeated by a reserve force of old men and boys under **Myronides**. A second force of Corinthians was surrounded and annihilated in the Megarid. 3

457

The Aeginetans surrendered, turned their fleet over to the Athenians, and joined the Delian League. **Sparta** then entered the war, sent an army across the Corinthian Gulf, and restored the Boeotian League under the hegemony of Thebes. The Athenians were 4

defeated at the **Battle of Tanagra**, but the Spartans then returned home, and the Athenians then defeated the Boeotians at the **Battle of Oenophyta**. Athens then enrolled all the Boeotian cities except Thebes in the Delian League; Phocis and Opuntian Locris also joined.

#### 457

**Pericles** made the *zeugitai* class eligible for the archonship. The *thetes*, though never legally eligible, were soon permitted to hold the office. 5

#### 456

A Persian force under **Megabyzus** defeated the Athenians at the citadel of Memphis. The Athenians were in turn besieged on the island of Prosopitis in the Nile Valley. 6

#### 455

The Athenian general **Tolmides** sailed around the Peloponnese, raiding the coast, burning the Spartan naval base at Gytheum, and recruiting Achaea into the Delian League. 7

#### 454

An Athenian force led by **Pericles** landed in Sicyon and defeated the Sicyonians. Joined by Achaeans, Pericles unsuccessfully tried to take Oeniadea on the Corinthian Gulf, before returning to Athens. After an eighteen-month siege, the Athenians besieged on Prosopitis in Egypt were defeated, and all but a few killed or captured. A relief expedition of 50 ships was also destroyed by the Persians. Due to this defeat, the treasury of the Delian League was moved to Athens. 8

#### 453

In Sicily, the towns of **Segesta** and **Halicystae** started a war with **Selinus** and approached Athens for an alliance, which was granted. 9

## 451

After three years of inactivity, **Cimon** returned from exile and negotiated a five years' truce with Sparta. Argos, losing Athenian protection, was forced to make a thirty years' peace with Sparta. 10

## 451

At Athens, pay was instituted for the *dicasts* or jurors of the popular courts, which made it possible for the poorest citizens to serve. In the same year, Pericles passed a law restricting Athenian citizenship to those having two Athenian parents (repealed in 429, reenacted in 403). 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



e. [\*\*The Second \(Great\) Peloponnesian War\*\*](#)

435

Corcyra, in northwestern Greece, objected to Corinth's interference with their joint colony, **Epidamnus**. Corcyra defeated the much more powerful Corinth but, fearing reprisal, called on Athens for help, and the Corinthians backed down. The Athenians then sought to break Corinthian influence over **Potidaea**, a colony of Corinth but a subject of Athens. 1

432

Potidaea revolted against Athens, with the tacit support of the Peloponnesian League. Athens then retaliated with the **Megarian decree**, barring the Megarians from Athenian harbors and markets. Outraged and fearful of further Athenian action, Megara, Corinth, and Aegina pressured a reluctant Sparta to take action. Over **King Archidamus's** opposition, the ephor Sthenelaïdas convinced the Spartan assembly to declare the Thirty Years' Peace broken. 2

## f. The Spartan Hegemony

### 404

**The Tyranny of the Thirty at Athens.** The Athenian oligarchic party, supported by Lysander and the Spartans and led by Theramenes, set up a **Commission of Thirty** which was to make a few immediate reforms and then devise a new constitution. Instead, the commission, with Critias at their head, seized power and ruled as the **Thirty Tyrants**. They executed their colleague Theramenes when he advocated a more moderate course. Finally, 3,000 of the richest citizens were nominally enfranchised but never given any real power. Many citizens were exiled or fled to Argos and Thebes. These cities now feared the excessive power of Sparta. In the autumn Thrasybulus led back some exiles, who occupied Phyle and then the Piraeus. <sup>1</sup>

### 403

In the beginning of the year, the Athenians deposed the Thirty, who fled to Eleusis, and elected a **Government of Ten**. These, instead of bringing in the democrats from the Piraeus, asked for help from Sparta, which sent Lysander. The anti-Lysander party in Sparta replaced him with King Pausanias, who brought about a settlement. The democracy was restored in Athens, and a general amnesty decreed, with only a few exceptions. The Spartan decarchies in the former Athenian allies were soon abolished. <sup>2</sup>

### 403–400

Dionysius I of Syracuse conquered Catana (403), Naxos, and Leontini (400) and extended his control over the Sicels. <sup>3</sup>

### 400

The Persian satrap **Tissaphernes** besieged Cyme, and the Spartans sent Thibron to hire a mercenary army and liberate the Ionians from Persia. 4

### 399–397

**Dercyllidas** took over the command of Spartan forces in Asia Minor. He played one satrap, Tissaphernes, against another, Pharnabazus, and conquered nine cities in eight days in the Aeolus. He then, against the orders of the ephors, made a truce with the Persians. The truce held, but Artaxerxes built up his fleet, putting the renegade Athenian Conon in command. 5

### 399

**THE DEATH OF SOCRATES.** Socrates was convicted in the assembly of introducing strange gods and corrupting the youth. He was sentenced to death, but although given an opportunity, refused to flee into exile. Socrates was given poisonous **hemlock** to drink and died. 6

### 398–392

**Dionysius I** of Syracuse fought a war with Carthage but failed to drive the Carthaginians out of Sicily. 7

### 396/5

King Agesilaus II (399–360) succeeded Dercyllidas as commander in Asia Minor. He campaigned in Phrygia, beating Tissaphernes' army, but was unable to defeat the Persian fleet. Persia sent **Timocrates of Rhodes** to bribe the leaders of Athens, Thebes, Corinth, and Argos to attack Sparta. 8

### 395

Athens made defensive alliances with Boeotia, Corinth, Argos, Megara, and Euboea. <sup>9</sup>  
The **Corinthian War** (395–387) against Sparta broke out.

### 394

Agesilaus returned to Greece from Asia Minor with most of his force. The Spartans beat <sup>10</sup>  
the Greek allies at the **Battles of the Nemea and Coronea**, but the Spartan fleet was  
annihilated by the Persians, under Conon, at the **Battle of Cnidus**. Persia granted  
autonomy to the Greek cities of Asia Minor and withdrew its garrisons. The Ionians then  
revolted from Sparta and established democracies.

### 393

**Conon** returned to Athens and began rebuilding the Long Walls. Athens recovered <sup>11</sup>  
Lemnos, Imbros, Scyros, and Delos, and made alliances with Chios, Mitylene, Rhodes,  
Cos, and Cnidus.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **g. [The Theban Hegemony](#)**

**371**

A **general peace settlement** was reached between the allies and Sparta in the summer, but the Theban leader **Epaminondas** withdrew when he was not permitted to sign on behalf of all Boeotia. Sparta immediately sent King Cleombrotus to chastise Thebes, but the Spartan army was crushed by Epaminondas at the **Battle of Leuctra**. This defeat shattered Spartan military prestige and ended its hegemony over Greece. Thebes withdrew from the Athenian League, along with the cities in Acarnania, Euboea, and the Chalcidice. 1

**370**

An **Arcadian League** was formed under Theban protection as a counterweight to Sparta, and Mantinea was restored as a city. The government of the Arcadian League consisted of a general assembly (**the Ten Thousand**), made up of all freeborn citizens, with sovereignty in matters of war and peace. A council of *damiurgoi* gave proportional representation to the member cities, and a college of generals (*strategoi*) served as a civil and military executive. There was a standing mercenary army (*eparittoi*). The Theban army, under Epaminondas, liberated Messenia from Sparta, and the city of **Messene** was built. 2

**369**

Athens and Sparta made an alliance on equal terms. The Arcadians founded **Megalopolis** as a federal capital. In the following years, Thebes secured the union of all Thessaly except Pherae under a single ruler (*archon*). 3

### 367/6

Dionysius I died in the course of another war with Carthage. He was succeeded by his weak son **Dionysius II**, under the regency of his uncle **Dion** who immediately made peace. 4

### 366/5

Dion brought **Plato** to Syracuse in order to educate Dionysius as a “**philosopher king.**” 5  
The attempt failed, and both Dion and Plato were driven out of Syracuse.

### 365

The pro-Spartan party of **Callistratus** in Athens was replaced in power by the party of Timotheus. Peace was made with Thebes on the basis of the *status quo*. Breaking its promise, Athens sent a cleruchy to garrison its ally Samos. 6

### 364

The Thebans defeated Alexander, the tyrant of Pherae, in the **Battle of Cynoscephalae** 7  
but their commander, Pelopidas, was killed in action.

### 363

**Epaminondas** led a Theban army into Thessaly and again defeated Alexander of Pherae. 8  
Athens subjected its allies Ceos and Naxos to Athenian jurisdiction.

### 362

The Arcadian League broke up, and oligarchs took control of many of its cities. 9

### 362

In the **Second Battle of Mantinea** the Thebans beat the Spartans, but Epaminondas was killed in the battle. A general peace was made but not accepted by Sparta, which refused to recognize the independence of Messenia. 10

## 361

Athens sent a cleruchy to occupy Potidaea. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **h. The Macedonian Empire**

### **336**

**ALEXANDER THE GREAT.** **Alexander III** (336–323) succeeded to the Macedonian throne and immediately invaded Illyria and Thrace. <sup>1</sup>

### **335**

Inspired by a rumor that Alexander had died while on campaign, Thebes, Athens, Arcadia, Elis, and Aetolia revolted against Macedonian hegemony. Alexander swiftly moved south, took Thebes, destroyed it, and enslaved its inhabitants. The other revolting states submitted. <sup>2</sup>

### **334**

In the spring, Alexander left Antipater as governor in Greece and crossed the Hellespont with an army of 32,000 infantry and 5,000 cavalry. The army was supported by a navy of 160 ships, mostly made up of Greek allies. Memnon of Rhodes, the commander of Greek forces in the Persian service, advised a tactical retreat, but the satraps insisted on fighting. The Persians were completely defeated by Alexander at the **Battle of Granicus**. <sup>3</sup>

### **334–330**



**Alexander I of Epirus** (342–330) was called in to assist the Italiote League which was fighting the Lucanians in southern Italy. He won a series of victories and concluded a treaty with Rome. But the Italiote League broke up, and when Alexander was killed in battle (330) the Epirotes left Italy. 4

### 334–333

Most of the Greek cities of Ionia revolted against the Persians. Memnon died and Darius withdrew the Greek mercenaries into Syria, where he gathered a large army. 5

### 333

Alexander subdued Caria and Cilicia, then advanced into Syria. He again defeated the Persian army, under the personal command of Darius III, at the **Battle of Issus**. After this defeat, Darius offered to give up all of Asia west of the Euphrates and to pay 10,000 talents, but Alexander demanded unconditional surrender. After Issus, all of Phoenicia except Tyre submitted to Alexander. 6

### 332

After a difficult siege of seven months, Tyre was captured. The provinces of Galilee, Samaria, and Judah surrendered to Alexander. When he approached Egypt, its satrap turned the richest province of the Persian Empire over to Alexander without a fight. 7

### 332–331

During a year-long stay, Alexander founded **Alexandria** on the coast of Egypt and visited the **oracle of Ammon** at the oasis of Siwa in the Western Desert, where he was proclaimed the son of a god. 8

### 331

Leaving Egypt during the spring, Alexander marched into Mesopotamia. In October he met and defeated another Persian army under Darius in the **Battle of Gaugamela**. Babylonia and Susa soon surrendered. One of the Persian capitals, Persepolis, was looted and burned, ostensibly in revenge for the destruction of Athens in 480. 9

### 331

**Sparta** under King Agis III (338–331), aided by Persian money and in alliance with Elis, Achaea, and part of Arcadia, defeated a Macedonian force and besieged Megalopolis. Antipater marched into the Peloponnese with a greatly superior force and crushed the Spartans and their allies. 10

### 330

In the spring, Alexander pursued Darius through Media. Finally, the Persian king was murdered by the satrap **Bessus**. Alexander subdued the Caspian region and then marched southward. Once Parmenio's son Philotas had been executed for complicity in a plot, Alexander sent messengers who murdered Parmenio in Media: Alexander feared a revolt and Parmenio was too powerful to be discharged. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **5. The Hellenistic World, to 30 B.C.E.**

### **a. Economy, Society, and Culture**

**The Hellenistic Age began with a century of large-scale Greco-Macedonian emigration** into the territories conquered by Alexander. The consequent spread of Hellenic civilization brought about changes both in the expanded Greek world and among the native populations of Asia and Egypt. The economy of the Hellenistic world, however, continued to be overwhelmingly agricultural. **Colonial settlement was urban in character in Seleucid Asia, but predominantly rural** in Ptolemaic Egypt. Traditional patterns of land tenure predominated in Asia, where large tracts of royal land were worked by peasants tied to it. Much of this land was assigned to prominent individuals, to temple estates, or to cities. The economy of the numerous Seleucid cities, however, followed the **Greek model, with land owned by citizens who worked it with the help of slave labor**. In Egypt, urban settlements were rare. Outside of the three cities of Naucratis, Ptolemais, and Alexandria, all land was theoretically owned by the king, divided into districts (*nomes*), and administered by both traditional civic officials—*nomarch*, royal scribe, *komarch*—and by newly created financial officers—the *dioiketes* in the capital, and the *oikonomos* and his underlings in the nome. In addition, military officials—*strategos*, *hipparchos*, and *hegemon*—oversaw the *nomes*. **Royal land** was also assigned to individuals, to temple estates, and especially to small-holder soldiers (*klerouchoi*, later called *katoikoi*) who initially held the land in return for military service, but whose tenure eventually became permanent and hereditary. All land seems to have been worked by native peasants attached to it, chattel slavery being relatively rare in Ptolemaic Egypt. **Ptolemaic policy was to increase agricultural production**, and innovations in farming were largely the result of royal patronage. We are particularly well informed by the mid-third-century archive of Zenon about large-scale reclamation in the Fayyûm, where new crops and techniques were introduced. **But most innovations, in both Egypt and Asia, were directed toward luxury items and, with the exception of new strains of wheat, had little effect on traditional agriculture**. In Seleucid Asia the major challenge for agriculture was to feed the numerous new cities, in Egypt to feed the metropolis of Alexandria and to supply the grain used in Ptolemaic diplomacy. In the Greek homeland, established forms of agriculture continued. **In most areas, free citizens**

**farmed with the help of a slave or two**, while other traditional forms of dependent labor also persisted—helots in Sparta, serfs in Crete. Changes did occur in the pattern of land tenure, with land being accumulated by the wealthy at the expense of marginal farmers.

Although **most trade in the Hellenistic Age was local**—between villages and nearby urban centers—Alexander's opening of Achaemenid stores of precious metals, together with the establishment of new cities, caused an increase in trade and an initial boom. The amount of coined money in circulation increased greatly, and a monetary economy spread to many cities of Asia. There was a marked increase in maritime trade, especially in grain and slaves, but chronic piracy was a hindrance. Cities favored by trade or royal munificence became rich and competed in the splendor of their festivals and public buildings. Industry flourished in some cities, but its organization continued on a small scale: a proprietor and a few slaves, with rare exceptions. The new prosperity did not, however, affect most cities of old Greece, where c. 250 a serious economic decline occurred, marked by inflation and debt. Extreme concentration of wealth at Sparta caused military decline, which led to the attempts of Kings Agis (242–241) and Cleomenes (227–222) to redistribute land and cancel debt.

Alexander's conquests had opened up vast areas to **GREEK IMMIGRATION**, which continued on a large scale until about 250. Kings encouraged potential administrators and especially soldiers to settle in new Seleucid cities and in the Egyptian countryside, where land was granted in exchange for service. The policy had mixed success for the Seleucids, who relied heavily on native forces. Ptolemaic military requirements were met primarily by soldier settlers until the late third century, after which native troops were recruited together with Jews, Galatians, and Mysians. Hellenistic royal armies were large, sometimes comprising 60,000 or even 100,000 men. In the colonial areas some intermarriage occurred between early settlers and native women, but **the Greco-Macedonian colonists rigorously excluded natives from military and civic institutions and all positions of power and wealth**. Although small numbers of native aristocrats became Hellenized, the social pattern for most was set by village life, where native languages, religions, and attitudes prevailed. In Asia the economic and political focus was provided by the estates of native aristocrats or temple priests, in Egypt by royal officials. The exclusionary policy changed in Egypt after the Battle of Raphia (217), where Ptolemy IV employed 20,000 Egyptians in his victory over Antiochus III. Economic and social pressures caused more power to be granted to Egyptian priesthods, land to be assigned to native soldiers, and Egyptians to be admitted into the administration. In the second century Greeks married Egyptian women and took up native religious practices. **The influence of non-Greeks on Greeks was carried out by the movements of peoples and ideas**. There was a major **diaspora of Jews**, and Egyptian cults of **Sarapis** and **Isis**, as well as **Babylonian astrology**, gained great popularity among Greeks. Both non-Greek and Greek populations continued traditional religious practices. Among the latter, new developments included the elevation of Fortune (*Tyche*) to a major deity and practices associated with Hellenistic monarchs: patron deities,

dynastic cults, and ruler cults in which sacrifice was made both for and to living rulers.

Colonization provided an outlet for overpopulation in the Greek homeland for about a century. The depopulation noted by literary sources reflects elite behavior and concerns. The average family was small—one or two children—and infanticide (especially of females) by exposure was common. Outside of the royal courts, the position of women remained largely unchanged, the ambiguous evidence of comedy, mimes, and sculpture notwithstanding. **Women remained tied to the domestic sphere** and lived under the control of father, husband, or male agnate. Unmarried free women were rare. **In Egypt some women had greater freedom of movement**, others the right to divorce without the permission of a male relative. A new form of marriage contract to which the wife was party (the traditional contract was between father and husband) also appeared.

Cities came to be dominated by the upper classes—small groups of families or enormously wealthy individuals on whom the cities became increasingly dependent. Monarchy became a dominant form of political organization, while the importance of the city-state declined. The military resources of the individual *polis* were dwarfed by those of the monarchies and of federal leagues, whose protection was sought. Citizenship was no longer as exclusive as it had been. Honorary privileges and even citizenship itself were frequently granted to individual benefactors as well as to entire communities. Municipal administration reached a high level. Public institutions, such as gymnasia, were endowed by wealthy benefactors, often royal, and supervised by public officials. By the late third century foundations were being established to subsidize elementary education for boys and sometimes for girls.

**Cultural and intellectual life flourished in various cities.** Writers of Middle Comedy—**Eubolis** (c. 405–335), **Alexis** (c. 375–275)—and New Comedy—Diphilus (c. 360–300), Philemon (c. 360–263), and **Menander** (c. 342–289)—kept the dramatic arts alive in Athens, while wide enthusiasm for Athenian-style plays helped make the theater a characteristically Hellenistic building type. Athens remained the center for philosophy. The Academy continued the Platonic tradition with increased emphasis on skepticism, and the Peripatetics concentrated on scientific and historical studies. The shift away from metaphysics to practical ethics was fostered by two new schools. **Epicurus of Samos** (342–270) founded Epicureanism around a closed community that included slaves and women. Members sought pleasure by attaining a state of imperturbability (*ataraxia*). Adopting Democritus's atomic theory, and subscribing to the indifference of the gods and the universe, Epicureans denied the afterlife and eschewed emotion and politics. Migrating from Cyprus, **Zeno of Citium** (336–264) founded **STOICISM**, teaching in the Painted Porch (*stoa poikile*). Stoics believed that the universe was governed by reason (*logos*—God, nature, providence) and that virtue consisted of understanding and being in harmony with it, everything else being at best indifferent. The capital cities became great centers of intellectual life, with royal patrons competing for the talents of scholars, poets, and scientists. The establishment of the Museum (a research institute) and the Library

made Alexandria preeminent. Here scholars such as Zenodotus of Ephesus (c. 325–c. 260), Aristophanes of Byzantium (257–180), and Aristarchus of Samothrace (217–145) collected and edited the “classics” of earlier Greek literature. Here contemporary literature also thrived. “Alexandrianism”—short, highly refined, esoteric poetry—was fashioned by Callimachus (c. 360–240) and Theocritus (c. 300–260? from Syracuse), while Apollonius of Rhodes (c. 295–214) revived the epic.

**Alexandria was also the home for scientific research. Herophilus of Chalcedon and Erasistratos of Ceos** (at Antioch?) made great advances in anatomy, physiology, and pathology. Astronomical measurements were made by **Aristarchus of Samos**; Eratosthenes of Cyrene (275–194) computed Earth's circumference; and **Euclid** (c. 300) systematized mathematics, while in Syracuse the wide-ranging **Archimedes** (287–212) made startling advances in mathematics and physics. With the exception of lifting devices, such as Archimedes' screw, technological discoveries in the Hellenistic Age were primarily curiosities. **General lack of interest and support for the application of technology was overcome only in military science**, where advances in siege-craft and fortification were made by Ctesipius of Alexandria (fl. c. 270) and Archimedes. Competitive and cosmopolitan patronage, both royal and private, also stimulated innovations in art and architecture. Hellenistic architecture is marked by the relaxing of classical canons and the introduction of new building types and construction techniques. Public building saw the proliferation of secular structures (stoas, theatres, council-halls, arsenals), as well as of religious sanctuaries. Wealthier citizens resided in more elaborate private houses built around a colonnaded court (*peristyle*). Innovations in construction included the vault and the use of architectural drawings. Hellenistic sculpture is distinguished from classical by a wider range and greater complexity of style and subjects. Genre types, royal portraiture, and a baroque style in historical and mythological group scenes were some of the innovations of the period.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Wars of the Diadochi**

### **322–315**

After **Perdiccas** became regent for Philip III Arrhidaeus, the other generals—Antigonus, Antipater, Craterus, and Ptolemy—formed a coalition against him. Perdiccas's general Eumenes defeated and killed Craterus in Asia Minor, but Perdiccas was himself assassinated while campaigning against Ptolemy in Egypt (320). At Triparadeisus in northern Syria, **Antigonus**, **Ptolemy**, and **Antipater** agreed that the latter should be regent. Antigonus then defeated and besieged Eumenes in Cappadocia. Antipater died (319) leaving Polyperchon as regent. This was unacceptable to Antigonus, to Ptolemy, and to Antipater's son **Cassander**. After negotiating his release, Eumenes promptly accepted Polyperchon's offer to oppose Antigonus in Asia. Meanwhile Cassander seized Piraeus and left Demetrius of Phaleron in command of Athens (317). He then drove Polyperchon from Macedon, executed Olympias, who had earlier killed Philip Arrhidaeus, and imprisoned Roxana and her son Alexander IV, both of whom he put to death in 310. Antigonus pursued Eumenes into central Iran and, after the indecisive **Battle at Paraetacene**, surprised him as he was wintering in Gabiene and executed him (316). Antigonus then drove **Seleucus** from Babylon to Egypt, where he sought refuge with Ptolemy and where the two, together with Cassander and **Lysimachus**, who ruled Thrace, formed a coalition against Antigonus.

### **315–307**

Antigonus, after besieging and capturing Tyre (314–313), took Syria from Ptolemy. Fighting went on in the Aegean, the Peloponnese, and Asia Minor (313–312). Demetrius, Antigonus' son, was defeated at Gaza (312), and Seleucus recaptured Babylon (311). Cassander consolidated his position in Macedon. Antigonus sent Demetrius to Athens, whence he expelled Demetrius of Phaleron (307).

## 306

Demetrius won a great naval victory over Ptolemy at Salamis in Cyprus after which both **ANTIGONUS I MONOPHTHALMOS** (“one-eyed”) and **Demetrius I Poliorcetes** (“besieger”) took the title of king. **Ptolemy** assumed the royal title in 304, followed immediately by **Seleucus, Lysimachus, and Cassander**. Alexander's empire was thus officially dissolved. Demetrius failed to reduce Rhodes by a year's siege (305–304) but relieved Athens from the **Four Years' War** waged by Cassander (307–304). He then revived the **Hellenic League of Philip II** (302). In 302 Lysimachus, Seleucus, Ptolemy, and Cassander formed an alliance against Antigonus and Demetrius. <sup>3</sup>

## 301

**BATTLE OF IPSUS** (in Phrygia). The armies of Lysimachus and Seleucus, but not Ptolemy, defeated and killed the eighty-one-year-old Antigonus. Demetrius escaped and continued hostilities, dominating the Aegean with his fleet. Of Antigonus's possessions, Seleucus received Syria and Lysimachus central Asia Minor. Cassander kept Macedon, and his brother Pleistarchus was allotted Cilicia. Ptolemy seized Coele-Syria from Seleucus. <sup>4</sup>

## 299

Aided by Seleucus, Demetrius expelled Pleistarchus from Cilicia. Cassander died in 298 and his two young sons, Antipater and Alexander V, ruled jointly in Macedon but soon quarreled. <sup>5</sup>

## 295–294

Demetrius besieged and recovered Athens. He then killed Alexander V, expelled his brother, and ruled Macedon (294). He conquered northeastern and central Greece except for Aetolia. <sup>6</sup>

## 288



A coalition was formed against Demetrius, and Lysimachus and **King Pyrrhus** of Epirus <sup>7</sup> drove him from Macedon. Demetrius then attempted to campaign in Asia Minor but was eventually captured by Seleucus in Cilicia (286).

## 283

Demetrius died in captivity, leaving a son, Antigonus, in Greece. <sup>8</sup>

## 281

Lysimachus, who ruled Macedon, Thrace, and Asia Minor, was defeated and killed at the Battle of Corupedium in Lydia by Seleucus, who became master of Asia Minor. <sup>9</sup> When he tried to seize Macedon, however, he was treacherously assassinated by the disinherited son of Ptolemy, Ptolemy Ceraunus, who then ruled Macedon until he was killed opposing the Celtic invasion in 279.

## 279

The Celts ravaged Macedon, defeated the Greeks at Thermopylae, and were turned back <sup>10</sup> at Delphi. Celtic rule was then established in Thrace, lasting until 210. In central Asia Minor the Celtic kingdom of Galatia was established.

## 277–276

Meanwhile Demetrius's son, Antigonus Gonatas, recovered Macedon from the Celts and <sup>11</sup> established the **Antigonid dynasty** which lasted until 168.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

**c. [Macedon and Greece, to 146 B.C.E.](#)**

**290**

Emergence of the **Aetolian League**, a military federation in western Greece. It had a council with proportional representation and a semiannual assembly. Affairs were handled by a committee of 100 *apokletoi* and a single general (*strategos*) in wartime. The league expanded into Phocis (254) and Boeotia (245) and dominated Greece from sea to sea. It also included Elis and part of Arcadia (245) and made an alliance with Messene, thus separating Sparta from the Achaean League.

1

**280**

Formation of the **Achaean League**, consisting of twelve towns in the northern Peloponnese. It had a general (two until 255), a board of ten *demiourgoi*, and a federal council with proportional representation of members. There was also an annual assembly of all free citizens. After 251, **Aratus of Sicyon** dominated its policy, and after 245 he was *strategos* in alternate years. With Ptolemaic backing he opposed Macedonian and Aetolian power, extending Achaean influence in the Peloponnese and taking Corinth from Macedon in 243.

2

**276–239**

**ANTIGONUS II GONATAS** (“knock-kneed”?) was driven from Macedon by Pyrrhus of Epirus (274). Pyrrhus was then called into Greece by Cleonymus, pretender to the Spartan kingship. After Pyrrhus was killed in Corinth (272), Antigonus returned to rule Macedon. He established control over Greece by garrisoning the cities of Demetrius in Thrace, Chalcis in Euboea, and Corinth; by supporting pro-Macedonian tyrants in several cities of the Peloponnese; and by making peace with the Aetolian League.

3

## 268–262?

**Ptolemy II of Egypt** stirred up Athens and Sparta to wage the **Chremonidean War** (from Chremonides, an Athenian leader) against Antigonus. When Ptolemy failed to give energetic aid, Athens was obliged to surrender after a two-year siege (262). Antigonus garrisoned several strong points of Attica and imposed a moderate oligarchy on Athens.

4

## 261 (256?)

Antigonus defeated Ptolemy in a naval **battle off Cos** and took the Cyclades, though he had to reconquer them later in the **Battle of Andros** (245).

5

## c. 249

Antigonus's governor of the Peloponnese, Alexander, revolted and held the peninsula until his death (c. 245).

6

## 251

**Aratus of Sicyon** recovered that city from Antigonus's tyrant and then joined the Achaean League, which he soon dominated.

7

## 245–235

**Sparta** had fallen into a serious economic crisis because of the excessive concentration of land and wealth in the hands of a few. Coined money had been introduced by King Areus. The number of full citizens who could contribute to their mess-tables (*syssitia*) had fallen to 700. When **King Agis IV** (244–240) tried to redistribute the land into 4,500 equal lots, the great landowners executed him. **Cleomenes III**, who married Agis's widow, became king (235).

8

## 239–229

**Demetrius II** succeeded his father, Antigonus. He protected Epirus against Aetolia, so that the latter broke with Macedon and made an alliance with Achaea. Demetrius attacked it in the **War of Demetrius** (238–229) but was recalled by invasions from the north (233). Argos expelled the pro-Macedonian tyrant Aristomachus and joined the Achaean League (229), while Athens asserted its independence. 9

### 229–221

**Antigonus III Doson** (“going to give,” i.e., always promising) succeeded his cousin Demetrius as guardian of the latter's eight-year-old son, Philip, whom he deposed in 227 to become king himself. He made peace with Aetolia and drove the northern tribes out of Macedon. 10

### 228–227

**Cleomenes** defeated the Achaeans under Aratus. He then seized the power in Sparta, redivided the land, enfranchised 4000 *perioikoi*, and abolished the *ephorate*. With an increased citizen army, he reduced Aratus to appeal to Antigonus (225). 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. The Seleucids and Pergamum**

### **304–281**

**SELEUCUS I Nicator** (“conqueror”), after securing Babylon (311–308) and assuming the royal title (304), ceded northwestern India to Chandragupta (Sandrocottus) (303). He failed to reduce Mithridates I of Pontus but gained control of Asia Minor on the defeat of Lysimachus (281). 1

### **281–261**

**ANTIOCHUS I Soter** (“savior”) succeeded upon the murder of his father Seleucus. He fought and defeated the Galatians (275, 270?). In the First War of Succession (280–279) and First Syrian War (274–271), he lost Miletus, Phoenicia, Cilicia, Pamphylia, and Lycia to Ptolemy II. 2

### **263–241**

**Eumenes I** made himself virtually independent of Antiochus as ruler of **Pergamum**, where his uncle, **Philetaerus**, had ruled as governor, first for Lysimachus and then semi-independently for the Seleucids. 3

### **261–246**

**Antiochus II Theos** (“god”), son of Antiochus I, secured the support of Antigonus II and Rhodes against Egypt in the **Second Syrian War** (260–253?). The succeeding peace restored to Antiochus Ionia (including Miletus), Coele-Syria, Cilicia, and Pamphylia (253). 4

## 250–230

**Diodotus I** declared himself independent king of Bactria. In 248–247, Arsaces I founded the **Parthian Kingdom**. 5

## 246–226

**SELEUCUS II CALLINICUS** (“gloriously victorious”), son of Antiochus II by his divorced wife, Laodice I, succeeded. As a result **Berenice II**, daughter of Ptolemy II, whom Antiochus had married in 253, provoked the Syrian War in favor of her infant son. 6

## 246–241

Berenice II provoked the **Third Syrian War** (“Laodicean War” or “War of Berenice”). Though she and her son were murdered in Antioch, her brother, Ptolemy III, invaded Asia and Mesopotamia, and ultimately forced Seleucus to surrender the coasts of Syria and southern Asia Minor (241). 7

## 241–197

**Attalus I Soter** (“savior”), who succeeded his father's cousin Eumenes I as ruler of Pergamum, took advantage of Seleucus's difficulties to secure for himself western Asia Minor by crushing the Galatians near Pergamum (230), after which he took the title “king.” 8

## 240–236

Seleucus attacked **Antiochus Hierax** (“falcon”), whom he in 241 had recognized as ruler of Asia Minor. Hierax secured the aid of Mithridates II of Pontus and the Galatians. The Galatians crushed Seleucus at Ancyra (240–239?). 9

## 229–226

Attalus I of Pergamum drove Hierax out of Asia Minor (229–228), after which Seleucus <sup>10</sup> drove him out of Syria (227) to Thrace, where he was killed. Seleucus died and was succeeded by his son (226).

## 226–223

**Seleucus III Soter** or Ceraunus (“thunderbolt”), son of Seleucus II, was murdered <sup>11</sup> during a war with Attalus I (224–221).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. [Parthia](#)**

### **247, 238?–211**

**Arsaces I** founded the **kingdom of Parthia**, including at first only Parthia and Hyrcania, <sup>1</sup> between the Seleucid kingdom in the west and the Bactrian kingdom in the east. Parthian society was hierarchical and dominated by elite orders of priests and nobles. The king's power rested on the support of the leading nobles who supplied soldiers and tribute from their estates. Zoroastrianism was the religion of the Parthians. In 238 Arsaces was expelled by Seleucus II but returned when the latter withdrew to deal with a revolt in Syria.

### **211–c. 190**

**Arsaces II** withstood the attacks of Antiochus III, the Great, in 209; he was followed by <sup>2</sup> Arsaces III (Priapatius, 190–176) and Arsaces IV (Phraates I, 176–c. 171).

### **c. 171–138**

**Mithridates I** conquered Babylonia and Media from the Seleucids (c. 147); later he <sup>3</sup> added to his kingdom Elam, Persia, and parts of Bactria, thus founding the Parthian Empire. Ctesiphon-Seleucia became the capital. He captured Demetrius II in 139.

### **138–128**

**Phraates II** (138–127) defeated Antiochus VII in Media (129), and as a result the <sup>4</sup> Seleucids were permanently excluded from the lands east of the Euphrates; but he died in battle fighting the Tochari (the Scythians or *Sacae* of the Greeks), a tribe driven out of central Asia by the Yuezhi. The kingdom was devastated and Artabanus I (128–124) fell



likewise fighting against the Tochari.

### 124–87

**Mithridates II, the Great**, defeated the Scythians and also Artavasdes, king of Armenia Major. He stabilized the eastern boundaries of the kingdom. <sup>5</sup>

### 87–70

Parthia suffered a collapse and was greatly reduced in territory by Tigranes I of Armenia (c. 100–56). <sup>6</sup>

### 70–57

**Phraates III** restored order but was not strong enough to resist the Roman advance, led by Lucullus and Pompey. <sup>7</sup>

### 57–37

**Orodes II** defeated Crassus at **Carrhae** (53) and regained Mesopotamia. His son, Pacorus, unsuccessfully invaded the Roman province of Syria in 51 and again in 40. <sup>8</sup>

### 37–20

**Phraates IV** defeated Antony in 36 but could not prevent him from conquering Armenia in 34. In 20 he returned the standards of Crassus and Antony to Augustus, while a line of kings (the **Arcasids**) persisted in Armenia. Parthia itself was badly divided for almost two centuries after 77 C.E. Rome conquered further Parthian territory, including Armenia, by 117 C.E.. (See [113–117](#)) <sup>9</sup>



## f. [Bactria](#)

### 323–302

After Alexander's death, Greek auxiliaries mutinied and were crushed by **Perdiccas**.<sup>1</sup> Control over Bactria, frequently nominal, passed from Perdiccas (d. 319), to Eumenes (d. 316), to Antigonus, and to Seleucus, who campaigned in the eastern provinces (311–302).

### c. 250–210?

**Diodotus**, the satrap of Bactria, made himself independent and conquered Sogdiana. He<sup>2</sup> founded a dynasty that withstood the attacks of the Seleucids.

### 210?

**Euthydemus** overthrew Diodotus II (c. 210?) and withstood a two-year siege at Bactra<sup>3</sup> by Antiochus III before making an alliance (208–206?). After the defeat of Antiochus at Magnesia (190), Euthydemus and his son Demetrius began to expand into the Indus Valley. But while Demetrius was campaigning in the Punjab, Eucratides made himself king of Bactria (c. 170). **Menander** (c. 155–130) then became king of Bactria and extended his power into India. About 100 the Yuezhi crossed the Oxus River, breaking Bactrian Greek power and confining their territory to the Hindu Kush and the upper Indus and Swat Valleys. They were then overcome by the Sakas and Scytho-Parthians.



(See [343–332](#))

## **g. Ptolemaic Egypt to the Roman Conquest**

### **304–283**

**PTOLEMY I SOTER** (“savior”), the son of Lagus (hence the “Lagid” house), had been <sup>1</sup> governor of Egypt since 323 and king since 304. He had seized Coele-Syria in 301 and acquired from Demetrius, Pamphylia and Lycia (296–295) and Caria and the island of Cos (286).

### **285–246**

**PTOLEMY II PHILADELPHUS** (“loving his sister”) was co-regent for two years and <sup>2</sup> revived an old Pharaonic practice by marrying his sister Arsinoe II (276?). He explored the upper Nile and extended his power along the Red Sea and into northern Arabia (278) for commercial purposes.

### **280–272**

In the **First War of Succession** (280–279) and **First Syrian War** (274–271), Ptolemy II <sup>3</sup> secured Miletus, Phoenicia, western Cilicia, Pamphylia, and Lycia. He subsidized Pyrrhus against Antigonus (274) and aided Athens and Sparta in the Chremonidean War (268–262?). He incited Eumenes of Pergamum to revolt from Antiochus (263) and supported the seizure of Ephesus (262–259) by his own son, Ptolemy. These activities brought Antiochus II, Antigonus II, and Rhodes together to wage the Second Syrian War.

## 260–250

During the **Second Syrian War** (260–253?), Antigonus defeated Ptolemy in the **Battle of Cos** (261 or 256). Though by the resulting peace he lost Cilicia and western Pamphylia (255), he later recovered the Cyclades (250) and also Cyrene (c. 248), which had become independent in 274.

4

## 246–221

**Ptolemy III Euergetes** (“benefactor”) supported his sister Berenice II in the **Third Syrian War** (246–241) and acquired the coasts of Syria and southern Asia Minor, as well as some Aegean ports. But he lost the Cyclades to Antigonus through the **Battle of Andros** (246?). This was the height of the Ptolemaic power.

5

## 221–203

**Ptolemy IV Philopator** (“loving his father”) was a weak monarch, dominated by his minister, Sosibius. In the **Fourth Syrian War** (221–217) he at first lost much of the Syrian coast to Antiochus III, but the victory of **Raphia** (217) brought the recovery of all, save the port of Seleucia.

6

## 203–181

**Ptolemy V Epiphanes** (“god manifest”), a young boy, succeeded his father. While the Egyptian natives revolted in the Delta (201–200), Antiochus III attacked him in the Fifth Syrian War.

7

## 202–195

**The Fifth Syrian War** (202–200?) saw the defeat of Ptolemy at **Panium** (200). He retained only Cyprus of his Asiatic possessions. When he came of age (195), he succeeded in suppressing the native revolts.

8

## 181–145

**Ptolemy VI Philometor** (“loving his mother”) followed Ptolemy V under the regency of his mother Cleopatra I. In consequence of Ptolemy's cowardice during the **Sixth Syrian War** with Antiochus IV (170–168), the people of Alexandria forced him to associate his brother, **Ptolemy VII**, in his rule. Rome prevented Antiochus from completing his victory over Egypt (168). When Ptolemy VI was expelled by his brother (164), the Roman Senate restored him and gave Cyrene and Cyprus to Ptolemy VII, who, however, secured only Cyrene (163). Ptolemy supported Alexander Balas against Demetrius I (153–150) but then switched his support from Alexander to Demetrius II. Ptolemy and Alexander Balas were killed in this war (147–45). <sup>9</sup>

### 145–116

**Ptolemy VII Euergetes II** (“benefactor”) or Physcon (“fat-bellied”) reunited the empire after his brother's death and restored order. At his death, he left Cyrene separately to his son Apion, who willed it to Rome in 96, though it was not actually annexed until 75. Another son, Ptolemy IX, received Cyprus, which was ultimately bequeathed to Rome and annexed in 58. <sup>10</sup>

### 116–47

**Ptolemy VIII Soter II** or Lathyrus (“chick-pea”), son of Ptolemy VII, was eventually expelled by his brother **Ptolemy IX Alexander I** (108–88). The people of Alexandria, however, slew Ptolemy IX and restored Ptolemy VIII (88–80). **Ptolemy X Alexander II**, son of Ptolemy IX, succeeded but was at once slain by the people of Alexandria (80), who set up an illegitimate son of Ptolemy VIII, **Ptolemy XI Auletes** (“flute-player”) or **Neos** (“new”) **Dionysos**. Though expelled in 58, he bribed the “first triumvirate” to send Gabinius to restore him (55). On his death in 51, he left his throne jointly to his children, **Cleopatra VII** and **Ptolemy XII** (51–47). When Ptolemy expelled his sister, Caesar forced her restoration (48) and, since Ptolemy died during the fighting about Alexandria (48–47), Caesar joined with Cleopatra a younger brother, **Ptolemy XIII** (47–44), whom Cleopatra murdered on Caesar's death (44). <sup>11</sup>





(See [354–347](#))

## **[h. Sicily](#)**

### **316–289**

**AGATHOCLES** made himself tyrant of Syracuse in consequence of a civil war (c. 323–316) in which, as a democratic leader, he had executed and expelled the Syracusan oligarchs, dividing their property among the poor. He established Syracusan suzerainty over eastern Sicily. <sup>1</sup>

### **311**

The exiled oligarchs appealed to Carthage whose general, Hamilcar, defeated Agathocles at the Himera River and besieged Syracuse. In 310 Agathocles slipped across to Africa and attacked Carthage. The siege of Syracuse was lifted, and Agathocles maintained himself in Africa until 307, when his army, under his sons, was annihilated during his absence. <sup>2</sup>

### **304**

Agathocles came to terms with Carthage and the oligarchs and took the title of king. In the meantime, the Tarentines had made peace with the Samnites (c. 320) but were attacked by the Lucanians and eventually called in Agathocles for help. <sup>3</sup>

### **302**

Agathocles arrived in Italy (c. 300), established his power in Bruttium, but was called back to Syracuse, where he died in 289. He bequeathed freedom to the Syracusans, who restored the democracy. A certain group of the Campanian mercenaries of Agathocles, calling themselves Mamertines (“sons of Mars”), seized Messana.

4

## 282–275

The Tarentines, angered by Roman occupation of towns in southern Italy, sunk four Roman ships that had violated a treaty by sailing into Tarentine waters. They then drove a Roman garrison from Thurii. When Rome declared war, they called in Pyrrhus (280). After victories over the Romans, Pyrrhus campaigned against the Carthaginians in Sicily (279–276). He returned to Italy, was defeated by the Romans, and departed (275), leaving southern Italy under the Romans and much of Sicily under the Carthaginians.

5

## 275–215

**Hiero II** made himself tyrant of Syracuse, defeated the Mamertines, and took the title of king (270). He joined the Carthaginians in attacking the Roman force which occupied Messana in 264. When he was defeated and besieged in Syracuse, he made peace with Rome (263). At the end of the **First Punic War** (241) (See [264–241](#)), Hiero's kingdom encompassed about a quarter of Sicily; most of the rest became Rome's possession. Denied the possibility of expansion by Rome, Hiero pursued a peaceful policy and Sicily prospered for a quarter century. He died in 215 and was succeeded by his grandson Hieronymus. (See [The Punic Wars](#))

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **E. Rome**

### **1. The Monarchy and the Early Republic, 334 (338)–264 B.C.E.**

#### **a. Geography and Climate**

*(Note on dates:* Virtually all precise dates for early Rome are antiquarian reconstructions. <sup>1</sup>  
The conventional (Varronian) dates for Roman events before the late 4th century are high  
by four years due to the insertion of the fabricated “dictator-years”—333, 324, 309, and  
301. In what follows, the conventional dates will appear in square brackets.)

Rome's site on the **Tiber River** lies where the foothills of the Apennines, the mountain <sup>2</sup>  
chain that dominates central and southern Italy, come down to the central plain. The  
Tiber, like the other navigable rivers of antiquity, was a vital channel of trade. **Latium**,  
the region to the east and south of **Rome**, was bounded to the north by  
Etruria—distinguished by mineral deposits which were heavily exploited from the 8th  
century B.C.E.—and to the south by **Campania**, with good farmland and harbors. Italy  
itself was a geographical unit long before it was a political one; it came to include  
northern Italy only in the 2nd to 1st centuries B.C.E. and never included Sicily or Sardinia.  
The climate of peninsular Italy in antiquity was not very different from that of today,  
except that extensive deforestation in some regions has caused a decrease in rainfall.

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## **b. [The Peoples of Italy](#)**

The wide diffusion of Indo-European tongues—Latin, Osco-Umbrian, Venetic, and Messapian—spoken in Italy at the beginning of the historical period, together with the general continuity of prehistoric cultures attested by archaeology, show that the **introduction of Indo-European languages** into Italy was a long and complicated process stretching back to the late Neolithic age. The great cultural units of historical Italy—Etruscan, Latin, Sabellian, and Iapygian in Apulia; Venetic in Venetia—were formed in the 9th and 8th centuries. 1

During the 7th century B.C.E., the non-Indo-European **ETRUSCANS** became the dominant people of central Italy. Their homeland corresponds roughly to modern Tuscany. The rise of the Etruscans coincided with intensified trade with Greeks in search of metals in the 8th century. Greek imports, increased use of metals, greater division of labor, the adoption of writing (from the Chalcidian alphabet of Cumae), and urbanization were all part of the rapid social and economic transformation in southern and coastal Etruria. Etruscan power, though never unified, was extended through migration, colonization, and conquest. Etruscans founded cities in the Po Valley and in Campania and subjugated various Latin communities, Rome among them. The Etruscan cities were loosely united in a religious league of 12 but were politically independent with independent artistic traditions. The economy was based on agriculture, maritime trade and piracy, and exploitation of minerals. Tomb paintings portray a luxurious upper-class existence, while literary sources tell of a class of peasants tied to the land, comparable to Spartan helots. Etruscan hegemony ended in the 5th century with their expulsion from Latium and the loss of the sea to Greeks, of Campania to the Sabelli, and of the Po Valley to the Gauls. From the 4th through the 1st centuries, Roman conquest, colonization, and co-optation caused Etruscan civilization to decline and finally end. The Etruscans influenced Roman institutions in various ways, and in spite of the fact that many of their gods were different from those of Rome, they had a reputation at Rome for religious expertise. They were also renowned for luxury, because women were relatively free by the standards of classical Greece. 2

The **LATINS** lived on the western (Tyrrhenian) coastal plain—**Latium**—that stretches from the Tiber in the north to Monte Circeo 65 miles to the south. Northern Latium is 3

enclosed on the east by the foothills of the Apennines; further south, the Lepini Mountains mark the eastern boundary. Traditionally there were 50 small Latin communities which were united by common Latin cults and by the common Latin rights of intermarriage, contractual dealing, and intermigration. By the 7th century, contacts with Etruscans and Greeks had influenced the Latins to organize themselves into about a dozen communities resembling Greek *poleis*. Although still tied to each other by intercommunal rights and common cults, these Latin “city-states” became increasingly independent and competitive. By the late 6th century several of them had formed a **political league** centered around Aricia, at the time when Etruscan Rome was pursuing an aggressive policy. Roman preeminence in Latium ended abruptly with the expulsion of Etruscan kings in the late 6th century. Soon after this the **Latin League** was formed, and a military alliance was made with Rome to defend the homeland against invading Aequi and Volsci. A century of war left Latium free of invaders, but Rome was again poised to dominate the other Latins. This was achieved by a Roman victory in the Latin War, 337–334 (343–338).

In the historical period the Apennines were inhabited by Sabellian peoples who spoke a variety of Osco-Umbrian languages and who periodically raided and sometimes conquered the fertile plains around them. In historical times the **Sabines** had moved into Latium where they are said to have exerted a formative influence on early Rome. The territories of the **Umbrians** extended from the highlands east of the Arno and Tiber to the Adriatic coast between Rimini and Ancona. Another Osco-Umbrian-speaking people from the central Apennines were the **Aequi**, who invaded Latium c. 500 B.C.E. The central Apennines were also home to the Umbrian-speaking Marsi. Further east, Oscan speakers—the Paeligni, Vestini, and Marrucini—held sway; to the southeast, along the Adriatic coast, the Oscan-speaking Frentani dominated. Inhabiting the south-central Apennines were the **SAMNITES**, who spoke an Oscan language and by the 4th century were united in a loose but formidable confederation. During the late 5th and early 4th centuries, Oscan-speaking peoples moved into Campania, Lucania, and Bruttium, where they came to be known as Campani, Lucani, and Bruttii, respectively.

**GREEK COLONIZATION** (See [c. 800](#)) had a major influence on all the peoples of Italy and Sicily. The first Greek colony was established at Cumae in 750, and Greeks continued founding colonies in Campania, Apulia, and eastern Sicily (**Magna Graecia**) for the following two centuries.

The advent of **CELTIC** peoples into the Alpine regions of Italy occurred during the historical period. Since their movements were nomadic and they mixed with previous inhabitants of regions, it is difficult to date the earlier Celtic presence, but by the 5th century they had begun to displace the Etruscans in the **Po Valley**.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Economy, Society, and Culture](#)

The economy of early Rome was **agrarian**, and most citizens were farmers working privately owned land. Their diet centered on hulled wheat or emmer (*far*) consumed as porridge (*puls*) rather than bread, together with garden vegetables. Cultivation of grapes seems to have begun in central Italy in the 8th century B.C.E., and the olive was introduced in the 6th; both became staples. Meat played a greater role in the diet of ancient Romans than in that of Greeks, and while sheep and larger stock animals were raised by wealthier Romans, the major source of meat in Rome was the ubiquitous pig. That a significant number of Roman farmers were relatively affluent in the mid-sixth century is shown by their organization into a force of hoplite soldiers who provided their own armor. The majority, however, worked plots too small to allow farming above near-subsistence levels, which had to be supplemented with labor on land that was either public or belonged to the wealthy. 1

The importance of **trade** and **small-scale industry** for the economy of archaic Rome is suggested by its site on the Tiber River at the point of a natural ford (Tiber Island). Commercial activity is confirmed by archaeological evidence. By the mid-sixth century local Roman industry was producing fine pottery and bronze work, as well as public and domestic buildings decorated with high-quality terra-cotta ornaments. From the earliest times, however, **economic well-being at Rome was dependent on military success**. Increases in population during the 7th and 6th centuries, and the overall Roman prosperity during the 6th century was a function of expansion under Etruscan rule. Conversely, 5th-century military setbacks coincide with economic decline, which continued until the end of the century when conquered land was distributed to poor Romans. The pattern recurs in the 4th century, with decades of economic dislocation and social unrest following the Gallic sack of Rome in 386 (390), ending with Roman victories midcentury. Great victories over the Samnites, Etruscans, and Greeks in the late 4th and early 3rd centuries placed the economy of Rome on a higher level. Large numbers of Romans were granted land both in the greatly enlarged Roman territory (*ager Romanus*) and in the **Latin colonies** established in more distant parts of Italy. War captives increased the numbers of rural and urban slaves, and, to meet the needs of the city's swelling population, aqueducts, the *Aqua Appia* in 310 (312) and the *Aqua Anio* 2

*Vetus* in 272, were constructed. The technology for Rome's first aqueducts was probably modeled on earlier drainage tunnels. Public buildings paid for by war booty, especially temples, were erected at an unprecedented rate. Pottery made in Rome began to be exported in quantity, and Roman artisans produced sculpture in terra cotta, stone, and bronze. In the early 3rd century state-issued coinage was introduced. The Etruscans had introduced **technological advances** to archaic Rome in the form of drainage projects, both urban and rural, and impressive public buildings. The conquest of **Veii** in 392 (396) gave Rome access to a superior building material, *Grotta Oscura* tufa. Rome's monumental stone wall, begun in 374 (378), was constructed principally of this stone, which remained the city's chief building material for almost two centuries. By the end of the 4th century the first of Rome's major roads had been built, the *Via Appia* to Capua 310 (312).

From early times the Roman family was governed by the principle of *patria potestas*.<sup>3</sup> This was the power held by the oldest surviving male ascendant (*paterfamilias*) over the property, conduct, and survival of his agnatic descendants—sons, unmarried daughters, grandchildren by sons, married daughters in *sine manu* relationships, and daughters-in-law if married with *manus*, plus slaves (these together constituted the *familia*). All these remained under the power of the *paterfamilias* until his death, at which time each son became a *paterfamilias* and head of his own *familia*, while daughters gained limited independence under the supervision of a male guardian (*tutor*) and slaves together with other property were passed on through inheritance. Inherited property, including land, was equally divided among heirs. From at least the mid-fifth century, there were two forms of marriage at Rome; under one, the wife passed into the *manus* (authority) of the head of her husband's family, while under the other she did not.

Beyond the *familia*, the larger social unit was the **gens** (clan), whose development is reflected in early onomastic practices. The gens consisted of those who shared a *nomen* (family name), who were sometimes thought to descend from a common clan ancestor. Men had personal names (*praenomina*), women did not. The division of large clans into subgroups came to be denoted by a third name, the *cognomen*, which was certainly in use by the 4th century. Sometime during the regal period a group of *gentes*, called **patricians**, secured for themselves certain political and religious privileges to the exclusion of other **plebeian** *gentes*. Various theories try to explain the basis for the distinction—native vs. immigrant; patron vs. client; cavalry vs. infantry—but none is entirely convincing. A characteristic feature of Roman life was **patronage** (*clientela*). This extralegal relationship that occurred at a variety of social levels involved mutual obligations between a free Roman citizen of inferior status (*cliens*) and a more powerful citizen (*patronus*). Its origin, stability, extension through society, and political function are obscure and debated, but its importance is undeniable. **Slavery** is mentioned in the mid-fifth century Twelve Tables but must have been practiced on a relatively small scale in the Archaic period. At that time the need for labor on the estates of wealthy Romans would have been met by citizens who had fallen into **debt-bondage**, *nexum*, which is also



mentioned in the Twelve Tables. Enslavement of defeated enemies was the principal source of slaves, and the military successes of the 4th century increased the supply greatly. It is not coincidental that debt-bondage was formally abolished at the beginning of a major war in 323 (326). The institution of a tax on manumissions in 353 (357) attests to a substantial number of slaves. A Roman slave on being manumitted was called a **freedman** (*libertinus*) and became a citizen.

The cultural life of archaic Rome was heavily affected by **Etruscan and Greek** influences, the latter either direct or mediated through the Etruscans. The presence in 6th-century Rome of the Italic (Etruscan) temple and the Latin alphabet (adapted from the Etruscan, which in turn was adapted from Greek) reflects Etruscan variations on Greek forms. Direct Greek influence is attested in the 6th century by a votive inscription to the Greek gods Castor and Pollux at the pan-Latin sanctuary at Lavinium, by the syncretization in Rome of native and Greek deities, and by early 5th-century Roman temples dedicated to Greek deities. Political revolution, foreign invasion, and internal unrest brought on a century of decline that ended with the cultural advances produced by late 4th-century military successes and prosperity. Rome was once again open to foreign, particularly Greek, influences, which can be seen in the renewed production of pottery and bronze work. The “publication” of the civil law by **Cn. Flavius** in 303 (304) shows that writing, though still limited to relatively small numbers of citizens, had gained a new importance. The capture of cities of Magna Graecia in the early 3rd century brought substantial numbers of Greek slaves to Rome. The Tarentine **Livius Andronicus** worked as a teacher and poet, but other captive Greeks were employed in a variety of occupations throughout the city. The process of “Hellenization,” therefore, was taking place in the streets as well as the salons of Rome long before the 2nd-century conquest of Greece.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

#### d. The Regal Period

The history of early Rome rests on a highly dubious literary tradition, based mostly on oral tradition, and a sketchy archaeological record. The latter suggests that Rome's first residents were herdsmen living in seasonal settlements on Rome's various hills (**Palatine, Esquiline, Quirinal**) and using the low-lying areas for burials (both inhumation and cremation). The chronology is disputed, but permanent settlements on these hills seem to have been established by the 10th century B.C.E. The early importance of the Tiber ford as the crossroads of the two principal trade routes of central Italy is suggested by the presence of 8th-century Greek geometric pottery in the adjacent area—the later Forum Boarium. By the early 7th century settlements began to move down from the hills to the eastern fringes of the **Roman Forum**. Around 625, the central area of the Roman Forum was drained and paved. During the second half of the 6th century, an enormous Etruscan-style temple (with three rooms or *cellae*) was built on the Capitoline hill; in the *Forum Boarium* remains of a large temple have been found with an Etruscan inscription nearby. <sup>1</sup>

Roman tradition said that **Romulus** founded **Rome**, and antiquarians later fixed the date at 753. Tradition also said that early Rome was ruled by seven kings—**Romulus, Numa Pompilius, Tullius Hostilius, Ancus Marcius, Tarquinius Priscus, Servius Tullus,** and **Tarquinius Superbus**. The latter was supposed to have been expelled in 505 (509). The last three rulers represent a foreign, Etruscan dynasty responsible for major building projects, among them the construction of a great drainage sewer (*cloaca maxima*) and the temple of Jupiter Optimus Maximus on the Capitol. The tradition also says that the **political organization** of regal Rome was originally based on three tribes and 30 *curiae* (wards), and that the kingship was elective not hereditary. The king was advised by a **senate** of 100 elders (*patres*). The penultimate king, **Servius Tullius**, reputed to be of Latin servile descent, is credited with a reorganization of the army (hoplite reform) that divided citizens into five classes and 193 centuries determined by wealth. <sup>2</sup>



### e. [The Early Republic](#)

The Republic was founded in 505 (509), according to tradition, when the last king, **Tarquinius Superbus**, was expelled by a revolt of native Roman aristocrats led by **L. Junius Brutus**. The dominant tradition states that the Republic was led from the beginning by two annual, eponymous officials called **consuls**, but some scholars think that until 363 (367) they were known as praetors (the latter then became the second tier of officials). The consuls exercised *imperium*, which gave them absolute power (including over life and death and in war), while in the city they exercised the power of *coercitio*, a sort of summary police power. The consuls were elected by the *comitia centuriata*, a plutocratically organized assembly of the male citizens, but their *imperium* continued to be conferred by the *comitia curiata* (*lex curiata*). Assisting the consuls were two financial officials called *quaestors* who were originally appointed by the chief officials and after 443 (447) were elected. Two plebeian quaestors seem to have been added in 418 (421) to administer the state treasury (*aerarium*) in Rome. In either 439 (443) or 431 (435), the job of counting Roman citizens was transferred from the consuls to two censors, nonmilitary but prestigious officials. Every four years the censors, holding office for a maximum of 18 months, made up the citizen lists for tax and military purposes (the census), enrolled senators (*lectio senatus*) and cavalrymen (*recognitio equitum*), and examined public morals (*regimen morum*). A third magistrate with *imperium*, the *praetor urbanus*, was created in 363 (367) to relieve the consuls of some judicial responsibilities. In a time of crisis the senate could establish unity of command by instructing the consuls to appoint a **dictator**, who appointed his own assistant as a master of the cavalry (*magister equitum*). The dictator had *imperium* and absolute power in all fields but had to resign when his task was completed, and in no case could he remain in office for more than six months. All magistrates with *imperium*, and also the censors, were elected by the military assembly, *comitia centuriata*. Other officials were elected by the *comitia tributa*, which passed the great majority of laws (*leges*).

**Religious power** was closely intertwined with political power. The relationship between the Roman people and the divine, which had once been controlled by the king and by priests of specific deities, was taken over under the Republic by three boards or colleges

1

2

of religious officials who were experts in, and managers of, the various methods of communication between the community and the gods. The three priestly colleges were (1) the augurs (originally three? in number, raised to nine by 300), who were expert advisers in determining whether the gods approved courses of action; (2) the *decemviri sacris faciundis*, a committee of ten (earlier, fewer in number), who supervised the Sibylline Books and the few other oracular documents recognized at Rome; and (3) the *pontifices* (priests, originally three?, raised to nine by 300), who exercised a general supervision over the religious life of the Romans. Members of these colleges were selected by co-optation and were originally limited to patricians. Plebeians were admitted to the college of *decemviri sacris faciundis* in 364 (367), of priests and augurs in 300. But members of the three colleges were always drawn from the best senatorial families, be they patrician or plebeian, and individual augurs, *decemviri*, and priests pursued full political and military careers like other Roman aristocrats.

The internal political history of the early Republic centers on the STRUGGLE OF THE ORDERS—the campaign by **plebeians** to break the political and religious monopoly of the **patricians** and to relieve the economic distress of poor citizens. In the early 5th century, the plebeians organized their own assembly, the *concilium plebis*, whose resolutions, called *plebiscita*, were binding only on plebeians. The plebs elected their own officials, *tribuni plebis* (plebeian tribunes), and two *aediles plebis* (plebeian aediles), who handled fines imposed by the tribunes or the *concilium*. The plebeian tribunes at first numbered either two, four, or five but by sometime in the 5th century had reached their canonical number of ten. They were elected by and presided over the *concilium plebis* and, in order to carry out their mandate to defend the lives and property of plebeians against patrician magistrates, they exercised a veto (*intercessio*) over laws, elections, and the acts of magistrates. The plebeians swore an oath binding themselves to avenge any injury done to the tribunes and making their persons inviolate.

### 505 (509)

L. Junius Brutus and L. Tarquinius Collatinus were supposedly the first pair of consuls.

### 504 (508)

A very early treaty between Carthage and the new Republic, confirming Rome's dominant position in Latium, was later attributed to this year. Tradition said that shortly after Tarquinius's expulsion, **Lars Porsenna**, the king of Etruscan Clusium, attacked Rome; he may well have captured it. Later he was apparently defeated by the Latins at the Battle of Aricia (504).

### 495 (499) or 492 (496)

On this antiquarian date the dictator A. Postumius defeated the Latins in the **Battle of Lake Regillus**.

6

### 491 (495) or 489 (493)

On this antiquarian date Sp. Cassius supposedly negotiated the treaty named after him (*foedus Cassianum*) with the Latin League, establishing a defensive alliance to combat the invasion of Latium by the **Aequi** and **Volsci**. Rome and the Latin League agreed to conduct joint annual campaigns with command alternating between Roman and Latin generals, to distribute booty equally, and to establish joint colonies on reconquered territories.

7

### 490–489 (494–493)

The antiquarian date the office of plebeian tribune and the plebeian assembly were created. These events were supposed to have happened when the plebeians, oppressed by debt, moved to the Sacred Mount to return only after patrician concessions.

8

### 473 (477)

On this antiquarian date the Fabian *gens*, fighting as a unit on behalf of Rome against the Etruscan city of Veii, was annihilated on the **Cremera** (a tributary of the Tiber).

9

### 454 (458)

On this antiquarian date **L. Quinctius Cincinnatus** was called from his farm to become dictator and then defeated the Aequi.

10

### c. 447 (451)

**Agitation of the plebs** for the codification of law led to the creation of **ten patrician decemviri** in the place of consuls and tribunes. The first decemviri published ten tables of laws that proved insufficient, so new decemviri created in 446 (450) added two more tables. The **TWELVE TABLES** set out the basic rules for civil law, confirming the privileges of patricians. This was the last codification of Roman law until the 3rd century C.E. Shortly after the writing of the Twelve Tables there was a plebeian protest, supposedly in 445 (449). 11

### 445 (449)

**The Second Secession** of the plebs supposedly occurred, followed by the election of tribunes and then of patrician consuls L. Valerius and M. Horatius. The latter passed a series of **Valerio-Horatian** laws, whose provisions are obscure, though important. They perhaps established *provocatio*, the right of appeal of magisterial decisions, and affirmed the inviolability of the tribunes and also the aediles. 12

### 441 (445)

On this antiquarian date, the **lex Canuleia** took effect, which allowed marriage between patricians and plebeians, with children inheriting the father's status. 13

### 440 (444)

Two patrician **censors** were created. Either as a compromise in the face of plebeian agitation that the consulship be opened to plebeians, or as a measure to meet increased military commands, **military tribunes with consular power**, who might be plebeians, were created. These alternated irregularly with consuls until 363 (367). 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [The Conquest of Italy](#)

### 334 (338)

**The Latin League was dissolved**, and its former members forfeited an independent foreign policy, being bound to Rome by the various methods discussed below. 1

### 323 (326) or 310 (313)

The **lex Poetelia** abolished *nexum* (debt-bondage). 2

### 323–303 (326–304)

**THE SECOND SAMNITE WAR** began when Rome violated a treaty by establishing a Latin colony across the Liris River at Fregellae. The war was fought principally in Samnium. After initial successes from 323–320 (326–322), a Roman army was trapped at the **Caudine Forks** in 319 (321), and Rome was forced to negotiate an unfavorable peace. Rome resumed hostilities in 314 (316), suffered a defeat at Lautulae 313 (315), but soon reversed its fortunes. In 304 (305) the Samnites were decisively defeated and forced to sign a peace in 303 (304), giving sole hegemony of Campania to Rome. 3

### 310 (312)

**Appius Claudius** (later Caecus, “the blind”) as censor distributed freedmen among the rural tribes (in 302 (304) freedmen were confined once again to the four urban tribes). 4

### 298–290



The **THIRD SAMNITE WAR** was the final effort by the Samnites—aided by the Etruscans, Umbrians, and Gauls—to halt Roman domination. In 295 a large force of Samnites and Gauls was defeated at Sentinum, where a second Decius Mus was reputed to have secured a Roman victory by a *devotio*—that is, by seeking death in battle in exchange for divine assurance of Roman victory. The Gauls scattered, the Etruscans sued for peace in 294, and the Samnites finally surrendered in 290. Samnite land was taken, and Latin colonies were established on it. In 290 the Sabines were given Latin rights.

5

### 287

After a period of violence and the Third Secession of the plebs to the Janiculum, the dictator Q. Hortensius passed the **lex Hortensia**. It made *plebiscita* passed by the *concilium plebis* binding on all Romans. This marked the legal end to the Struggle of the Orders and the formation of a **joint patrician-plebeian nobility**.

6

### 284–283

The Romans defeated a Gallic army at Lake Vadimon in Etruria and then annexed the land of the Senones (the *ager Gallicus*) along the Adriatic.

7

### 282–272

**WAR WITH PYRRHUS** arose from Roman occupation of Thurii, a Greek city of Magna Graecia. The Tarentines sunk four Roman ships that had violated a treaty by sailing into Tarentine waters and expelled a Roman garrison from Thurii. Rome declared war, and the Tarentines called in **King Pyrrhus** of Epirus. In 280, with a professional Hellenistic army of 25,000 and 20 elephants, Pyrrhus suffered heavy casualties but won a “Pyrrhic victory” over the Romans at **Heraclea** in Lucania. The Bruttii, Lucani, and Samnites joined Pyrrhus, but the Roman senate, rallied by the blind ex-censor Ap. Claudius, rejected the peace offer of Cineas, Pyrrhus's ambassador. In 279 Pyrrhus won a hard-fought victory at **Ausculum**.

8

### 279–276

Pyrrhus campaigned in Sicily (See [282–275](#)) and returned to Italy to be defeated by Rome at Beneventum in 275. He went back to Greece, leaving his general, Milo, to surrender Tarentum to the Romans in 272. Rome garrisoned Tarentum and other Italiot Greek cities; reduced the Bruttii, Lucani, and Samnites; and took Rhegium from the Mamertines in 270. Minor rebellions in Etruria occurred until 264.

9

Rome's aggressive foreign policy had won it domination of all Italy south of the Po Valley. In its relationships with other communities, Rome denied them an independent foreign policy but customarily permitted local autonomy. Italian communities outside the *ager Romanus* (Roman territory immediately around Rome), fell into the following main categories:

10

(1) *Municipia* or *praefecturae*. These were states, such as Capua and Cumae, whose governments managed their own internal affairs, subject to the supervision of a Roman official called *praefectus Capuam Cumas*. Their aristocrats were full Roman citizens, while others were *cives sine suffragio* (Roman citizens without the vote).

11

(2) *Old Latin states*. States such as Tibur and Praeneste, defeated in the Latin War, retained autonomous governments by the treaty of 338. They passed their own laws, managed their internal affairs, and retained the Latin rights of *ius migrationis*, by which citizens could move to Rome and become Roman citizens. They were obliged to provide soldiers for Rome, but not tribute.

12

(3) *Colonies of Roman citizens*. These were established for defensive purposes, usually on land taken from conquered peoples, and comprised about 300 Roman citizens. They did not have independent local governments. Eight of these had been founded by 264, all coastal.

13

(4) *Latin colonies*. These were established as military outposts on conquered land and usually had 2,500–4,000 settlers drawn from Rome or Latin communities. The colonists had the status of Latins, and their governments, modeled on that of Rome, passed their own laws and managed their internal affairs. They were obliged to provide soldiers for Rome, but not tribute.

14

(5) *Civitates foederatae, socii* (allied states). The great majority of Italic states fell into this category. Most had been defeated by Rome and had suffered confiscation of land which became *ager publicus* of Rome. Their governments passed their own laws and managed internal affairs, subject to interference from Rome. They had to contribute troops to Rome, but did not pay tribute.

15



## 2. [The Republic, 264–70 B.C.E.](#)

### a. [Geography and Climate](#)

During this period Rome acquired a Mediterranean empire that comprised the following areas: 1

(1) Sicily's eastern end is mountainous and dominated by Etna. Farther west, a central plateau recedes into a coastal plain toward the south. There were fine harbors at Syracuse on the east, at Panormus on the north, and at Drepana on the west. Sicily's major rivers were navigable in antiquity, and its mountains were heavily forested. Excellent volcanic soil produced an extraordinary yield and a variety of crops; by the mid-third century, Sicily was the major exporter of grain in the Mediterranean. The hills of the interior contained good summer grazing land and made Sicily a major exporter of wool, as well as the home of outstanding horses and livestock. Sicily's climate follows the Mediterranean pattern and, except for a longer summer's drought lasting four months, is like that of peninsular Italy. Before the Romans, eastern Sicily was held by the **Greeks**; Phoenicians inhabited the west; and Sicels lived in isolated communities in the interior. 2

(2) Located in the Po Valley, **Cisalpine Gaul** had a continental climate with summers that were cooler, and winters that were harsher, but not as wet as those of peninsular Italy. Although rainfall was well distributed over the seasons, melting snow caused frequent flooding and permanent swamps, especially in the east. The region was covered with dense forests that provided timber as well as a home to large herds of pigs. Forest clearing and drainage made Cisalpine Gaul into an enormously fertile land, producing prodigious yields of grain and, in the southern regions, abundant wine harvests. Good grazing land provided a wide variety of fine wools. Once drained, the flat plain facilitated road building and overland trade, while navigation on the Po River was possible as far as Turin. The Po Valley was inhabited by three principal Celtic tribes: the **Boii** in the south, the **Cenomani** in the center, and the **Insubres** in the north. To the east in Venetia lived the Veneti, and to the west in the Apennines lived the Ligurians, both non-Celtic peoples. 3

(3) The **Spanish peninsula** comprises an elevated central plateau whose climate is continental and whose sparse rainfall makes it suitable for pasturage rather than agriculture. On the north and south are high mountains, forested in antiquity—the 4

Pyrenees and Sierra Nevada, respectively. Lower interior mountains border fertile river valleys—Baetis (Guadalquivir) and Ebro—that lead down to fertile coastal plains. Spanish agriculture was noted for its cereals, wines, and especially olive oil, while flax was a specialty of the Ebro Valley. Spain's mountains were particularly abundant in minerals—copper, iron, and, in the Sierra Morena, prodigious amounts of silver. There were good harbors on the southern coast at Gades and Carthago Nova. **Celtiberians** inhabited the north-central plateau, to the west were **Lusitanians**, and throughout the rest of the peninsula lived some 20 other independent peoples. (For the other area of the empire—the Balkan Peninsula, Asia Minor, Syria, and North Africa (See [Foreign Invasion and Internal Disarray](#)))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Economy, Society, and Culture**

In 225, Roman citizens living in all parts of Italy numbered about 280,000; the free population was between 3,000,000 and 3,500,000; and slaves brought the total population to over 5 million. Foreign wars of the 3rd century brought significant numbers of slaves to Italy, and during the 2nd century the number of war captives vastly increased. Between 225 B.C.E. and 14 C.E., the population of Italy seems to have increased by 50 percent, slaves accounting for most of the increase. The economy of Italy was consequently transformed by the **slave labor**, which was fundamental to the creation of *latifundia*—large, scattered estates devoted in part to the production of grapes and olives. The upper classes invested wealth newly acquired from conquests in these estates. To facilitate such investments, **small citizen farmers**, many of whom were also burdened by extended military service, were pressured to **leave their land** and emigrate to Rome. The consequent **economic dislocation** led to chronic social and political problems. The devastation during the Hannibalic War of large stretches of Italian land, particularly in the south, also contributed to the growth of *latifundia*, as well as that of large-scale sheep farming. Much of this land was confiscated by Rome and rented as *ager publicus* to wealthy citizens. To meet the needs of a city swelled by immigrants and slaves, as well as those of Rome's armies, **grain was imported** on a large scale, primarily from Sicily. Sometime before the mid-third century, wheat (*triticum*) had displaced emmer (*far*), allowing bread to replace porridge as the staple of the diet, although Greeks continued to refer to Romans as “porridge eaters.” Public bakeries were said to have been introduced in Rome c. 170. After the disruptions of the Pyrrhic and First Punic wars, **trade** revived. Grain, metals, slaves, and wines were imported into Italy, and beginning with the second half of the 3rd century, wines of Latium, Campania, and Etruria began to be exported to the Adriatic, and later, to southern France. The 2nd-century conquests of Spain and Cisalpine Gaul, and then of the Aegean, opened up markets which were fully exploited by Roman and Italian businessmen who brought wealth to the towns of Italy, as well as to the capital. The earliest Roman money was minted in bronze, beginning in the 4th century. The first silver coinage was produced c. 300, and what would become the standard silver coin—the *denarius*—was first issued in 211. Like all ancient states, Rome produced coinage to facilitate the collection of taxes and state payments, not to encourage

trade. A **technological revolution** occurred when the traditional method of building in stone was replaced by stronger, more flexible, and cheaper **concrete construction**, with the discovery of *pozzolana* mortar made from volcanic stone. Cement's first use was purely functional, that is, the building of the warehouse—the *Porticus Aemilia*, in Rome's new dockyards (193). By the century's end cement was being fully exploited in the construction of vaulted and terraced sanctuaries, such as that at Praenestae, and in high-rise urban tenements.

The **Roman family** had become nuclear and smaller by the 2nd century, and most **marriages** seem to have been *sine manu* (without authority). **Restrictions on women** were legislated—the **lex Voconia** (169) limited the amount a woman could inherit by will. But by the 1st century these and other restrictions could be circumvented by various legal dodges, and a woman who was *sui iuris* (independent) could acquire considerable freedom—to transfer property and to divorce—through a legal device which permitted her to select her own guardian. Educated Greeks began working as teachers in the early 3rd century, and Rome's first **elementary school** opened in 234. By the mid- to late 2nd century most upper-class Romans knew some Greek; literacy in Latin existed among the elite, and, to a lesser degree, among skilled craftsmen. With the ending of the Struggle of the Orders, a **new nobility** of office-holding families, both patricians and plebeians, grew up. A man without office-holding ancestors was called a **novus homo**, or “new man,” and required the help of a nobleman to obtain high office.

A major **social change** that occurred during the 3rd and 2nd centuries was the growing **disparity of wealth**, owing to the unequal distribution of riches acquired from foreign conquests. The traditional aristocratic practice of spending on public building was augmented by private spending and public largess. Viewed as *luxuria*, such conduct raised opposition expressed in the form of censorial reprimands, **sumptuary laws** (in 215, 181, 161, and 115), and numerous speeches. This prompted the wealthy to seek the pleasures of a Hellenic private life in **suburban villas** or, beginning in the 170s, in villas in **Greek Campania**.

From the 3rd century on, the major **cultural phenomena** were **Hellenism** and, beginning in the mid-second century, the articulation of a Roman culture that attempted to define itself, first in literature then in art, in opposition to Hellenism. **Latin literature** began formally in 240 with the translation of a Greek play by **Livius Andronicus**, a Greek freedman who had been captured at Tarentum in 272 and who also translated Homer's *Odyssey*. Before Livius, Latin poetry consisted of hymns and drinking songs. Greek culture continued to exercise its influence as seen in the Latin epic on the First Punic War, *Bellum Punicum*, by **Cn. Naevius** (c. 270–200), who also composed dramas. Enormously popular Latin comedies modeled on Greek originals were written by **T. Maccius Plautus** (?–184). **Q. Ennius** wrote in many genres and produced the national epic, the *Annales*, in a Greek meter (dactylic hexameter). The comic tradition was carried on by the highly regarded **P. Terentius Afer** (194–159), **Caecilius Statius** (fl. 179), and

**L. Afranius** (c. 160–120). Tragedies were written by **M. Pacuvius** (220–131), a nephew of Ennius who was also a noted painter, and by **L. Accius** (170–87). It was **C. Lucilius** who invented the Roman genre of satire. Rome's earliest historians, **Q. Fabius Pictor**, **L. Alimentus**, **A. Postumius Albinus**, and **C. Acilius**, composed in Greek. The first to write a history in Latin was the “new man” from Tusculum, **M. Porcius Cato** (234–149), whose *Origines* was about Rome and Italy. Cato also wrote a treatise on agriculture and numerous influential speeches. He was a critic of Greek culture. In 173 and 161, Greek philosophers were banished from Rome. Noted Roman orators included **C. Sempronius Gracchus** (154–121), **M. Antonius** (c. 140–87), and **L. Licinius Crassus** (140–91). **Q. Mucius Scaevola** (c. 140–82) wrote to organize Roman civil law by Greek logical categories. Beginning with the 3rd century, **Roman art** celebrated victory, its principal manifestations being representations of battles or triumphant generals and the decoration of Rome with **art plundered** from major Hellenistic capitals—Syracuse and Tarentum, and later, Corinth and Carthage. By the mid-second century, Rome's wealth was attracting artists from all over the Greek world. The result was that **eclecticism** became a fundamental element of Roman art. It was in **portrait sculpture** that Roman art sought to define itself against Greek models by stressing hard-headed maturity, warts and all (realism), over beauty and youth. **Architecture** remained conservative in the 3rd century, continuing to produce traditional Italic temples, along with aqueducts—the *Anio Vetus* (272), and roads—the *Via Aurelia* (241) and the *Via Flaminia* (c. 220). The **basilica**, a building type with multiple civic functions, was introduced to Rome in the early 2nd century. The first stone bridge, the *Pons Aemilia*, was begun in 179; in 144 a large new aqueduct, the *Aqua Marcia*, was constructed, followed by the *Aqua Tepula* (125). In religious architecture, distinctively **Greek influences** began to appear both in plan and building material (e.g., the round temple in the *Forum Boarium*, c. 146 or 125, which in form resembles a Greek *tholos* and which was built with imported Attic Pentelic marble). **Private architecture** was marked by the addition of the Greek **peristyle** garden to the Italic atrium house and by the construction of large luxury villas outside of Rome. Romans followed the Greek fashion of decorating their houses with painting. The **First or “Masonry” Style** initiated marble architectural decoration in single-dimensional painted walls.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### **c. The Punic Wars**

#### **264–241**

The **FIRST PUNIC WAR** arose from the Roman decision to accept the appeal of the **Mamertines**—Campanian mercenaries in Messana—to aid them against King Hiero of Syracuse and the Carthaginians (See [275–215](#)). In 264 Ap. Claudius Pulcher defeated the Carthaginians and Hiero and besieged Syracuse; Hiero shifted his alliance to Rome. 1

#### **262**

After sacking Agrigentum, the Romans decided to expel the Carthaginians entirely from Sicily. 2

#### **260**

The Romans under C. Duilius won the **naval victory of Mylae**. 3

#### **256**

A Roman army under M. Atilius Regulus landed in Africa. Carthage rejected Regulus's stringent terms and continued resistance under the Spartan mercenary Xanthippus. 4

#### **255**

**Xanthippus captured Regulus** and part of his army. 5

## 254

Rome seized **Panormus** and, in 250, began an unsuccessful nine-year siege of **Lilybaeum**.

6

## 244

The Romans failed to dislodge the Carthaginian general **Hamilcar Barca** from the promontory of Eryx.

7

## 241

At the **Aegates Islands** C. Lutatius Catulus destroyed the Carthaginian fleet. Carthage eventually negotiated peace on the condition of the surrender of Sicily and a payment of 3,200 talents over ten years. At Rome the final two **voting tribes** were created, making a total of 35 in the tribal assembly. Sometime between 241 and 217, the *comitia centuriata* was reorganized to make it partially correspond to the tribal system. The reform was democratic to the extent that it reduced the number of voting units (centuries) of the wealthiest first class from 80 to 70, to produce a multiple of the 35 tribes of the more egalitarian tribal assembly, and that it transferred the right of first vote from the elite equestrian centuries to those of the first class.

8

## 237 (238?)

Carthage, weakened in the recent **Mercenary War** (241–238), was blackmailed by the threat of war into surrendering **Sardinia** to Rome and paying an additional 1,200 talents.

9

## 237–228

Hamilcar Barca established a Carthaginian dominion in southern and southeastern Spain.

10

## 229–228

**The First Illyrian War.** To suppress Illyrian pirates, Rome sent a large army and fleet, <sup>11</sup> defeated Queen Teuta, and established “friendship” with the Greek cities of Illyria.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. Conquest of the Mediterranean

### 201–190

Annual campaigns were conducted in **Cisalpine Gaul** against the Cenomani, Insubres, and Boii until 190. 1

### 200–197

The **SECOND MACEDONIAN WAR**. Encouraged by Pergamum, Rhodes, and Athens, the senate resolved to make war on **Philip V** of Macedon and frightened an unwilling *comitia centuriata* into declaring war by visions of a renewed invasion of Italy. **T. Quinctius Flaminius**, supported by both the Aetolian and Achaean Leagues, finally (197) defeated Philip at **Cynoscephalae** in Thessaly and forced him to make peace (196) on the following terms: surrender of all cities in Greece; payment of 1,000 talents in 10 years; reduction of his navy to five ships; promise not to declare war without permission of Rome. At the ensuing Isthmian Games, Flaminius proclaimed the **independence of the Greek cities**. 2

### 197–180

**Regulation** of the *cursus honorum* (succession of offices). After 197, candidates for the consulship had to have held the praetorship. In 180, the *lex Villia annalis* established minimum ages for magistracies. 3

### 197–155

Roman armies invaded **Liguria** almost yearly until 172. The region was not conquered until 155.

4

### 197–175

Two provinces were created in 197—Nearer Spain (*Hispania Citerior*) in the Ebro Valley, and Farther Spain (*Hispania Ulterior*) in the Baetis Valley. The Romans began war with the Celtiberians in 195, and with the Lusitanians in 193, and campaigned until victory in 175.

5

### 192–189

**THE SYRIAN WAR** (See 192–189). Failed negotiations with Rome over Greece and Asia led Antiochus III, invited by the Aetolians, to invade Greece, but M. Acilius Glabrio routed his forces at Thermopylae (191).

6

### 190

The Roman army, under **L. Cornelius Scipio** (later *Asiaticus*) and his brother Scipio Africanus, crossed the Hellespont and defeated Antiochus in the **Battle of Magnesia**. By the **Treaty of Apamea** (189), Antiochus was obliged to surrender all European and Asiatic possessions north of the Taurus Mountains, and pay 15,000 talents in 12 years. Rome divided the Anatolian territory of Antiochus between Pergamum and Rhodes and aided Eumenes II of Pergamum against the Galatians (189). In Greece, Rome subjected the Aetolians but left the other cities free.

7

### 171–167

The **THIRD MACEDONIAN WAR**. Uneasy over the dealing in Greece of Philip's successor Perseus, and encouraged by Pergamum, Rome declared war. After several unsuccessful campaigns, the Romans placed L. Aemilius Paullus in command.

8

### 168

**Battle of Pydna.** Paullus defeated Perseus and brought him back to Rome in a triumphal procession. So great was the booty and tribute that Roman citizens were thereafter relieved of direct taxation. Macedonia was broken up into four wholly distinct confederacies. Illyria was reduced to three tributary confederacies, and Epirus was devastated. From the Achaean cities 1,000 of the chief citizens were taken as hostages and kept in Italy for 16 years. Rome likewise dictated to Eumenes of Pergamum, to Rhodes, and to Antiochus IV, who was prevented by the ambassador C. Popilius Laenas from making war on the Ptolemies of Egypt. <sup>9</sup>

## 154–133

A major rebellion broke out in Spain. The Celtiberians were brought to terms in 151; the Lusitanians, under Viriathus, fought on until 139. The city of Numantia was taken by **P. Cornelius Scipio Aemilianus** in 133. <sup>10</sup>

## 149

The tribune L. Calpurnius Piso enacted a *lex Calpurnia* which set up a permanent commission of senators to hear the suits of provincials to recover from governors money unjustly collected (*quaestio de rebus repetundis*). Decisions were motivated not by justice but by class selfishness. <sup>11</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### e. Domestic Strife

Foreign conquests engendered domestic changes and problems. Among them were: (1) the growth of large estates and slave labor in Italian agriculture; (2) the flight of citizen farmers from the land; (3) consequent shortages of military manpower, since military service was based on a property qualification that could no longer be met; (4) the danger of slave revolt; (5) increased aristocratic competition for high office, and the growing rift between the interests of senators and *equites*; (6) a swelling poor urban population; (7) and, behind it all, the desire of the Italian allied states to have Roman citizenship. During the 2nd century, these problems were manifested in various ways; they came to a head with the tribunate of Tiberius Gracchus in 133. <sup>1</sup>

#### 133

**Ti. Sempronius Gracchus** as plebeian tribune proposed an **agrarian law** that limited holding of public land to 500 *iugera* (312 acres) per person, with an additional 250 *iugera* for each son, thereby threatening the wealthy and certain Italian cities. The measure was vetoed by another tribune, but Tiberius had him deposed, and the bill passed. A commission of three began to confiscate land held in violation of the law and to **distribute lots** of 30 *iugera* to **landless Romans**. To finance his program, Tiberius proposed that Attalus's bequest of Pergamum be used, intruding on a senatorial prerogative in foreign affairs. Violating custom, Tiberius stood for a second tribunate. During the voting, Tiberius and 300 followers were murdered by conservative senators. <sup>2</sup>

#### 129

The kingdom of Pergamum was organized into the **province of Asia**. <sup>3</sup>

#### 123–122

The **Tribunates of C. Sempronius Gracchus**. Gaius Gracchus proposed a more extensive program aimed to win wider support against conservative opposition. He reaffirmed his brother's **agrarian law** and legislated for founding **colonies** at Tarentum, Capua, and Carthage. For the urban poor he passed a **grain bill** that subsidized prices. He transferred membership on **extortion juries** from senators to equestrians, giving the latter power over senatorial governors. He also won equestrian support by giving the right of collecting the **taxes of the province of Asia** to Roman *publicani*. He proposed that **Roman citizenship** be given to Latin communities and that Latin rights be given to the Italian allies. Conservative senators divided Gaius's support by playing to the plebeian unwillingness to share the citizenship. Gaius was defeated in his bid for a third tribunate.

4

## 121

When conservatives attempted to annul Gaius's colony bill, riots ensued. The senate passed the *senatus consultum ultimum*—**SCU**—which permitted the consuls to execute without trial any citizen deemed to be a danger to the Republic. Gaius and 3,000 of his supporters were then attacked and killed in the city. The Gracchan crisis caused a divide in subsequent Roman politics between **optimates**, conservatives who opposed the Gracchan approach, and **populares** who supported it.

5

## 125–118

Roman armies campaigned in Transalpine Gaul in 125–124. The **province of Gallia Narbonensis** was created in 121(?), and the colony of **Narbo** founded in 118.

6

## 111–105

The **Jugurthine War** resulted when the kingdom of Numidia was usurped by **Jugurtha**, who eventually had to fight Q. Caecilius Metellus (Numidicus). The latter won victories but failed to end the war.

7

## 107



**Gaius Marius**, a new man, while Metellus's legate and against senatorial opposition, won the consulship and the Jugurthine command. Refused funds for an army, Marius enlisted **volunteers** without the requisite **property qualification**. The Roman legion was reformed, the **cohort** replacing the **maniple** as the tactical unit. 8

## 107–105

Marius ended the Jugurthine War and triumphed in Rome. 9

## 105

German tribes—**Cimbri** and **Teutones**—had been defeating Roman armies in the north since 113. In 105 they wiped out two consular armies at Arausio (Orange). 10

## 104–100

**Marius** was elected consul for five consecutive years to combat the German threat. 11

## 102

Marius followed the Teutoni to **Aquae Sextiae** (*Aix en Provence*) and annihilated them. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

**f. War and Politics, to 70 B.C.E.**

**91–87**

**THE SOCIAL WAR** (War of the Allies). Italian allied states formed their own republic, <sup>1</sup>  
**Italia**, and declared war on Rome. Latin communities, together with Etruscans and  
Umbrians, remained loyal.

**90**

The *lex Iulia* extended **Roman citizenship to all Italians**, thus undermining Italian <sup>2</sup>  
solidarity. The new citizens, however, were enrolled in only eight tribes, severely  
limiting their voting power.

**89–88**

Roman victories effectively ended the war, though it dragged into 87. Before it was <sup>3</sup>  
over, 50,000 had died on each side and Italy was devastated.

**88–84**

**First Mithridatic War.** Taking advantage of the Social War and Greek hatred of Rome, <sup>4</sup>  
**Mithridates VI Eupator** of Pontus invaded Bithynia and the province of Asia. **L.**  
**Cornelius Sulla**, a successful optimate general in the Social War and consul in 88,  
received the command against Mithridates.

**88–82**

**CIVIL WAR** broke out in Rome when a *popularis* tribune, **P. Sulpicius Rufus**, passed laws distributing new Italian citizens through the 35 tribes and transferring the Mithridatic command to Marius. Sulla **marched his army on Rome**, killed his opponents (Sulpicius among them—Marius escaped), passed conservative laws, and then left to fight in the east as proconsul of 87. 5

### 87–84

The *popularis* consul of 87, **L. Cornelius Cinna**, went to war with his optimate colleague and captured Rome with the support of Marius, who then began slaughtering his optimate enemies. Cinna and Marius became consuls for 86, but Marius soon died. Cinna's attempts to negotiate with Sulla were fruitless, and he died in a mutiny in 84. Meanwhile, Sulla had defeated Mithridates' generals in Greece (86–85) and driven Mithridates from Asia; then, eager to return to Italy, he made peace (85). Sulla demanded the enormous sum of 20,000 talents from the cities of Asia. 6

### 83–81

The **Second Mithridatic War** resulted from a Roman invasion of Cappadocia. Peace was made on the terms of 84. 7

### 83–82

Sulla landed at Brundisium, attracting talented young commanders—**M. Licinius Crassus** and **Cn. Pompeius** (Pompey). He routed his opponents in the field and in Rome “proscribed” his enemies by listing those whose lives and property were forfeited; over 2,000 died. Eighty thousand **Sullan veterans** were settled in 20 **military colonies** founded on confiscated Italian land. 8

### 82–79

Sulla was appointed **dictator for restoring the Republic**. He passed a legislative program that included: (1) increasing the senate from 300 to 600 by adding new equestrian members; (2) severely limiting the powers of plebeian tribunes and forbidding tribunes to hold further office; (3) regulating the provincial system by 9

increasing praetors to eight, quaestors to 20, and forbidding governors to lead armies outside their provinces; (4) establishing seven additional permanent courts, in which juries were exclusively senatorial. Sulla retired in 79 and died the following year. He had tried to ensure senatorial rule and optimate supremacy against the challenges of tribunes and generals like himself.

### 78–77

**M. Aemilius Lepidus**, consul of 78, sought to undo Sulla's reform. He raised an army but was defeated in 77 by his optimate colleague, Q. Lutatius Catulus, and Pompey. <sup>10</sup>

### 82–72

The Marian leader **Q. Sertorius** held optimate generals at bay in Spain. Pompey arrived in 77, but was not victorious until Sertorius's assassination in 72. <sup>11</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Civil War and Renewal, 70 B.C.E.–14 C.E.**

#### **a. Economy, Society, and Culture**

In 70 B.C.E., Rome's empire comprised most of the lands bounding the Mediterranean. By 14 B.C.E., it had been extended to include, in the west, large areas of **continental Europe** (France, the low countries, and the lands bordering the Rhine and Danube Rivers), and, in the east, substantial parts of **Anatolia**, plus **Syria**, **Judaea**, and **Egypt**. Although the **economy** continued to be characterized by **small-scale industry**, and by **agriculture and trade** that were predominantly **local**, a substantial **Mediterranean-wide commerce** was conducted between cities united by river and maritime communications, a common material culture, and a common coinage. The potential benefits were hampered by the frequently rapacious treatment of provincial resources, by piracy, and, above all, by war. Some 200,000 Italian men were killed in the wars of 90–81; those of 49–31 claimed perhaps another 100,000. Italian agriculture was devastated by pillaging and the large-scale reallocation of land. The result was debt, lawlessness, social unrest, and economic disarray. During all this time the provincial economies were being ruthlessly exploited by Roman armies. The great achievement of the **emperor Augustus** was to end war within the Empire. <sup>1</sup>

The growing complexity of economic life made the traditional system of Roman **civil law** untenable. By recognizing the praetor's *formulae*, the *lex Aebutia* (c. 150?) officially liberated the *ius civile* from the constraints of the highly formalistic and narrow rules of the legal procedure called the *legis actio* system, which had been established in the Twelve Tables. Under the new **formulary system**, the praetor “interpreted” as actionable circumstances not strictly covered by the traditional “actions,” thereby greatly extending the protection of the law. The **praetor's edict** defined what *formulae* would be employed. These edicts were passed on to succeeding praetors, creating a body of “praetorian” law, which became the chief authority for civil law. The edicts, and the innovative interpretations they embodied, were not, however, the work of the praetors themselves, but of legal scholars (*jurisconsults*) who advised the praetors. **Criminal law** evolved from the Twelve Tables' regulation of private vengeance to a more active concern for public safety and order. Criminal actions were initiated by either magistrates or private <sup>2</sup>

citizens, and trials traditionally were conducted before one of the popular assemblies. Around 200, the senate entrusted certain cases to special courts, *quaestiones extraordinariae*, composed of senators and presided over by a consul or praetor. Sulla's legislation defined other types of crimes and established permanent courts to adjudicate them. Under Augustus, these permanent courts continued, but emphasis began to shift to a more expedient procedure, the *cognitio extraordinaria*, wherein a magistrate appointed by the emperor, the *praefectus urbi*, conducted trials and rendered decisions without the aid of a jury.

The late Republic was a time of great **social upheaval. Slaves continued to flood into Italy**. The slave population of Italy in 14 C.E. has been estimated at around 3 million out of a free population of about 7,500,000. Hundreds of thousands of Italian peasants were conscripted into armies to wage civil wars. For those who survived, land had to be found, and the resultant confiscations produced great numbers of dispossessed, many of whom immigrated to Rome where living conditions were worsening. Debt and violence brought about social discontent in both city and countryside, which led to the call for revolution by such men as Catiline. The **composition** of the governing **aristocracy changed**. A generation after receiving the Roman citizenship, Italian aristocrats began entering the Roman senate in numbers. The process was accelerated by civil wars, which killed off many of the old Roman nobility and provided opportunity for advancement to the capable and unscrupulous. Competition for office led aristocrats to finance ever more **spectacular public entertainment**—dramas, mimes, public banquets, and gladiatorial contests. Augustus's attempts to curb public aristocratic display were successful, but his programs to put an end to private *luxuria* failed utterly. By the late Republic, women had acquired the ability to divorce independently and to force the consent of a male guardian (tutor). Augustus **curbed the relaxing of traditional restrictions on upper-class women but released women from guardians if they had three children (four for freed women)**. The numbers and influence of freedmen grew significantly; some of them gained great wealth and considerable indirect power. The primary avenue of social mobility for the Roman citizens remained the army, the vast majority of whose members came from the peasantry.

If the 1st century B.C.E. was a period of political turmoil, it was also a time of extraordinary **cultural activity**. Elite education included pursuing advanced studies in the Greek east. **Latin literature** entered its golden age. **Cicero's** (106–43) works in oratory and philosophy transformed the language. **Julius Caesar's** (100–44) masterly **commentaries** on the Gallic and Civil wars combined rapid narrative with political propaganda. **C. Sallustius Crispus** (Sallust, c. 86–c. 35) wrote two classic historical monographs—the *Catilinarian Conspiracy* and the *Jugurthine War*, as well as a major history (lost). Latin biography was composed by **Cornelius Nepos** (c. 99–c. 24), while the polymath **M. Terentius Varro** (116–27) wrote on a wide variety of subjects, including etymology, antiquities, farming, and satire; most of his work is lost. Latin poetry displayed tremendous vigor and range. **T. Lucretius Carus** (c. 94–55) penned an

epic, *De Rerum Natura* (On the Nature of Things), elucidating the philosophical doctrines of Epicurus, while **C. Valerius Catullus** (87–54?) used Alexandrian models to produce an elegant and personal poetry. The vigor of late republican Latin carried over into the Age of Augustus, where it was harnessed by the patronage of the imperial court, most effectively by **C. Maecenas**, friend and adviser of Augustus. **P. Vergilius Maro** (Vergil, 70–19) wrote the pastoral *Eclogues*, then the didactic poem, *Georgics*, and finally Rome's national epic, the *Aeneid*. **Q. Horatius Flaccus** (Horace, 65–8) mastered a wide range of genres (satire, ode, and epode), while the composition of Catullan love elegies was continued by **Sextus Propertius** (c. 50–15) and **Albius Tibullus** (c. 55–19). **P. Ovidius Naso** (Ovid, 43 B.C.E.–17 C.E.) wrote elegies and a distinctively light didactic and epic poetry. **T. Livius** (Livy, 64 B.C.E.–12 C.E.) capped the annalistic tradition by writing a monumental history of Rome from its origin. In **public architecture** military dynasts of the late Republic drove less wealthy aristocrats from the field of competition and transformed the political centers of the Republic to reflect their glory. Julius Caesar and then Augustus recast the **Roman Forum** with the new Curia Iulia, the Basilica Iulia, the temple of Divus Iulius, the Portico of Gaius and Lucius, and the triumphal arches of Augustus. In addition, Caesar and Augustus built completely new fora—the Forum Iulium and the Forum of Augustus—dedicated to their personal achievements. Rome's other political center, the **Campus Martius**, was altered, first by Pompey with the erection of Rome's first stone theater in 55, then by Caesar who remodeled the *Saepta* (voting stalls). In the late Republic, works of **Greek art** continued to accumulate in Rome and Italy as a result of being brought there as war booty and of being purchased or stolen to satisfy the elite obsession with “collecting.” Old masterworks were joined with copies of Greek originals to decorate private villas. Meanwhile, in public art, Roman military leaders increasingly disregarded traditional republican constraints and were portrayed in the manner of Hellenistic kings—as nudes or in equestrian statues. In wall painting the **Second Style** (60–20) created the illusion of depth, both in architectural features and in framed tableaux using theatrical and other decorative conventions from Hellenistic art. The Augustan court created a center of patronage which affected architecture and art, no less than literature. A self-consciously new architectural style—**Roman Corinthian**—was introduced, which intentionally distanced itself from its Greek predecessors (Ionic and Doric). Augustus and Agrippa changed the Campus Martius from a voting center into an area for public amenities and entertainment by building theaters, an amphitheater, a public bath, temples, and museums. The Augustan program of rebuilding and renewal made greater use of travertine and introduced Italian Carrara marble. In sculpture, official portrait types moved away from the realism of the Republic to **ideal types** (the Prima Porta Augustus). In private art, the extravagance of developed Second Style wall painting was succeeded by the **Third Style** (20 B.C.E.–20 C.E.), which abandoned the illusion of depth and emphasized the solidity of the wall. Architectural decoration in this style was intricate and fanciful rather than grand.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## b. Military Dynasts and Civil Wars

The years 70 to 31 witnessed the **collapse of the Roman Republic** and its replacement by military dictatorships. After Sulla, the inability of the senatorial oligarchy to find generals led to the creation of extended **special commands**, and to the **new imperialism** of Lucullus, Pompey, and Caesar. 1

### 102–67

The menace of **Mediterranean piracy** had prompted sporadic Roman responses with commands in 102, 78, 74, and 68. In 67 the *lex Gabinia* conferred an **extraordinary three-year command on Pompey**. In three months Pompey cleared the sea of pirates and pacified their homeland of Cilicia. 2

### 74–64

**The Third Mithridatic War.** Mithridates' opposition to the Roman annexation of Bithynia led him to attack the Roman province of Asia. The consul of 74, **L. Licinius Lucullus**, drove Mithridates out of Asia and Bithynia, and in 73 he invaded Pontus without permission of the senate. In 69 Lucullus, again on his own initiative, invaded Armenia and defeated Tigranes I, the son-in-law of Mithridates, who had been expanding into Cappadocia, Cilicia, Phoenicia, and Syria. But Lucullus's armies mutinied in 68 and 67, he failed to capture Mithridates, and he had antagonized the *publicani* by reducing the debt of Asian cities. 3

### 66–63

The *lex Manilia*, spoken for by Cicero, transferred **command of the Mithridatic War to** 4

**Pompey.** Pompey defeated Mithridates, then Tigranes, pursuing the former to the Crimea where he committed suicide in 63. Pompey proceeded to march through the former Seleucid domains and **reorganize the east** (65–63), with Roman provinces in Asia, Cilicia, Bithynia-Pontus, and Syria, and with client kingdoms in Pontus, Cappadocia, Galatia, Lycia, and Judaea (See [63](#)). His settlement vastly **increased** both the **revenues of the Roman state** (from 50 million to 135 million denarii) and his own **personal wealth**.

## 64–63

**Conspiracy of Catiline.** The oppressed and discontented classes at Rome—debtors, veterans, ruined nobles, and those proscribed by Sulla—found a leader in the aristocrat **L. Sergius Catilina**, who proposed a program of debt cancellation (*novae tabulae*). Disgruntled over setbacks and defeats in the consular elections of 66 and 64, Catilina turned to armed revolt. As consul in 63, Cicero uncovered the conspiracy and in a series of speeches (**the Catilinarians**) convinced the senate to pass the **SCU**. Catilina's associates were arrested and executed without trial. Catilina himself died bravely in battle.

5

## 62–61

Pompey returned to Italy, disbanded his army, and triumphed. But the optimate senate, led by **M. Porcius Cato**, refused to ratify his eastern settlement and blocked a land bill for his veterans.

6

## 60

**The First Triumvirate.** The frustrated military hero **Pompey** then formed a political alliance with **M. Licinius Crassus**, who had the support of the *publicani*, and the patrician **C. Julius Caesar**, a *popularis* politician and favorite of the people.

7

## 59

**Caesar, as consul**, employed Pompey's veterans to overcome violently optimate opposition. He passed a land bill and ratification of his eastern settlement for Pompey, had an unfavorable tax contract remitted for Crassus's *publicani*, and secured for

8

himself, by the *lex Vatinia*, the provinces of Cisalpine Gaul and Illyricum for five years. Later the province of Gallia Narbonensis was added.

## 58–51

**THE CONQUEST OF GAUL.** Using Narbonensis as a base, Caesar subjugated Gaul in a series of annual campaigns. In 55 he invaded Britain (See 55 B.C.E.–c. 450 C.E) but soon withdrew; in 54 he made a demonstration across the Rhine. **Vercingetorix** led a serious national revolt in 52 but was defeated by Caesar, who suppressed the rebellion by 51. With his Gallic victories, Caesar equaled or surpassed the military reputation and personal wealth of Pompey. <sup>9</sup>

## 58–57

In Rome the tribune **P. Clodius** pursued a *popularis* program (e.g., free grain), thwarting optimate opposition with gangs of thugs organized under the guise of legitimate *collegia* (clubs). His opponents retaliated by having the optimate tribune T. Annius Milo organize his own band of thugs. In 57 a shortage of grain prompted the senate to grant a **special command to Pompey** for supervision of the grain supply—*cura annonae*. <sup>10</sup>

## 56

Worried by growing dissension between Pompey and Crassus, Caesar called for a meeting at **Luca** on the southern border of Cisalpine Gaul, where reconciliation and future plans were arranged between the three. <sup>11</sup>

## 55

Pursuant to the arrangement, **Pompey and Crassus were consuls** and carried the following measures by force. Caesar's command was extended for another five years, and Crassus and Pompey were given matching **five-year proconsular commands**—Crassus in Syria, Pompey in the two Spanish provinces. Crassus departed for his province, while Pompey, contrary to custom, remained near Rome and governed Spain through *legati*. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Augustus and the Principate](#)



#### [THE ROMAN EMPIRE UNDER AUGUSTUS \(MAP\)](#)

The Roman Republic had fallen, a victim of its own success. The post-Sullan nobility had proved incapable of governing a Mediterranean empire, while some, such as Caesar, succumbed to the temptation of personal power. In addition, the **enfranchisement of millions of Italians** had overwhelmed a political system designed for a citizen body of about 300,000. Finally, the **development of a professional army** necessary for an overseas empire had presented the new problem of who was going to pay for it. Because the governing classes had been unwilling to foot the bill, the loyalty of landless soldiers had shifted from the government to generals who promised land after service. The force that used soldiers to acquire that land helped to bring the Republic down. Augustus solved these problems by effectively **putting an end to free elections and aristocratic competition; by opening up the government to equestrians and Italians; by continuing the policy, initiated by Caesar, of extending the Roman citizenship beyond Italy to the provinces; and by securing the loyalty of the armies by taxing the upper classes** and using the proceeds to finance a regular program of payment for veterans. <sup>1</sup>

### 30–29

On returning from Egypt, Octavian's first task was to control the military. He reduced the legions from about 60 to 29, and between the years 30 and 29 settled some 57,000 veterans in colonies. He eventually established a system of **28 legions** (about 150,000 men), wherein legionaries received regular pay and retired after 20 years with land or a monetary bonus. Complementing this was an equal number of noncitizen **auxiliary soldiers** who, after 25 years, received Roman citizenship on retirement. <sup>2</sup>

## 27

The Senate bestowed on Octavian the title **Augustus**, chosen by himself. Augustus then gave up all extraordinary powers, ostensibly **restoring the Republic** by returning it to the “senate and people.” But he was careful to retain exclusive control of the army by **dividing the provinces between the senate and himself**. “Senatorial provinces” were those that required few troops and were governed by regular senatorial proconsuls serving for one year. Augustus retained for himself as “imperial provinces” all those provinces where large armies were stationed. These he governed by carefully chosen legates—*legati Augusti pro praetore*—who tended to have longer terms of office. All provincial governors were salaried. Augustus also excluded independently minded senators from power by employing **equestrians** in military positions and administrators—prefects or procurators. The most important of these equestrian positions were the *praefectus annonae*, who was in charge of Rome's grain supply; the *praefectus vigilum*, who oversaw the city's fire brigade; the *praefectus Aegypti*, who governed Egypt as Augustus's private holding; and the *praefectus praetorio*, who controlled the **praetorian guard**—nine cohorts scattered over Italy. Augustus's vast private wealth was organized into an imperial treasury—the *fiscus*—distinct from the senatorial treasure—the *aerarium*. 3

## 23

From 31, Augustus had held the consulship every year; then in 23 Augustus resigned the consulship and arranged a **new settlement** whereby he received *tribunicia potestas*—the power of a tribune—giving him the authority to initiate and veto legislation and convene the senate. He and all subsequent emperors would number their reigns by tribunician years. He retained control of the military by a grant of **imperium maius**, a “command greater” than that of other magistrates. To control elections, Augustus exercised the right to nominate and commend candidates of his choice. Thus, without holding office, and merely as first man (*princeps*), Augustus controlled the Roman state. 4

## 20

A **diplomatic settlement** of Rome's eastern frontier was struck with **Parthia**, whereby Rome recovered the standards lost by Crassus and Antony, while a compromise candidate governed Armenia, the strategic high road between Parthia and Roman Syria. Augustus otherwise followed a policy of **military expansion**. 5

## 19

Agrippa subdued **northwest Spain**. Gaul had been organized into three provinces, and beginning in 12, Roman armies extended Roman territory **across the Rhine** (abandoned after a disaster in 9 C.E.). Augustus's armies also fought along the **Danube**, creating four provinces: **Raetia** was formed by 16, **Noricum** in 16, **Pannonia** in 13, and **Moesia** by 6 C.E.

6

## 18

Augustus used his tribunician power to pass the *lex Iulia de maritandis ordinibus*, which regulated marriages between the various social orders, and the *lex Iulia de adulteriis coercendis* (18?), which made adultery a crime. This was the beginning of Augustus's **program of social improvement**, which he continued with legislation restricting the manumission of slaves—the *lex Fufia Caninia* of 2 C.E. and the *lex Aelia Sentia* of 4 C.E.—and a law, the *lex Papia Poppaea* (9 C.E.), to encourage marriages.

7

## 12

**Agrippa died** in Pannonia. Since 18 he had shared *tribunicia potestas* and since 21 had been married to Augustus's daughter, **Julia**, the union producing two sons, **Gaius** (b. 20) and **Lucius** (b. 17), whom Augustus adopted as his sons. In 11, Julia was married to **Tiberius Claudius Nero** (Tiberius), the son, along with **Nero Claudius Drusus** (Drusus), of **Livia** by her first husband.

8

## 12–9

Drusus led Roman armies **across the Rhine** to the Elbe, while Tiberius campaigned in Pannonia. Drusus died in 9 and was replaced by Tiberius, who campaigned in Germany until 7.

9

## 6

**Tiberius**, after receiving *tribunicia potestas* for five years, suddenly renounced public life and **retired to Rhodes**. 10

## 2 B.C.E.–4 C.E

Augustus's daughter, **Julia**, was banished for adultery in 2. In 2 C.E., Augustus's grandson Lucius died in Spain. In 4 C.E. his other grandson, Gaius, died in the east. Left with no heirs, **Augustus adopted his stepson, Tiberius**, who had returned to Rome in 2 C.E. 11

## 4–6

Tiberius campaigned in Germany, until he was called to suppress a serious **revolt in Pannonia** in 6. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **4. The Roman Empire, 14–284 C.E.**

### **a. Geography and Climate**

During this period Rome organized the provinces of Gallia Transalpina, Britannia, Raetia, Noricum, Pannonia, Moesia, Dacia, Mauretania, Cyrenaica, Egypt, Thrace, Syria, Judaea, Mesopotamia, Bithynia et Pontus, Galatia, Cilicia, and Lycia et Pamphylia. **The Roman world therefore encompassed an enormous area centering around the Mediterranean but extending, significantly in places, into continental Europe, Asia, and Africa.** It can be conveniently divided into several climatic and geographic zones. Provinces circling the Mediterranean enjoyed mild rainy winters and summers which were moderate on the northern coasts and warmer and drier on the southern. Agricultural productivity depended on exploiting the winter rains and working soil which, except for volcanic regions, was comparatively light. In lands such as Greece, where rocky soil is common, the typically Mediterranean combination of olive trees and grapevines predominated. These crops were combined with intensive cultivation of cereals in the more fertile areas of North Africa (modern Tunisia) and Sicily, and to a lesser degree in Italy, in the valleys of Anatolia, and southwestern Spain. The land of Egypt was uniquely fertile, since it depended not on rainfall, but on the regular flooding of the Nile. In most Mediterranean countries, however, rivers that were navigable year-round were uncommon; cities therefore tended to cluster along the coasts or in nearby valleys and plains. The climate of northern European provinces was characterized by seasons that were more extreme and by rainfall that was more evenly distributed than in Mediterranean countries. Agricultural development was impeded by various factors. The soil was fertile but heavy and consequently more difficult to work. In addition, a climate that was generally more humid resulted in wide belts of heavy forests, many of which were also swampy. Highlands made for excellent pasturage, while mountains were frequently rich in minerals of various kinds. Navigable rivers were the principal avenues of communication and trade, and it was on these that cities were founded. Few cities of the Roman Empire had populations of more than 20,000 persons. Larger ones, like Pergamum, reached 100,000, while a few, such as Alexandria and Antioch, approached 500,000. The city of Rome was unique in having about one million inhabitants. The population of the Roman Empire is estimated to have been between fifty and sixty million

persons in 14 C.E. The southern boundaries of the Roman world were **desert country**. Here irrigation extended agriculture and urban life into regions where pasturage and nomadic life prevailed.

The Romans had a clear idea of the **frontiers** (*limes*) of their empire and had armies to guard them. But these borders were very permeable, and the function of soldiers was as much to monitor the movements of persons and goods across the frontier as it was to defend them. The Roman world, in fact, extended beyond the borders of Roman provinces to trans-Danubian areas where overland commerce was constant, as well to the Indian Ocean, where long-distance, seasonal maritime trade was conducted. The true boundaries of the Roman world were not marked by frontiers. Roman civilization was urban, and it was delimited by deserts and mountains both outside and inside its imperial borders. 2

The ancient Roman view was of a spherical world, the inhabited region of which (the *oikoumene*) was surrounded by oceans, and this world centered around the Mediterranean. It was bordered on the west by the Atlantic Ocean and on the east by the mouth of the Ganges River. The southern extent of the African continent and the northern expanses of the land masses of Europe and Asia were vastly underestimated. 3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Economy, Society, and Culture

With the *Principate* came a long period of civic peace (*pax Romana*), which greatly benefited the **economy of the Roman Empire**. Older areas devastated by war, such as Italy and Asia, returned to their former prosperity, while recently conquered regions underwent population increases, urbanization, and intensified agricultural cultivation. **Increased agricultural productivity** was a response to the consumer needs of growing and newly founded cities and of the provincial armies, though in some respects Roman technology, as opposed to engineering, lagged behind eastern and southern Asia. The wheeled plow was introduced in Gaul, in order to till the heavier earth. Other innovations included an improved scythe and a mechanical reaper. From the 1st through the 3rd centuries, **the overall trend in the agrarian labor force was a change from slavery to tenancy**. How this occurred is very unclear, but it was certainly a long and slow process; slaves were still regularly employed in agriculture in the 2nd and 3rd centuries. The major source of slaves, foreign conquest, did slow down, but the wars of Claudius, Vespasian, and Trajan brought in large numbers of slaves, while other sources—the exposure of unwanted infants, as well as slave breeding—continued to provide slaves in substantial numbers. Few figures are available, but in the mid-2nd century slaves totaled 40,000, or one-third of the adult population of the Asian city of Pergamum. In Roman Egypt, the slave population was lower, making up less than one-tenth. **The proliferation of cities** was a major development of the imperial period. Most of the newly founded cities were in the western empire, especially in south and central Gaul, in the lowlands of Spain, and in the fertile valleys and coasts of North Africa. Many cities relied on local production for their food. When intensified cultivation made regions productive, however, their surpluses were sent to large cities which required imports. The grain of North Africa and Egypt surpassed that of Sicily as Rome's major source, while olive oil from Spain and wine from many regions were imported into the capital. Industry remained small-scale, but trade of the local, interprovincial, and extraprovincial types was very significant by a scale of preindustrial societies. Produce, large amounts of timber, metals, and textiles were carried primarily by a sophisticated system of water transport but also by much used overland routes.

The Roman government was committed to founding cities as centers of civic and judicial

1

2

administration, and of tax collecting. Archaeology testifies to the great number of cities that prospered during the high empire, although food shortages and financial and administrative difficulties were chronic problems which required outside assistance and which came increasingly from Rome. Cities were largely autonomous and governed by local elites, who resided in the cities and drew rents from their rural properties. Annual magistrates (*duoviri, archontes, strategoi, grammateis*) drawn from the body of municipal senators (*decuriones, bouleutai*) were responsible for maintaining law and order and ensuring municipal as well as imperial taxes. They also supported the cities' essential services and amenities through largess, giving their money and services in exchange for public recognition and status. Much of the space in a Roman city was taken up by public buildings and the large houses and gardens of the rich. For the nonelite, urban living conditions were crowded and, by modern standards, unsanitary, so life was lived outdoors during daylight hours. Most private dwellings were not connected to the public sewers, and few had running water. Although public baths were inexpensive and often sumptuous, they were also unhygienic, since the water was infrequently changed.

A major trend in the imperial period was the **extension of Roman citizenship**. Under Julius Caesar and the triumvirs, whole regions—Cisalpine Gaul, Sicily, along with Romanized provincial cities in the west—had received citizenship, while in more recently conquered areas, and in the Greek-speaking east, citizenship had been rewarded to prominent individuals. The establishment of Roman citizen colonies around the Empire, which had been greatly favored by Caesar and Augustus, slackened during the first century but was continued under Trajan and Hadrian. Citizenship status—either Roman or Latin—was granted to communities and whole regions. Latin status was granted to the Alpine provinces by Claudius and Nero, and to all of Spain by Vespasian. Roman citizenship was also extended by the auxiliary units of the army, where after 25 years of service noncitizen provincial soldiers received the citizenship for themselves and, until c. 140, their families. By the early 3rd century, every province of the Empire had large numbers of Roman citizens. In 212 the distinction between citizen and noncitizen was eliminated by the *constitutio Antoniniana*, which granted Roman citizenship to virtually all free male inhabitants of the Empire. As Roman citizenship became more common, its privileges diminished, and two legal statuses developed. One status included Roman citizens of the upper classes—senators, equestrians, and local magistrates, who were called *honestiores*. Everyone else, Roman citizen or not, fell into the class of *humiliores* and were subject to harsh punishments—crucifixion, burning, the arena, chained labor—which had previously been associated with servile punishments. Another function of the spread of Roman citizenship was the opening up of the equestrian order and, later, the senatorial order to **upper-class provincials**. The number of easterners in imperial equestrian service began to rise from about 100 C.E. In the Roman senate, old Roman noble families died out and were replaced by Italians. Wishing to exploit their wealth and energy, emperors then began to appoint wealthy provincials to the senate. Finally, emperors were chosen from provincial families. Trajan and Hadrian were descendants of

old families of Roman settlers in Spain; Septimius Severus came from North Africa. The upwardly mobile freedman class was of great importance to the urban society and economy of the Empire. Beginning with Augustus, the energies and wealth of freedmen were officially recognized and channeled into government service. In Rome, freedmen became ward leaders (*magistri vici*), while in the municipalities of Italy and the west, they served the imperial cult as honorary officials (*seviri Augustales*). Women remained subordinate. Their legal status changed little, but a **significant reform came when Claudius abolished guardianship** (*tutela*) for adult women of free birth. And for a time, starting with Augustus, the husband lost the right to kill an adulterous wife. In the upper classes women received a literary education. Outside of the elite, many worked—most as fieldworkers, with others in a wide variety of urban occupations. Almost all women married. In the upper classes, women on average had their first child at 15. Family size was limited through infanticide, by exposure to the elements; by effective, if dangerous, forms of artificial birth control; and by equally dangerous abortions. Life expectancy for males at birth was between 20 and 30 years.

**In law** the formulary system was replaced by juristic interpretation and various forms of imperial intervention. After the praetor's edict was codified under Hadrian, the pronouncements of the emperor (*constitutiones principis*), in the form of edicts, decrees, and rescripts, became the principal source of law. By the 2nd century C.E. **the culture of the upper classes of the Roman Empire had become truly Greco-Roman**. The ruling classes of Greek cities learned Latin in order to participate in the Roman imperial government, while in Rome and Italy, the upper classes had been Hellenized since the late Republic. Roman elite education was centered on rhetoric and included the study of both Greek and Latin literature. Romans also took up the various schools of Greek philosophy—Platonism, Epicureanism, and Stoicism—the latter becoming dominant during the imperial period and counting among its chief exponents the senator **Seneca** (c. 1–65), the slave **Epictetus** (c. 55–c. 135), and the emperor **Marcus Aurelius** (122–180). A **moderate rise in literacy** is indicated by, among other things, the great increase in inscriptions, the production of Greek papyrus texts, and the expansion of the Roman Empire into less advanced areas. While Greek and Latin became international languages, vernacular languages continued to be spoken by many populations in many parts of the Empire.

**Latin literature entered its so-called Silver Age**, characterized by its penchant for rhetoric. The Roman satirical tradition was continued by **A. Persius Flaccus** (34–62) and mastered by **D. Iunius Iuvenalis** (Juvenal, c. 55–138). Prose satire was cultivated in the picaresque novel *Satyricon* by **Petronius Arbiter** (d. 66), probably Nero's friend. Under Tiberius, **Valerius Maximus** composed *Facta et dicta memorabilia*, nine books of historical examples of virtues and vices. Spain was home to a noted literary family which flourished in Rome. **Lucius Annaeus Seneca**, the rhetorician (c. 55 B.C.E.–c. 40 C.E.), wrote *declamationes* (set speeches). His son, **L. Annaeus Seneca** (c. 1–65), wrote **Stoic philosophical treatises** as well as tragedies; this man's nephew, **M. Annaeus Lucanus**

(Lucan, 39–65), composed the historical epic *Pharsalia*. **M. Valerius Martialis** (Martial, c. 40–104) of Spain wrote satirical epigrams in Rome, as did the noted teacher of rhetoric and author of *Institutio Oratoria*, **M. Fabius Quintilianus** (c. 35–c. 100). The provinces were also the birthplace of the historian **Cornelius Tacitus** (c. 56–118?), author of *Dialogus de oratoribus*, the biography *Agricola*, the ethnological *Germania* and his historical works, the *Historiae* and *Annales*. In science, **Galen** of Pergamum (c. 130–200) furthered the Greek scientific tradition with prolific writings on medicine. **Ptolemy** (c. 85–165) wrote on astronomy, furthering the Hellenistic belief in an Earth-centered universe. **C. Plinius Caecilius Secundus** (Pliny, c. 61–c. 113) was a noted political and literary figure, who composed elegant *Epistulae*; his prolific uncle, **C. Plinius Secundus** (c. 23–79) wrote, among other works, the encyclopedic but uncritical *Historia Naturalis*. Another prolific author was **C. Suetonius Tranquillus** (c. 69–121?), whose biographies, *De Vita Caesarum*, extended from Caesar through Domitian. Under Hadrian and the Antonines began a revival of interest in pre-Ciceronian Latin, and a school of florid Latin writers emerged. Its exponents were the orator and writer **M. Cornelius Fronto** (c. 100–c. 166), whose correspondence with his student Marcus Aurelius survives, and the author of *Metamorphoses*, **L. Apuleius** (c. 124–170?), both from North Africa. **Aulus Gellius** (c. 130–c. 180) wrote the literary miscellany, *Noctes Atticae* (*Attic nights*), and the emperor **Marcus Aurelius** penned his stoical *Meditations* in Greek.

In early imperial architecture, concrete vaulting was increasingly exploited to create novel spatial effects (the *Domus Aurea*). **Brick** became the preferred facing material for concrete construction during Tiberius's reign. By the Flavian period, a new type of vaulting (the groin vault) was introduced (the Colosseum). In the 2nd century, the old canons were being rethought to create a new sumptuousness. Novelties included the broken pediment (first seen in Trajanic Rome) and the aedicular facades (the library of Celsus at Ephesus). In the **city of Rome**, architectural sophistication and daring reached its zenith under Hadrian in the 150-foot-wide concrete dome of the **Pantheon** and the large and radical Temple of Venus and Roma, whose top-heavy proportions evoked older temple types and marked a deliberate break with the Augustan Corinthian canon. Afterwards, creative experimentation in architecture increasingly shifted from the capital to the provinces (e.g., Leptis Magna in North Africa, Baalbek in Syria, and Ephesus in Asia Minor). In Roman state art, historical relief came into prominence. In Augustan reliefs the emperor had been consistently portrayed as first among equals in a realistic context (*Ara Pacis*), but in the course of the 1st century new conventions (such as the juxtaposition of real and allegorical figures, divinizing attributes, and apotheosis) made their way into the representations of rulers in state art (e.g., the Flavian Arch of Titus and Cancellaria reliefs). In the early 2nd century, emperors began to be portrayed showing imperial virtues in increasingly varied and elaborate, but essentially realistic, contexts in both peace and war. In portrait sculpture the realistic-looking portraiture of the late Republic continued to be employed. Imperial portraits of the Julio-Claudian dynasty adapted various ages and physiognomies to the ageless Augustan model. Under the

Flavians a literal element was introduced into imperial portraiture. Portraits of Hadrian broke from tradition by showing the emperor wearing a beard, which reflected military fashion, philosophical phil-Hellenism, or both. A trend was introduced in the 3rd century by Caracalla, whose portrait types sported the close-cropped hair and beard, and became the canonical style of the 3rd-century soldier emperors. In **Roman painting**, the **Fourth Style**, introduced about 62, combined Third Style panel painting motifs with Second Style representations of architecture in depth.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### c. The Julio-Claudians



#### JULIAN-CLAUDIAN HOUSE

#### 14–37

**TIBERIUS Claudius Nero** (b. 42 B.C.E.) became emperor, when the senate conferred on <sup>1</sup> him the powers and titles of Augustus. He transferred the elections from the assemblies to the senate. Already the passage of laws in the assemblies had become a formality.

#### 14–16

The **revolt of the Pannonian legions** was suppressed by Tiberius's son, the younger <sup>2</sup> Drusus. The son of Tiberius's brother Drusus, who is known by his father's title, **Germanicus**, and whom Augustus had forced Tiberius to adopt as a possible successor, suppressed the German mutiny and campaigned in Germany with some successes. He defeated Arminius, and recovered the eagles of Varus's legions. He was, however, recalled, probably not because Tiberius begrudged his victories, but because he found them too costly.

#### 17

On the death of their kings, Cappadocia and Commagene became a province. <sup>3</sup>

#### 17–19



**Germanicus**, sent to install a king in Armenia, conducted himself in a high-handed manner both in Syria and in Egypt. When he died in Syria, however, the enemies of Tiberius rallied about his wife Agrippina.

4

## 21

**A revolt against Rome broke out in Gaul** among the Treveri, led by Julius Florus, and the Aedui, led by Julius Sacrovir. Although suppressed, it showed that anti-Roman feeling was still strong in Gaul.

5

## 23–31

Tiberius fell increasingly under the influence of the ambitious equestrian prefect of the guard **L. Aelius Sejanus** who quartered the praetorian cohorts in one camp in Rome. He encouraged the gathering of information against those hostile to Tiberius by informers (*delatores*) and the prosecution of the accused under the law of treason (*lex de maiestate imminuta*). When such trials involved senators or important equestrians, they were heard by the senate, which came increasingly to act as a court under the presidency of the emperor or the consuls. In 23, Sejanus probably poisoned Tiberius's son Drusus, in order to plot his own succession.

6

## 26

Tiberius retired from an increasingly hostile Rome and eventually settled on **Capreae** (Capri).

7

## 29

**Livia**, accused of attempting to dominate the Empire after Augustus's death, died. Sejanus secured the exile of **Agrippina**, wife of Germanicus (she died in 33), and the arrest of his two eldest sons, Nero (d. 31) and a third Drusus (d. 33).

8

## 31

The plots of Sejanus finally came to the notice of Tiberius, who engineered his arrest and execution. Tiberius remained in seclusion in Capreae. 9

### 36

**Artabanus, king of Parthia**, made peace with Rome. 10

### 37

**Tiberius**, dying at Misenum (Mar. 16), indicated as his successors his young grandson, **Tiberius Gemellus**, and the twenty-four-year-old surviving son of Germanicus, **Gaius Caesar**, nicknamed *Caligula* (“Bootsy”). Gaius soon put Gemellus to death. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### d. [Early Christianity](#)

By the 1st century B.C.E., **JUDAISM** had been diffused in the Roman Empire, with **Jews** residing mainly in Palestine and in the cities of the east. Palestine itself, however, was by no means wholly Jewish; it had a substantial population of non-Jewish Semites as well as Greeks. The area was consequently home to an amalgam of beliefs, and to religious contention. The god of the Jews was Yahweh; his worship was centered around the cult of his temple in Jerusalem, which was run by a hereditary high priesthood, and around his law, which was preserved in Hebrew scriptures. By the 1st century, however, observant Jews were divided into three principal sects, each of which regarded the others as ritually unclean: upper-class **Saducees**, who were devoted to ritual sacrifice at the temple; **Pharisees**, whose worship was organized around the synagogue and the rabbi, rather than the temple and the priesthood; and a number of ascetic sects, the most important being the **Essenes**, whose strict observance of the law led them to live in isolated monastic communities. The kingdom of Judaea was annexed by Rome in 6 C.E. and placed under a procurator; the other areas of Palestine—Galilee, Samaria, Peraea, Idumaea, and Batanaea—were ruled intermittently by vassals (the descendants of **Herod the Great**, king of Judaea 37–4 B.C.E.); all of Palestine became a Roman province in 44 C.E. But foreign rule engendered the belief in a national liberator called the **Messiah**, who would restore political freedom; in some versions the liberation would be accompanied by an apocalyptic reckoning. **CHRISTIANITY** originated as a Jewish sect. Its founder, **JESUS**, was a Jew born in Palestine, somewhere within eight or ten years of 1 C.E.; he grew up in Galilee. When he was about 30, he was baptized by John the Baptist. He then formed his own group and began his public career as a teacher and miracle man, practicing principally in Galilee. Jesus's historical teachings are obscure, but included some form of freedom from the Jewish law, the promise of salvation after death, immediate salvation for the chosen, and the claim that he was the son of the Jewish god. On visiting Jerusalem, Jesus gained notoriety by attacking the temple priesthood. He was arrested, then tried and convicted, probably for sedition, by the Roman prefect Pontius Pilate (26–36 C.E.), and was crucified. After his death, his followers began to preach in Jerusalem that Jesus had been resurrected and that he was the Messiah (Christ). The early Christian community comprised poor Jews and Greeks and was led by **Peter**, who

seemed to have espoused a doctrine of freedom from Jewish law, which quickly led to violent reactions by observant Jews. **Paul of Tarsus**, a devoted Pharisee, at first persecuted Christians but was later converted. Against the opposition of some Christian leaders, Paul went on missions (48–51 and 52–55) to convert non-Jews, founding Christian communities in Asia Minor and Greece. Paul's brand of Christianity taught freedom from Jewish law for gentiles and salvation with baptism. In Jerusalem, persecution of Christians ended when leadership passed from Peter to James, the brother of Jesus, who was a strict observer of the Jewish law and on good terms with the Pharisees. But James was executed by the Saducees in 62; after the destruction of the temple by the Romans in 70, a reconstituted Pharisee leadership excluded Christians from their worship. The center of Christianity then passed from Jewish Jerusalem to gentile Christian communities around the Empire.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [The High Empire](#)

### 1. Civil War and a New Settlement

#### 68–69

Servius Sulpicius **GALBA** (b. 5 or 3 B.C.E.). The senate's acquiescence to the army's proclamation of Galba as emperor in 68 had exposed what Tacitus called the great secret of the empire—“that emperors could be made elsewhere than at Rome.” The power of the praetorian guard in choosing an emperor had already been demonstrated. In 69, **the year of the emperors** (Galba, Otho, Vitellius, and Vespasian), the provincial armies asserted their powers in a civil war, which ended with the victory of Vespasian, and the establishment of the **Flavian dynasty**. 1

#### 69, Jan. 1

The eight legions on the **Rhine** refused allegiance to Galba, and on Jan. 3 the four in lower Germany saluted as emperor their legate **Aulus Vitellius** (b. 15). He was also accepted by the four legions of upper Germany. Galba had reached Rome, where he adopted as his successor the aristocrat L. Piso Licinianus. 2

Thereupon, **M. Salvius Otho** (b. 32), the friend of Nero, secured the support of the praetorians and had Galba and Piso murdered (Jan. 15). The helpless senate then recognized him. 3

Meanwhile, the troops of Vitellius approached Italy in two divisions under Valens and Caecina. They met in the plain of the Po Valley and defeated the forces of Otho (Apr. 19) in the **First Battle of Bedriacum** (near Cremona), whereupon **Otho**, to avert further bloodshed, committed suicide. The senate immediately recognized Vitellius, who presently reached Rome himself. 4

In the meantime (July 1) the prefect of Egypt, Tiberius Julius Alexander, proclaimed as emperor **Vespasian**, legate in Judaea. Mucianus, legate of Syria, lent his support. Antonius Primus, commander of the seventh legion in Pannonia, rallied all the Danubian 5

legions to Vespasian and moved rapidly into northern Italy. There he defeated the forces of Vitellius in the **Second Battle of Bedriacum** and sacked Cremona (late Oct.). When Antonius approached Rome, Vespasian's brother seized the Capitol, which was burnt in the ensuing struggle. The Vitellians fought bitterly in the city streets, but Vitellius was finally slain (Dec. 20). The senate immediately recognized Vespasian. After his proclamation as emperor, Vespasian left his son, **Titus**, to complete the siege of Jerusalem. In 70 Titus sacked the city, destroyed the temple, and installed a garrison. He celebrated a triumph in 71, which is commemorated on the Arch of Titus in Rome.

## 69–79

**Titus Flavius VESPASIANUS** (b. 9) was the son of a tax collector from the Italian municipality of Reate. The Augustan system had survived the idiosyncrasies of its rulers because the administration of the Empire had been separated from the politics of the palace and senate at Rome. But the civil war of 69 had shown the need to control the Empire and its armies more closely, and so the extravagance and self-indulgence of the Julio-Claudians were replaced by the hands-on work ethic of the Flavians. Vespasian oversaw a careful and frugal administration of the Empire, in which the frontiers and finances were reorganized and the armies and upper classes monitored. Respectful to the senate, Vespasian nevertheless insisted on establishing dynastic succession, and he and his son Titus were consular colleagues in every year of his reign except 73 and 78. To reorganize the senate, Vespasian felt compelled to revive the censorship with Titus in 73, instead of tacitly assuming the right of enrollment (*adlectio*) exercised by his predecessors. In 74 he granted Latin rights to all of Spain.

6

## 69–71

The revolt of some Batavian auxiliaries under their native commander, Julius Civilis, won the support of some of the legions of Germany. This inflamed the Gallic Treveri under Julius Classicus and Julius Tutor and the Lingones under Julius Sabinus. Petillius Cerealis crushed the revolt piecemeal. Thereafter auxiliaries were not employed in the country of their origin, and the corps soon came to be composed of recruits of different nationalities. By this time the praetorian guards alone were recruited in Italy; the legions drew from Roman settlers in the provinces or Romanized provincials, to whom citizenship was often granted to secure their enlistment. Thus the army had become less Italian, more provincial.

7

## 70–75

Vespasian consolidated the eastern frontier against Armenia and Parthia.

8

## 71

Titus, though a senator, was made praetorian prefect, a post hitherto equestrian. He also received both proconsular imperium and tribunician power. He ruthlessly suppressed senatorial opposition to his father.

9

## 71–84

**Further Conquest in Britain.** Under the Flavian commander Petillius Cerealis (71–74), Sextus Iulius Frontinus (74–78), and Cn. Julius Agricola (78–84), Roman conquest advanced into Wales and Scotland (See [78–142](#)).

10

## 73–74

Vespasian began the conquest of the territory east of the upper Rhine and south of the Main, the later *agri decumates* (or *decumathes*; the meaning is uncertain). He furthermore reorganized the defenses of the upper and lower Danube.

11

## 73

At about this time Vespasian banished Helvidius Priscus, son-in-law of Thrasea and his successor as leader of the Stoic opposition to the Empire. He also banished the professors of philosophy, perhaps because their doctrines encouraged disloyalty.

12

## 79–81

**TITUS Flavius Vespasianus**, who was co-ruler with his father, succeeded on the death of Vespasian (June 23). His hostility toward the senate ceased, and he won popularity by his largess.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **f. [The Third Century](#)**

### **1. Civil War and the Severans**

Augustus had created a system whereby a large empire was defended by a limited use of force, and at a relatively small cost to the upper classes. **Soldiers, numbering about 300,000, were disposed judiciously along the frontiers and were moved to meet changing threats.** A second element in the defense of the frontiers was **client states**—peoples living just outside the Empire whom the Romans controlled through diplomacy and money. These states helped protect the borders and provided soldiers for units of the Roman army. It was the movements of peoples from northern and eastern Europe beginning in the latter 2nd century which upset the balance. The **Marcomannic War**, which was a revolt of the client peoples along the Rhine and Danube, signaled the end of diplomacy as an effective and inexpensive method of defending the northern borders. The only alternative was more soldiers, but this entailed greater expense. As a “good emperor,” Marcus Aurelius was unwilling to tax the wealthy. The result was a drawn-out war which seriously strained the Empire's resources. Subsequent emperors felt less compunction about expropriating the wealth of the upper classes to pay for the armies. The civil war which followed the murder of Commodus exacerbated the trend, and its ultimate victor, Septimius Severus, ruthlessly exposed the military basis of imperial power and made the upper classes pay for it. The political reality of the 3rd century is summarized in the dying Septimius's advice to his sons—“Enrich the soldiers, despise everyone else.” <sup>1</sup>

## **193**

**Publius Helvetius PERTINAX**, a sixty-six-year-old senator, who had risen from obscurity as an officer under Marcus Aurelius, was chosen emperor by the senate. His strict and frugal rule led to his murder (Mar. 23) by the praetorian guard, who then auctioned off the Empire to **M. Didius Julianus**, who promised to pay them the highest donative. The provincial armies reacted by nominating their own candidates; the British <sup>2</sup>

legions proclaiming the legate **D. Clodius Albinus**; the Syrian army, **C. Pescennius Niger**; and the Pannonian legions, **L. Septimius Severus**. Severus marched to Rome, where the senate deposed and executed Julianus.

## 193–211

**Lucius SEPTIMIUS SEVERUS** (b. 146, at Leptis in Africa), emperor. He dissolved the existing praetorian cohorts, composed of recruits from Italy, and enrolled new ones from legionary veterans. He kept Albinus quiet by recognizing him as Caesar (i.e., heir). He then defeated Niger in **Battles at Cyzicus and Nicaea** and at **Issus** (the Cilician Gates) and put him to death near Antioch (194). Albinus, who now claimed full equality, was defeated and slain (197, Feb. 19) at Lugdunum (Lyons), which was also sacked and which never recovered its prosperity. Severus executed the supporters of Albinus in Gaul and Italy. 3

**Severus** created three new legions, one of which was quartered near the Alban Lake in Italy, hitherto free from the presence of legionary troops. He appointed equestrians to command these legions, contrary to the Augustan rule, and also put the new province of Mesopotamia under an equestrian. He thus initiated the replacement of senators by equestrians in military posts which culminated under Gallienus. Military marriages were recognized, auxiliaries were settled on public land in return for military service, and the legionary pay was raised. Severus gave the jurisdiction over Rome and the area within 100 miles to the prefect of the city and over the rest of Italy to the praetorian prefect, who also exercised jurisdiction on appeal from the provinces. The emperor began the subdivision of provinces into smaller units, which culminated under Diocletian, and extended the organization of municipalities as the basis of tax collecting even to Egypt, which shows how valueless municipal status had become. He created a new treasury in addition to the *fiscus* (the original imperial treasury) and the *patrimonium Caesaris* (originally the ruler's private property, then crown property), namely the *res privata*, his personal funds, which were swelled by confiscations. He reduced the state senatorial treasury (*aerarium*) to a municipal treasury of Rome. He depreciated the silver content of the *denarius* to below 60 percent. Extensive and magnificent building programs were carried out in Rome, Africa, and Syria. 4

## 197–199

In a successful **Parthian war** Severus advanced as far as Ctesiphon and reconstituted the province of Mesopotamia under an equestrian governor with two legions. 5

## 205–211

A recurrence of **troubles in Britain** required the presence of Septimius himself to fight the Caledonians. He definitely withdrew from the wall of Antoninus to that of Hadrian, which he rebuilt. He died at Eboracum (York) on Feb. 4, 211.

6

## 211–217

**CARACALLA** (properly Caracallus), so named from a Gallic cloak which he wore, began to rule. He was the oldest son of Septimius and had been associated with him as Augustus (198). To strengthen the bond between the Severi and the Antonines he had changed his name from Septimius Bassianus to Marcus Aurelius (Severus) Antoninus (197). Upon his accession, he murdered his colleague (since 209) and younger brother, P. (originally L.) Septimius (Antoninus) Geta (b. 189), along with the jurist Papinian and many others. He increased the pay of the troops. To meet the consequent deficit he issued a new coin, the **antoninianus**, with a face value of two *denarii* but a weight of only one and two-thirds. He erected at Rome the vast **Baths of Caracalla** (*thermae Antoninianae*).

7

## 212

The **EDICT OF CARACALLA** (*constitutio Antoniniana*) extended Roman citizenship to all free inhabitants of the Empire save a limited group, perhaps including the Egyptians. Citizenship now meant so little that this step was a natural culmination of the leveling down of distinctions that had been continuous throughout the Empire. Caracalla's motive has been much disputed; he probably hoped to extend to all inhabitants the inheritance tax paid by Roman citizens.

8

## 213–217

Caracalla successfully defended the northern frontier against the Alamanni in southern Germany and the Goths on the lower Danube (214), and in the east he annexed Armenia (216). But as he was preparing an invasion of Parthia, he was murdered by a group of his officers (217, Apr. 8).

9

## 217–218

**Marcus Opellius (Severus) MACRINUS** (b. 164?), emperor. He was a Mauretanian who had risen from the ranks to be praetorian prefect and was the first equestrian emperor. He surrendered Caracalla's eastern gains and sought to reduce the pay of the troops, who set up as a rival (218, May 16) at Emesa in Syria Bassianus, a grandnephew of Julia Domna, the Syrian wife of Septimius. Macrinus was assassinated on June 8, 218.

10

## 218–222

The young Bassianus, surnamed **ELAGABALUS** (Heliogabalus, b. c. 205), came to power. He derived his cognomen from the Emesa god, whose priest he was. To legitimize his rule, he changed his name from (Varius) Avitus to Marcus Aurelius Antoninus and claimed to be a son of Caracalla. While Elagabalus surrendered himself to license and introduced the worship of his god to Rome, the Empire was really ruled by his forceful mother, **Julia Maesa**. She obliged him to adopt his cousin (Gessius) Bassianus (Alexianus?), son of her sister, Julia Mamaea. The praetorians murdered Elagabalus (222, March 11).

11

## 222–235

**Marcus Aurelius SEVERUS ALEXANDER** (b. c. 208), emperor. He was the adopted son of Elagabalus and was dominated by his mother, Mamaea. She established a regency committee of senators and used the advice of the jurists Paulus and Ulpian.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **g. [The Rise of Christianity](#)**

The principal characteristic of **early Christianity** was its **plurality**. A wide variety of **divergent and competing doctrines**—gnostic, libertine, observant—were practiced, all claiming the authority of Jesus Christ. The “orthodox” church—it was only after the Roman government had given its support to one sect that the terms “orthodox” and “heretical” became official—eventually accepted **four Gospels**—Mark (c. 64–70), Matthew (c. 80–90), Luke (c. 70–90), and John (c. 95–115)—the book of **Acts**, fifteen **Pauline letters** (only six are certainly by Paul), and a few other works as canonical. Other, “heretical” texts were burned. The success of the form of Christianity that would eventually prevail was a function of its superior organization. Paul had formed his communities (c. 48–60) with overseers (bishops), and ministers (deacons), and had stressed obedience. In the writings of the **Apostolic Fathers**—the martyred bishops Clement of Rome (d. 96), Ignatius of Antioch (d. 98–117), and Polycarp of Smyrna (d. 155)—we find churches organized around the three-fold ministry of bishops, presbyters (councils of elders), and deacons; these writings also put the same emphasis on discipline and authority. By the mid-second century, this disciplined Christian sect began to attract educated converts—Justin Martyr (d. 160?), Athenagoras (fl. 176–177), Irenaeus (fl. 177), Tertullian (c. 160–240), and Minucius Felix (fl. 200–240), and the bishops Theophilus of Antioch (d. 180), Melito of Sardis (fl. 175), Clement of Alexandria (fl. 190–203), and Origen (c. 185–254)—who wrote Apologies defending the Christian faith against calumnies and official persecutions. In Rome, Christians were executed under Nero, Domitian, and Marcus Aurelius; in the provinces **persecutions of Christians** were equally sporadic. Whether Christianity was illegal per se or whether Christians were persecuted for alleged criminal behavior is problematic. Well-organized Christian communities provided its members with benefits both social—burial; care for orphans, the sick, and the poor—and psychological—institutional identity and protections from demons. Their successes in urban centers around the Empire left these Christian churches poised to assume more important social roles when the civic institutions of the Roman Empire were shaken by the crisis of the 3rd century.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **5. The Later Empire, 284–527 C.E.**

### **a. Economy, Society, and Culture**

The **economy** of the Empire continued to be troubled. **Land went out of cultivation** because of war, the flight or revolt of hard-pressed peasants, and an overall decline in population. In an effort to maintain agricultural production, the **settling of barbarians inside the Empire**, which had become regular in the 3rd century, assumed a grand scale in the 4th century. **The number of slaves continued to decline**, but slavery by no means disappeared. In agriculture, the labor of slaves tended to be replaced by that of *coloni* (tenant-farmers), whose status was originally free but fell over time to that of being tied to the land. By 400, the legal codes refer to *coloni* as *servi terrae* (slaves of the land). The **power of landowners grew** correspondingly, and those in the west became independent of the imperial government, even raising private armies. In the east, where the imperial presence in Constantinople assured a strong central administration, wealthy landholders were less independent. Another reflection of the decreasing need for slaves is the dramatic decline in freedmen, both in and outside of the imperial service. In the late Empire, freedmen were replaced by freeborn bureaucrats, as the imperial bureaucracy, together with the army, became the principal avenue of social mobility. The economic focus, and increasingly the cultural focus, of the Empire shifted from cities to large estates, particularly in the west. **Municipal office** had lost most of its authority and independence to imperial officials, and from the time of Diocletian and Constantine it was a **hereditary duty**. Laws forbidding municipal aristocrats to escape the ruinous burdens of office were regularly circumvented or ignored, and many of the **urban elite retreated to their countryside estates**, which had always been their sources of wealth. In the east, however, where the institution of the city-state had a longer tradition, and where proximity to Constantinople and imperial armies afforded protection, cities remained prosperous until the 6th century. Not all areas of the Empire were equally affected by economic decline. The Danubian provinces and large parts of Gaul suffered from foreign invasion (See [Foreign Invasion and Internal Disarray](#)), but Sicily enjoyed continuing prosperity, and Africa remained prosperous until it was taken by the Vandals (429–39) (See [429–534](#)). The eastern provinces, which were less affected by foreign invasion, remained relatively prosperous. **Interprovincial trade** in grain and other

articles of mass consumption revived under Diocletian and lasted, though at a reduced rate, through the 4th century. It was the **invasions of the 5th century** that brought about irreversible decline.

**Trade** was to a great degree subordinated to **imperial needs**. By the end of the 3rd century, members of *collegia*, who had originally been partners in independent business associations, were legally tied to their occupations. By the 4th century all trades and occupations were organized into hereditary **collegia**, which were bound to provide services for the state. Compensation was paid at a fixed rate, which became lower over time, and was accompanied by increased regulations. The economic troubles of the 3rd century had led to a **severe debasement of the coinage**, but although the monetary element of the economy was severely curtailed, it never disappeared. Diocletian's attempt to reestablish the currency with the issuing of the new gold *aureus* and silver *argenteus* failed, and bronze and silver coins continued to decline in value; silver coins ceased to be minted altogether by the 5th century. Stability was established by Constantine's new gold coin—the *solidus*—which remained the standard coinage of the Eastern Empire until 1070.

The **emperor** was now the **sole source of Roman law**. But the extension of the Roman citizenship to virtually all free inhabitants of the Empire had affected the practice of law in the provinces, which became a mixture of debased Roman law and local practice. An example of this “vulgar law” is the *lex Romana Visigothorum* issued in 506 by Alaric II, king of the Visigoths (See [419–507](#)). Classical Roman law was continued in the east by the law schools of Beirut and Constantinople. The problem of codifying the enormous body of earlier law was met by the publication of the *codex Theodosianus* in 438, which continued to be used in the west. The greatest work of legal compilation was carried out under **Justinian** (See [527–65](#)) by the jurist Tribonian and encompassed the publication (between 530 and 534) of the *Digest* (or *Pandects*), the *Institutes*, the *Codex Justinianus*, and the *Novellae Constitutiones* (the *Novels*), which together make up the *Corpus Iuris Civilis*, as it was later called.

As a function of urbanism, **literacy**, together with schools and the production of books, underwent a general if uneven decline beginning in the mid-third century. A cultural disjuncture grew up among the governing classes between administrators who continued to be highly educated and less-literate military men. It was for the latter that the numerous epitomes of the lengthier works of classical literature were now produced. The rise of Christianity affected a change in the pattern of literacy but did not cause an overall increase. For while literacy was important for church leaders, most Christians heard rather than read holy scripture. Christians were in the forefront of the **replacement of the book scroll by the codex**. The majority of non-Christian texts began to be affected by the change only in the 4th and 5th centuries.

The relative peace established by Diocletian and Constantine led to a revival of literature, but with a number of significant changes. As the Empire had been administratively



divided between east and west, so too was its culture. Knowledge of Greek became rarer in the west, and Latin literature no longer drew so heavily on Greek models. The focus of Latin literature moved away from Rome, as centers of literary patronage shifted to other imperial capitals. To varying degrees authors began to use the classical tradition in writing about Christian themes. Latin poetry was continued by Decimus Magnus **Ausonius** (310–394), who became tutor to young Gratian and composed a great number of poems in a variety of genres. Claudius **Claudianus** (Claudian, c. 370–404) was born in Alexandria and became court poet at Milan, where he wrote panegyric and historical and mythological epics. Aurelius **Prudentius** Clemens (348–405), born in Spain, wrote lyric poems on Christian themes. Gaius Sollius Apollinaris **Sidonius** (c. 431–486), who eventually became a bishop, was from a Gallic family of distinguished imperial officials. Dividing his life and his work between politics and leisured retirement, he wrote light poems (*nugae*), verse panegyrics, and letters, which give a vivid description of Romans and barbarians in fifth-century Gaul. Latin biography was continued in the form of the 4th-century collection of imperial lives (Hadrian to Numerianus) called the *Historia Augusta*. **Ammianus Marcellinus** (c. 330–395), an army officer from Syria, wrote the last great history in Latin (*Res Gestae*), which treated the years 96–378 (only the parts covering 353–378 survive). The letters and speeches of Quintus Aurelius **Symmachus** portray the life of a distinguished Roman senator who revived and fought for classical literature and traditional culture. The antiquarian **Macrobius** Ambrosius Theodosius (fl. 430) preserved a vast amount of earlier learning in his *Saturnalia*, while **Martianus Capella** (fl. 420) wrote *The Marriage of Mercury and Philosophy*, an allegorical potpourri of classical learning.

Concrete and brick **architecture** reached truly **grandiose proportions**. In Rome, Diocletian surpassed the great *thermae* of Caracalla, with his own enormous **bath complex**, while Maxentius began, and Constantine completed, the equally enormous **Basilica Nova** on the Via Sacra. Imperial complexes which combined **palaces** and circuses, and sometimes mausolea, were built in or near most imperial capitals—Rome, Milan, Thessalonica, Antioch, and Trier, while Diocletian built a grand palace at Salona (Split) on the Dalmatian coast. With Constantine's conversion to Christianity, imperial largess went to building **great churches**. Public and private buildings were decorated with varieties of imported marbles, wall paintings, and mosaic work (e.g., Santa Costanza in Rome). The sculptural programs of late Roman imperial monuments witness not a degeneration of technique, but an expansion of the repertoire of styles to include the traditional and new (the arches of Diocletian and Constantine in Rome). In official portraiture, the tetrachs continued to be presented in the style of third-century military emperors (the Venice Tetrarchs). After 312 Constantine, wishing to distance himself from his predecessors, adopted a new image which was civilian and youthful. After 324 the diadem and the upward gaze were added, evoking both contemporary religiosity and the image of Hellenistic kingship.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Diocletian and the House of Constantine

The **advent of Diocletian** saw a thoroughgoing administrative reform of the Empire. Since it is difficult to distinguish which innovations were due to Diocletian and which to Constantine, a general summary will be given here. **Senatorial governors of provinces** had been first relegated to solely civic functions, then **virtually eliminated in favor of equestrians** by Diocletian. At Rome, the power of the senate and of magistrates waned when the emperor and his court moved to cities closer to the theaters of war. The **function of the Roman senate was limited** to governing the city of Rome. Meetings, presided over by the urban prefect, were often unattended, most senators preferring to remain on their estates. But the prestige of the Roman senate was sufficiently high in the 4th century for Constantine to establish a **second senate at his new capital of Constantinople**. Over the course of the 3rd century, the duties of most traditional Roman magistracies had been either eliminated or absorbed by equestrian officials appointed by the emperor. **The consulship survived as a largely honorary office**. In the 3rd century its prestige declined, but it was revived in the 4th, when Constantine established two annual consuls in Constantinople to match the pair in Rome. Thereafter, in the west the consulship became the prerogative of a narrow circle of aristocratic Roman families, while in the east the office tended to be monopolized by emperors, or used by them to reward both military and civic service. The emperor was chosen by the army and ruled absolutely. Beginning with Diocletian, **the pomp and ceremony of the Persian court was adopted**. The emperor was lord (*dominus*), and everything surrounding him sacred (*sacrum*). He wore a diadem, purple and gold robes, and jeweled slippers. Subjects prostrated themselves in his presence. The imperial court (*comitatus*) comprised great numbers of officials which included a large domestic staff headed by a eunuch, various offices (*officia*), and a *magister memoriae* (master of records), all supervised to one degree or another by the *magister officiorum*. In addition, there was the imperial guard (*scholae*), from which 40 men were selected to be the emperor's bodyguard (called *candidati* after their white uniforms). Also present at court was the officer training corps (*protectores*), in which promising officers served for a few years before being posted to high office. At court, protocol ruled.

The Empire was divided for administrative purposes into two spheres, eastern and

1

2

western. Instituted by Diocletian, the division was in effect sporadically during the 4th century and became permanent with Arcadius and Honorius (395). Under Diocletian's tetrarchic system, there were two co-ruling senior emperors (*Augusti*), one in the east, the other in the west. Each Augustus chose an assistant and successor (*Caesar*). Imperial edicts were issued in the names of all four. There were four praetorian prefects who served under each of the four rulers and administered the four prefectures—Gaul, Italy, Illyricum, and the east. Each prefecture was divided into several dioceses under *vicarii* (vicars). In 312 Constantine disbanded the praetorian guard; and the prefects, together with their subordinate vicars, lost all military functions which were transferred to a *magister militum*. The dioceses were subdivided into provinces, which had themselves been divided so that their number doubled. Provinces were under the supervision of equestrian governors called *praesides*. Italy assumed the status of a province, its districts supervised by senatorial *correctores*.

In the late Empire, the **military** was wholly **separated from the civilian administration**, with the army bureaucracy usurping many administrative functions. The imperial armies of the high Empire had been tied to the defense of particular provinces. The system had proved inadequate during the third-century invasions, and so two distinct types of armies had developed. In the provinces, stationed along the borders, were the **frontier armies** made up of resident soldiers (*limitanei*) and commanded by a *dux*. A larger, better trained, and more mobile field army (*comitatenses*) was under the command of masters of infantry and cavalry (*magistri peditum, equitum*). Auxiliary troops were mostly foreign soldiers commanded by their own leaders, some of whom became very influential. Under Constantine a large part of the field army stayed with the emperor. Another contingent was permanently stationed on the eastern frontier under a *magister equitum et peditum per Orientem*, while the west was defended by another field army stationed in Gaul and commanded by a *magister equitum et peditum per Galliam*. Smaller units of the field army, stationed in Illyricum and Thrace, were commanded by officers called *comites rei militaris*. The size of all these units is controversial. Diocletian seems to have increased the numbers of legions of the frontier army from about 40 to 60. Under Constantine the field army might have reached 200,000 men. The Roman armies of the 4th century have been estimated at between 500,000 and 730,000 men.

Diocletian attempted to create a **more efficient tax system**. He established a regular system of requisitioning food and transport, and his taxes were based both on the *iugum* (a unit of land) and the *caput* (a unit of labor) and included Italy. Annual estimates were made for the imperial costs for the army, administration, and city of Rome, and a budget was produced to which taxes were adjusted. To facilitate the reform, a new census was conducted. Diocletian's attempt to control inflation by fixing prices and maximum wages in his **Edict on Prices** (301) resulted in goods being withdrawn from market and in violence, while prices continued to rise.

## 284–305

**Gaius Aurelius Valerius DIOCLETIANUS** (Diocletian, b. 245, saluted as emperor Nov. 284). 5

## 285

Upon the defeat of Carinus, Diocletian chose as his colleague the Illyrian, M. Aurelius Valerius **Maximianus** (Maximian), who was given the title of **Caesar**. 6

## 286

After suppressing the peasant revolt of the **Baucaudae** in Gaul, Maximian was raised to the position of **Augustus**. Diocletian took up residence at Nicomedia in Bithynia, while Maximian lived mostly at Mediolanum (Milan). Diocletian assumed the title Jovius, and Maximian assumed that of Herculus. 7

## 288–292

Diocletian and Maximian waged constant war to hold the Empire together. Maximian was unable to oust M. Aurelius Mausaeus Carasius, who had seized the province of Britain and declared himself Augustus. 8

## 293, Mar 1

**Creation of the Tetrarchy.** Diocletian chose as his subordinate Caesar, **C. Galerius Valerius Maximianus** (b. c. 250). Galerius became Diocletian's son-in-law and governed most of the Balkan provinces; Diocletian governed the rest of the east. Maximian chose as his Caesar, Flavius Valerius **Constantius**, who divorced his wife **Helena** to marry Maximian's daughter. Constantius governed Gaul whence he drove Carasius to Britain, where he was killed and superseded by **Allectus**. 9

## 296

Constantius crossed to Britain, defeated and killed Allectus, and restored Britain to the Empire. Egypt revolted under Aurelius Achilleus, and L. Domitius **Domitianus** was proclaimed emperor. Diocletian put down the revolt in the winter of 296–7. 10

## 297

Narseh (Narses), the king of Persia, expelled the pro-Roman king of Armenia (See [297](#)). 11  
Galerius invaded Persia and was defeated but returned in the following year to crush the Persians. Narseh ceded Mesopotamia and other territories east of the Tigris to Rome.

## 298

Constantius returned to Gaul and defeated the Alamanni. 12

## 301

Diocletian's **Edict on Prices**. 13

## 303, Feb. 23

Galerius persuaded Diocletian to declare a **general persecution of the Christians**, 14  
which, however, Constantius did not fully enforce in his prefecture. The persecution was stopped in the entire west in 306 but raged in the east until 313.

## 305, May 1

**Diocletian and Maximian abdicated voluntarily; Galerius and Constantius became Augusti**; Diocletian and Galerius selected as Caesars **Flavius Valerius Severus** under Constantius, receiving the prefecture of Italy, and for Galerius his own nephew Galerius Valerius **Maximinus Daia**, who received Syria and Egypt. The hereditary claims of Maximian's son Maxentius and Constantius's son Constantine were neglected. 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. From the Death of Julian to the Death of Valentinian III**

#### **363–364**

**Flavius JOVIANUS** (b. c. 331) was elected emperor by Julian's soldiers. He surrendered Mesopotamia to the Persians and died soon after (364, Feb. 17). 1

#### **364–375**

**Flavius VALENTINIANUS I** (Valentinian, b. 321) was the next choice of the army. He ably defended the west against the barbarians and made his brother **Valens** co-Augustus in the east (364, Mar. 28). 2

#### **367**

Valentinian made his son, **Gratian**, co-emperor in the west. 3

#### **374**

Valentinian died on an expedition against the Quadi and Sarmatians (Nov. 17). 4

#### **375–383**

**Flavius GRATIANUS** (Gratian, b. 359) named his young half brother **Valentinian II** (b. 371) co-Augustus in the west. 5



## 376

The **Visigoths** (West Goths) crossed the Danube and wiped out Valens and his army at **Adrianople** (378, Aug. 9). The Goths continued to ravage the Balkan region. 6

## 379, Jan. 19

Gratian appointed as co-Augustus for the east, **Theodosius**, son of Valentinian's *magister equitum*. 7

## 379–395

**Flavius THEODOSIUS “THE GREAT”** (b. 346). He came to terms with the Goths by settling them as military allies (*federates*) in the Balkans. 8

## 383

The British legions proclaimed **Magnus Maximus**, who seized Gaul. Gratian was slain at Lugdunum (Aug. 25). Theodosius recognized Maximus. 9

## 387

When Maximus drove Valentinian II from Italy, Theodosius captured and executed Maximus at Aquileia (388, July 28). 10

## 392, May 15

The Frankish *magister militum* **Arbogast** murdered Valentinian II at Vienne and set up as emperor the non-Christian rhetorician **Eugenius**. 11



#### d. [Christians and Pagans](#)

Christian churches flourished in the third-century crisis that affected the civic institutions of the Empire (See [The Rise of Christianity](#)). The extent of Christian belief at the end of the century is controversial, however. While some Christians held positions in the government and army, and some were well-to-do, the great majority were uneducated, poor city-dwellers. Nevertheless, Christians were sufficiently conspicuous for them to be perceived as a threat and to be officially and systematically persecuted by Decius in 250, by Valerian in 257–260, and, finally, from 303 to 311 by Diocletian and Galerius. The persecutions, which entailed the burning of sacred books, the destruction and confiscation of church property, the loss of high status (*honestiores*) for Christians, and the arrest of the clergy, failed to curtail the growth of Christian communities. <sup>1</sup>

**Constantine**, whose mother, **Helena**, was a Christian, and who described himself as a Christian after 312, is the pivotal figure in Christianity's rise. As emperor he ended all persecution and restored church property, and in 313 with his **Edict of Milan**, he granted toleration and legal recognition to Christian churches. He also enforced the legitimacy of the particular Christian sect he supported by actively suppressing other “heretical” sects (e.g., the Donatists) and by insisting on compromise in doctrinal disputes within the “orthodox” church. The bitter controversy between **Arius** of Alexandria, who held that Christ was of a different substance—*heterousios*—than god, and Bishop Alexander (to be succeeded by **Athenaeus**), who held that they were of the same substance, was settled by the emperor at the **Council of Nicea** in 325, where the doctrine that Christ was consubstantial—*homoousios*—was sanctioned. (The dispute raged on until the reign of Theodosius I.) The conversion of Constantine did not, however, make Christianity the religion of the Roman state. Under Constantine and his successors, the Empire remained officially multireligious, and traditional polytheism continued to be openly practiced. But Constantine did turn the tide by shifting imperial largess away from the traditional Roman cults to Christian churches (the bishops of large cities became enormously wealthy due to imperial largess), by granting exemption and immunities to Christian clergy, and by favoring Christians in the army and administration. The gradual **conversion of the upper classes to Christianity** was accomplished, not by force or persuasion, but by the patronage and example of the imperial family. Constantine's sons, <sup>2</sup>

especially Constantius, were fervent Arians, and under them the cults of traditional Roman religion suffered from lack of government support, confiscation of land, and official indifference to organized Christian attacks, as well as from the actual closings of temples. The tide was briefly reversed by **Julian** (361–363), who attempted to restore the traditional religion by granting toleration to polytheists, by shifting imperial funding back to the old cults, by revoking privileges for the Christian clergy, by forbidding Christians to teach Greek and Latin literature, and by passively condoning attacks on Christian churches. The official revival of polytheism ended with Julian's premature death. That Julian's successors as emperor were all Christians shows how far the faith had penetrated the army. Yet Julian's reform was not entirely in vain, since it was almost 30 years before the vehement intolerance of Constantius was again official policy. On becoming emperor, Jovian issued an edict of general toleration, which was renewed by Valentinian and Valens, under whose reigns non-Christian temple lands were confiscated, although the temples remained open.

It was the growing numbers of powerful men who were entering the higher orders of the Church that effected a change. In 374, **Aurelius Ambrosius** (Ambrose, c. 339–397), the son of a praetorian prefect and himself consul of Aemilia, was elected bishop of Milan. In this position he exerted great influence, first over the emperor Gratian (who revoked the edict of toleration, dropped the title *pontifex maximus*, confiscated the revenues of the Vestal Virgins and other priesthoods in Rome, and removed the Altar of Victory from the senate house), then over Valentinian II (whose denial in 384 of **Symmachus's** request to restore the Altar of Victory was due to Ambrose), and finally over Theodosius. The aim of Ambrose and men like him to create a Christian state in which traditional Roman polytheism, Judaism, and Christian heresies (especially Arianism) would not be tolerated was accomplished during the reign of Theodosius. Christian letters were continued in Greek by such men as **Eusebius of Caesarea** (260–340), who among other things established the tradition of Christian chronography, and by the theologian **Gregory of Nazianzus** (329–89). Latin Christian writing was dominated by North Africans such as **Arnobius** (fl. 295) and **Lactatius** (c. 240–320). The preeminent figures of the late 4th century were **Jerome** (Hieronymus, 348–430), who composed a major revision of the Latin Bible (the Vulgate), and **Augustine** (354–430), whose Neo-platonic thinking revolutionized Christian theology in the west (See [c. 340](#)).

The subsequent religious history of the Christian Roman Empire is essentially that of doctrinal disputes. Under Theodosius II (408–450), **Nestorius**, the bishop of Constantinople, who argued for a sharp distinction between the divine and human nature of Christ, was condemned at the **Council of Ephesus** in 431. During the 5th and 6th centuries, the eastern Church was torn by the Monophysite heresy, whose doctrine was that Christ had a single nature. Although the doctrine was condemned at the **Council of Chalcedon** in 451, the eastern emperors on the whole were Monophysite. As imperial authority weakened in the west, the bishop of Rome became powerful and wielded political as well as religious power. A major development was **monasticism** which had a

long tradition in the east (Antony in Egypt, c. 285). The work of **Martin of Tours** (362) (See [c. 340](#)) spread monasticism in the west, culminating in the rule of **St. Benedict** (*regula Sancti Benedicti*), who founded his monastery at **Monte Cassino** in 529. The rule was adopted by **Cassiodorus** (480–575), secretary of Theodoric, who founded a monastery at Beneventum in 540. The closing of the philosophical schools in Athens by Justinian, the execution of **Boethius**, and the founding of the Benedictine monastery mark the transition from the classical to the medieval world. (See [Conditions of Life](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. The Later Fifth Century**

### **455–472**

A succession of puppet rulers in the west. In 455 Eudoxia, widow of Valentinian, set up **Petronius Maximus** at Rome. On his murder, in the same year, she called the Vandals from Africa. 1

### **455, June 2–16**

**Gaiseric and the Vandals sacked Rome.** 2

### **456**

**Avitus** advanced from southern Gaul to Rome but was deposed by his able general, the Suevian **Ricimer**. Ricimer retained power by securing the consent of the eastern emperors to his nominees, who were **Majorianus** (457–461), **Severus** (461–465), and, after a two-year interregnum, **Anthemius** (467–472) and **Olybrius** (472). When in 472 both Ricimer and Olybrius died, the eastern emperor, Leo I, appointed **Glycerius** (473) and **Julius Nepos** (473–475). 3

### **457–474**

**LEO I** (b. ?), a Thracian (?), succeeded Marcian as emperor of the east. To offset his master of the troops, the Alan Aspar, he married his daughter Ariadne to Zeno, an Isaurian from the mountains of southern Asia Minor (467) and made Zeno's son, Leo, his colleague (473). 4

## 474

**Leo II** succeeded on the death of Leo I. His father, Zeno, made himself his colleague. Leo died the same year. 5

## 474–491

**ZENO** (b. 426) disposed of the pretender Basiliscus, brother-in-law of Leo I (475). 6

## 475

The master of the troops, **Orestes**, removed Nepos in favor of his own son, whose name combined those of the founder of Rome and of the Empire. 7

## 475–476

**ROMULUS AUGUSTUS** (nicknamed *Augustulus*). 8

## 476, Sept. 4

After defeating and killing Orestes at Pavia, the Herulian **Odovacar** (*Odoacer*) deposed Romulus Augustulus, the last emperor of the west, at Ravenna. **Traditional end of the Roman Empire.** (See [Western Europe in the Early Middle Ages, 461–1000](#)) 9

The eastern emperor **Zeno** apparently recognized Odovacar as “patrician” (*patricius* had become the title of honor for barbarian commanders). Nepos retained titular claim as emperor until his death in 480, and after that date the Empire was theoretically reunited under the eastern emperors, but actually Odovacar ruled as an independent king in Italy. 10

## 481

On the death of Theodoric, the son of Strabo, Zeno recognized his rival as patrician and master of the troops. His people were established in Moesia as *foederati*. 11

**Theodoric**, ostensibly as **Zeno's** agent, invaded Italy.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Arabia, c. 850–332 B.C.E.](#))

## **F. The Neo-Persian Empire of the Sassanians, 223–651 C.E.**

### **a. Economy, Society, and Culture**

**The economy of the Sassanian Empire** was based on agriculture, and the great majority of its inhabitants were peasants. While most farming was done by free peasants, chattel slavery was employed in royal mines, in building, in the crafts, and in agriculture, particularly on temple estates. Sassanian rulers, especially **Shapur I** (240–270) and **Khusrau I** (531–579), undertook a great increase in irrigation and land under cultivation. Much of the empire's agricultural wealth was centered in Mesopotamia, especially in the south region of Asuristan, where extensive irrigation produced an abundance of wheat and barley. To the southeast and across the Tigris was **Khuzistan**, which also produced great harvests of wheat and barley, sesame and rice. The district of **Meshan** (modern Kuwait) was famous for its palm dates; it also controlled access to the Persian Gulf and trade with India. Commerce was predominantly local, but a lucrative international caravan trade followed the **royal road**, extending north to Merv, Samarkand, and then on the **silk road** to China. Syrian glass, dyed fabrics, and metals were exchanged for silk, which served a diplomatic as well as an economic function. The primary form of taxation under the Sassanians was a land tax and, for religious minorities, a poll tax. The reforms of Khusrau I made the land tax, which began to be calculated in monetary terms, more efficient and extended the poll tax to all inhabitants between the ages of 20 and 50. <sup>1</sup>

**Sassanian society was divided into the traditional Iranian estates:** priest (*magian*), noble (*azatan*), and farmer (*ram*); the last estate also included traders, craftsmen, and bureaucrats. The basic social unit was the extended family of three or four patrilineal generations. Members shared religious and secular obligations and rights, as well as joint family property. Beyond the agnatic family, the larger social group was the clan (*naf*, *toxum*, or *gohr*) which comprised several dozen families whose heads shared a common ancestor and within which endogamous marriage was the rule. A wife and her property entered into the family of her husband, he becoming her guardian. The exercise of full <sup>2</sup>

legal rights required membership in a recognized urban or rural community, which in turn was determined by membership in one of the clans which formed the community. Free persons who were not members of a community—aliens, illegitimate children, freed slaves—were semidependent and had restricted rights.

The Sassanian period saw an increase in **centralization**. The semi-independent kingdoms characteristic of the Parthian era gave way to a unified state administration. Independent city-states that flourished under the Parthians were replaced by “royal cities,” that is, military centers governed by state-appointed officials called *shahrabs*. Rural districts were under the jurisdiction of the city administration. In the late Sassanian period, the kingdom was divided into four large divisions headed by a military and civil authority. The numerous religions tolerated by the Parthians were replaced by the single state religion, **Zoroastrianism**, whose administration of temple lands throughout the empire by officials called *magupats* paralleled that of the civil and military administration. <sup>3</sup>

In Sassanian Persia, state and religion were twin sisters. By the mid-fourth century, thanks to the efforts of the priest **Kartir**, **Zoroastrianism** had become the official state religion, whose priesthood sometimes challenged the authority of the king. The ruler, the king of kings, was chosen by God and crowned by the chief priest (*mobadan-mobad*). All power and law devolved from the king, who ruled with the support of the priesthood and the nobility that monopolized high administrative and court positions. The court of the Sassanian king was famous for its elaborate protocol and hierarchy of officials in which the priests played an important role. Despite the intolerance of Zoroastrianism, a number of influential religious movements sprang up during the Sassanian period. **Mani** (216–277), the founder of **Manichaeism**, was born in Babylonia of an Arsacid priestly family. He gained the support of the upper levels of Iranian society and became a companion of Shapur I. His doctrine became especially strong in Parthia and central Asia. Mani eventually fell afoul of the powerful Zoroastrian priest, Kartir, and in 277 he was imprisoned and died. Manichaeism spread from Spain to China. Another new religion was **Mazdakism**. The gnostic-socialist offshoot of Zoroastrianism caused major social unrest during the reign of Kavad I (488–531), who initially supported it as a counterbalance to the power of the nobles and the priesthood. Its leader, Mazdak, son of Bamdad, preached a radical doctrine of redistribution of wealth and women which threatened the privileges and power of the upper classes. Mazdak was executed at the end of Kavad's reign, and the sect was persecuted and went underground. The official attitude toward previously established religions varied. The large Jewish population of Mesopotamia suffered sporadic persecution at the hands of Zoroastrian magi. Because of its connection with Rome, Christianity aroused the political as well as the religious opposition of the Sassanian state and church and was frequently persecuted. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Ardashir I to Shapur II**

### **223, 226?–243**

**Ardashir I** (*Artaxerxes*, *Artashatr*), founder of the Sassanian dynasty. The son of Papak, a vassal king of the Parthians ruling in Persis (Fars), Ardashir revolted against Artabanus, the last king of the Arsacid dynasty of Parthia, defeating and killing him at **Hormuz** (Hormizdagan, c. 224). Ardashir ruled over the territories of the Parthian empire, received the submissions of the kings of the Kushans and of Turan (Pakistan and Baluchistan, respectively) in the east, and gained control of Merv in the northeast. <sup>1</sup>

### **230–243**

**War with Rome.** Ardashir besieged Nisibis in Roman Mesopotamia and raided Syria (230). In 232 his forces were repulsed by Alexander Severus, after whose murder in 235 Ardashir took Nisibis, Carrhae, and the strategic city of Hatra. <sup>2</sup>

### **243–270, 273?**

**Shapur I** (*Sapor*) had been co-ruler with his father, Ardashir, since 240. After conquering the peoples along the coast of the Caspian Sea, he had to defend his kingdom against Rome. <sup>3</sup>

### **242–244**

**SHAPUR I'S FIRST WAR WITH ROME.** The Roman emperor Gordian recaptured Carrhae and Nisibis and then defeated the Persians near Resaina. But Gordian was murdered, and his successor, Philip, losing a battle near Ctesiphon, was forced to sue for peace and pay a ransom. Having deprived Armenia of Roman support, Shapur <sup>4</sup>

engineered the assassination of its Arsacid king, Chosroes (c. 252). When the Armenian prince Tiridates was received by the Romans, Shapur attacked and began the second Roman war.

### 253, 256?–260

**SECOND ROMAN WAR.** A Roman army was defeated at Barbalissa, Syria was invaded, and Antioch was taken (256). When the Romans counterattacked, Shapur defeated and captured the emperor Valerian near Edessa (258, 259?); Valerian remained a captive until his death (265–66). Syria and Asia Minor were invaded by Persian forces, but no attempt was made to retain the conquered territories.

5

### 260–267

**Palmyra.** Roman territory was defended by Odenathus, the ruler of Palmyra, who chased the Persians back across the Euphrates and defeated Shapur (260). Soon after (262–267), he reconquered Mesopotamia, failed to take Ctesiphon, and was given the title of *imperator* by Gallienus. In 267 he was murdered and was succeeded by his widow, Zenobia.

6

Shapur devoted his remaining years to consolidating his power. He installed his sons as kings in Armenia, Mesene (southern Mesopotamia), Gilan (on the Caspian coast), and Sakas (in eastern Iran). In the north his kingdom extended to Iberia (Georgia); in the east to the borders of Sogdiana and central Asia. He built dams and a new city, Bishapur, in Persis. He also took an interest in the teachings of Mani, the founder of Manichaeism. Shapur was succeeded by his son, Hormizd I.

7

### 270, 273?–293

**Hormizd I** (*Hormisdas*, 270–271), son of Shapur, was killed in battle against the Sogdians and was followed by his brother, **Bahram I** (*Varahan*, 271–274). During his reign Aurelian defeated Zenobia of Palmyra and reestablished Roman rule in the east. Conservative Zoroastrian priests brought about the execution of Mani. Bahram was succeeded by his son, **Bahram II** (274–293). An eastern campaign against the Sakae was brought to an end by the Roman invasion of Persia under the emperor Carus, who conquered Mesopotamia and took Ctesiphon. The mysterious death of Carus ended the war (283). The new Roman emperor Diocletian installed **Tiridates III** in Armenia (c. 288). **Bahram III**, son of Bahram II, reigned for a few months and was deposed by his

8

uncle, Narseh.

## 293–302

**Narseh** (*Narses*) worsted his brother and rival, Hormizd, and drove Tiridates from Armenia (296). 9

## 297

**WAR WITH ROME.** A Roman army under Galerius (See [297](#)) was defeated near Carrhae and Narseh recaptured Mesopotamia (297). The following year, Galerius returned and crushed the Persians. Narseh surrendered to Rome Mesopotamia and other territories east of the Tigris, the western part of Media was ceded to Armenia, and Iberia became a Roman protectorate. The Romans and Persians then remained at peace for forty years. During the reign of Narseh, the king of Armenia was converted to Christianity. 10

## 302–309

**Hormizd II**, son of Narseh, was remembered as a just ruler. On the death of Hormizd his natural heir, Hormizd III, was set aside by the nobility, who elected his posthumous son, the child Shapur II. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. Shapur II to the Reforms of Khusrau I**

#### **309–379**

**SHAPUR II**, the Great. 1

#### **337–350**

**FIRST WAR WITH ROME** (See [337–363](#)). Shapur invaded Mesopotamia, won some victories, but failed in three attempts to take Nisibis. In 350 he had to break off the war and go east to counter an invasion of the Chionites (Huns), whom he defeated and forced into an alliance (357). Beginning in 339 Christians began to be persecuted. Jews and Manichaeans also suffered. 2

#### **359–361**

**SECOND WAR WITH ROME**. Syria was invaded, and Amida was taken after a heroic defense (359). Singara and Bezabde were captured (360). Constantius attempted in vain to recapture Bezabde and died in the following year. His successor, Julian, invaded Persia, forced the passage of the Tigris, defeated the Persians north of Ctesiphon but retreated before investing that city, and was mortally wounded in a battle near Samarra (363). His successor, Jovian, made a treaty with Shapur in which Rome restored all the Mesopotamian territories ceded by Narseh, as well as Nisibis and Singara. Shapur was also given a free hand in Armenia, which he invaded and devastated in 365. He later made it and Iberia vassal states (378). 3

#### **371–376**

**THIRD WAR WITH ROME**. There were no decisive results, and an obscure peace 4

followed. Persian power was at its zenith at the death of Shapur II. His immediate successors, **Ardashir II** (379–383) and **Shapur III** (383–388), were weak, however. Shapur concluded a peace with Rome (384) whereby Armenia was partitioned between Rome and Persia. **Bahram IV** (388–399), probably the son of Shapur III, succeeded. He placed his brother on the throne of Armenia. Bahram was killed in a mutiny and was succeeded by his son, Yazdgird I.

### 399–420

**Yazdgird I, the Wicked**, was so called because of his conflict with the Zoroastrian priesthood. The persecution of Christians and Jews ended for a time. Under the patronage of Yazdgird, Sassanian Christians held the **Council of Seleucia** and adopted the anti-Arian creed of the Council of Nicaea. Near the end of Yazdgird's reign, toleration ceased when Christians began burning down Zoroastrian fire temples. In 409 Yazdgird struck a treaty with Rome and his rule was peaceful. He was succeeded by his son Bahram V.

5

### 420–438

**Bahram V**, known as the “wild ass,” was supported by the Arabs against his cousin, Khusrau, the choice of the nobles. He continued persecution of the Christians and declared war on Rome (421) when the Christians crossed the border seeking Roman protection. Bahram was defeated (422) and agreed to permit Persian Christians to seek refuge in the Roman empire and to halt persecution. The eastern Christian church declared itself independent at the **Council of Dadiso** (424). Persian Armenia was reduced to a satrapy (428). Bahram campaigned against the Hephthalites (of Turkish stock?), driving them out of Persia across the Oxus. Bahram was succeeded by his son Yazdgird II.

6

### 438–457

**Yazdgird II** declared war on Rome and concluded peace in the same year (440). He then campaigned successfully against the Hephthalites (443–451). Urged on by his minister, **Mihr-Narseh**, and the clergy, Yazdgird sought to impose Zoroastrianism on Armenia and Iberia (449). Strong Armenian opposition was crushed at the Battle of Avarair (451). Yazdgird's last years were spent fighting on the northern borders against the Hephthalites. He died in 457 without a decisive victory. His younger son, Hormizd,

7



seized the throne.

### 459–484

**Peroz**, the elder son of Yazdgird, defeated the usurper Hormizd with the help of the Hephthalites. His reign was marked by a severe famine and the renewed enmity of the Hephthalites who in 469? captured Peroz and forced him to give his son as hostage and to pay tribute. National resistance in Iberia and Armenia led to a revolt led by Vahan (481–483). Persian forces were withdrawn from Armenia to aid Peroz's campaign against the Hephthalites in which he was killed in 484. He was succeeded by his brother Balash.

8

### 484–488

**Balash**, Peroz's brother, was selected by the nobles. The Persians agreed to pay tribute to the Hephthalites. After Vahan had aided Balash in civil war, the king permitted Armenians to practice Christianity and ended Zoroastrian practice in the province. With royal approval, **Bar-Sauma** established **Nestorianism** (two natures of Christ) as the sole doctrine of the Persian Christian Church (484–489). Balash was assassinated and succeeded by the son of Peroz, Kavad.

9

### 488–496

**Kavad** (*Kabades*, first reign), son of Peroz, lived with the Hephthalites as a hostage and was supported by them. Kavad supported the religiosocialist movement of **Mazdak**, son of Bamdad. Mazdak seems to have been a Zoroastrian priest whose gnostic and egalitarian doctrine gained support among the common people but hostility from the nobles and the traditional priesthood. A conspiracy was formed against Kavad; he was arrested and replaced by his brother, **Zamasp**, who ruled from 496–498. Kavad escaped to the Hephthalites, who accompanied him back to Persia where Zamasp resigned.

10

### 498–531

**Kavad** (second reign) returned to power and withdrew official support for increasingly radical reforms demanded by Mazdak.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. Hormizd IV to the Muslim Conquest**

**579–90**

**Hormizd IV.** War with Rome (Byzantium) continued. The Persians were defeated by Maurice at Constantia (581). In 589 the Romans took Martyropolis, while the Romans won an important victory near Nisibis. The war continued indecisively, weakening both sides. <sup>1</sup>

**589**

**Persia was invaded** by Arabs. The advance of the Turks constituted a real danger, but they were defeated by the Persian general **Bahram**. Bahram was ordered to invade Lazica but was met and defeated by the Romans on the Araxes. Superseded and insulted by the king, he rebelled. Hormizd was deposed and murdered; he was succeeded by his son, Khusrau. <sup>2</sup>

**590–628**

**KHUSRAU II PARVIZ** (“the victorious”). Challenged by Bahram, Khusrau sought help from Constantinople; Bahram then seized the throne and ruled as **Bahram VI** (590–591). Khusrau was restored with the help of the emperor Maurice. Bahram fled to the Turks, where he was assassinated. Under Khusrau the Sassanian empire reached its greatest extent but then suffered a precipitous decline. Khusrau initially tolerated Christianity and in the disputes between Nestorians and Monophysites favored the latter. At the end of his reign, persecution was resumed. <sup>3</sup>

**603–606**

The assassination of Maurice and his sons by **Phocas** (602) gave Khusrau the opportunity <sup>4</sup> to declare war against Constantinople. After defeating the forces of Phocas, Khusrau's armies invaded Armenia and Syria and ravaged Cappadocia; many cities were captured, including Dara (603), Amida, and Resaina (606). In 604 a Sassanian army had been defeated by the Arabs at the **Battle of Dhu Qar**.

### 610–619

After Phocas was overthrown, Khusrau continued the war against his successor, **Heraclius** (See [610–41](#)). The leading cities of Armenia and Cappadocia were taken <sup>5</sup> (610–611), and Persian armies captured Antioch, Damascus, and Tarsus (613). Jerusalem was occupied and the “true cross” taken to Ctesiphon (614). Anatolia was invaded, Chalcedon taken (615), and Constantinople endangered (616). In 619 Alexandria was taken, and Egypt came under Persian rule. Khusrau had restored the Achaemenid empire.

### 622–627

Heraclius counterattacked by invading Armenia, flanking and decisively defeating the <sup>6</sup> Persians, who then evacuated Asia Minor. Heraclius again invaded Armenia, defeated the Persians, and ravaged Azerbaijan (623–624). Persian forces invaded Anatolia and took Chalcedon but were prevented from aiding the Avars in their abortive siege of Constantinople (626). In 627 Heraclius swept down into Mesopotamia and defeated a Persian army near Nineveh. Khusrau fled, a revolt ensued, and Khusrau was murdered and succeeded by his son Shiroe, who ruled as Kavad II.

### 628–629

**Kavad II** made peace with Heraclius, agreeing to evacuate Egypt, Palestine, Syria, Asia <sup>7</sup> Minor, and western Mesopotamia and to restore prisoners and the true cross. Kavad died of the plague. The general **Shahrbaraz** (*Sarbaros*) usurped the throne and killed the infant son of Kavad, Ardashir III (628–629), but was himself murdered (629). Khusrau's daughter **Borandukht** (630–631) ruled for a year. On her death there was anarchy that seriously undermined the central authority of the monarchy (631–632).

### 632–651

**Yazdgird III**, the grandson of Khusrau, ascended the throne in 632 but did not receive the support of the Persian nobility in the face of the invasion to follow. 8

## 636–651

**Arab invasion of Persia** (See [632–750](#)). The Persian army under the general Rustam was defeated at Qadisiyya, near Hira (636). In 637 the armies of Islam occupied Ctesiphon. Yazdgir's appeal for Chinese aid went unanswered (638). The Arab army swept over the Iranian plateau and wiped out the imperial Sassanian army at Nihavand (642). Yazdgird fled to Merv, where he was murdered while hiding in a mill (651). Sassanian rule had ended, and the Persian provinces were incorporated into the caliphate. (See [The Global Picture](#)) 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Table of Contents

### Page 3

#### III. The Postclassical Period, 500–1500

##### A. Global and Comparative Dimensions

##### 1. Periodization, 500–1000

- a. Transformation of Regional Civilizations
- b. Comparisons
- c. Interregional Relationships
- d. Continued Spread of Religions
- e. The Global Picture

##### 2. The High Postclassical Period, 1000–1500

- a. Major Interregional Expansions
- b. Interregional Exchanges
- c. The Religious Context
- d. The Global Picture

##### B. The Middle East and North Africa, 500–1500

##### 1. The Rise and Expansion of Islam, 610–945

- a. Overview
- b. Muhammad and the Rise of Islam
- c. The Umayyad Caliphate
- d. The Abbasid Caliphate and Its Breakup

##### 2. The Muslim Middle East and North Africa, c. 945–1500

- a. Overview
- b. Iran, Iraq, and Anatolia
- c. The Mongol Empire and Its Successors
- d. The Ottoman Empire

e. Egypt and Syria

f. North Africa

C. South and Southeast Asia, 500–1500

1. South Asia, 500–1199

a. North India

b. Deccan and Western India

c. South India

2. Southeast Asia, 500–900

a. The Malay Archipelago and Peninsula

b. Mainland Southeast Asia

3. South Asia, 1000–1500

a. North India and Deccan

b. Bengal

c. South India

d. Ceylon

4. Southeast Asia, c. 900–1557

a. The Malay Archipelago and Peninsula

b. Mainland Southeast Asia

D. Africa, 500–1500

1. Historical Trends, 500–1000

2. Regions, 500–1000

a. Sudanic West and Central Africa

b. Forest West Africa

c. Northeast Africa (Horn)

d. East Africa

e. West Central Africa

f. Southern Africa

g. Madagascar

3. Historical Trends, 1000–1500

4. Regions, 1000–1500

a. Sudanic West and Central Africa

b. Forest West Africa

c. Northeast Africa (Horn)

d. East Africa

e. West Central Africa

f. Southern Africa

g. Madagascar

E. East Asia, to 1527

1. China, 589–960

a. Periodization and Events

b. Political, Social, and Cultural Patterns

2. China, 960–1521

a. Periodization and Events

b. Political, Social, and Cultural Patterns

c. The Mongol Period

d. The Early Ming

3. Korea, 540–918

4. Korea, 918–1392

a. Major Events

b. Political, Social, and Cultural Patterns

5. Japan, 552–1185

6. Japan, 1185–1493

a. General Characteristics

b. Major Events

7. Vietnam

a. Origins to 1009

b. 1009–1527, Independence and Its Defense

F. Europe, 461–1500

1. Western Europe in the Early Middle Ages, 461–1000

a. Conditions of Life

b. The Early Church

c. Invaders of the West

d. The Ostrogoths in Italy

e. The Frankish Kingdom



- [f. The Lombards and the Popes](#)
  - [g. The Empire of Charlemagne and Its Disintegration](#)
  - [h. The West Franks under the Carolingian Kings](#)
  - [i. Germany under the Carolingian and Saxon Emperors](#)
  - [j. Spain](#)
  - [k. The British Isles](#)
  - [l. Scandinavia](#)
- [2. Eastern Europe, 500–1025](#)
  - [a. The Byzantine Empire](#)
  - [b. The First Bulgarian Empire](#)
- [3. Western Europe and the Age of the Cathedrals, 1000–1300](#)
  - [a. Overview](#)
  - [b. The British Isles](#)
  - [c. France](#)
  - [d. Germany](#)
  - [e. Scandinavia](#)
  - [f. The Papacy and Italy](#)
  - [g. The Iberian Peninsula](#)
- [4. Eastern Europe, 1000–1300](#)
  - [a. The Slavs](#)
  - [b. Bohemia and Moravia](#)
  - [c. Poland](#)
  - [d. Kievan Russia](#)
  - [e. Hungary](#)
  - [f. Serbia](#)
  - [g. The Second Bulgarian Empire](#)
- [5. Christian States in the Eastern Mediterranean, 1000–1300](#)
  - [a. The Byzantine Empire](#)
  - [b. The Crusades](#)
  - [c. Latin and Greek States in the Middle East](#)
- [6. Western Europe, 1300–1500](#)
  - [a. Overview](#)

- [b. The British Isles](#)
- [c. France](#)
- [d. The Iberian Peninsula](#)
- [e. The Papacy and Italy](#)
- [f. The Holy Roman Empire](#)
- [g. Scandinavia](#)

[7. Eastern Europe, 1300–1500](#)

- [a. Poland](#)
- [b. Lithuania](#)
- [c. Russia](#)
- [d. Hungary](#)
- [e. The Serbian States](#)
- [f. The Byzantine Empire](#)

[G. The Americas, 1000–1525](#)

- [1. Pre-Columbian South and Central America and the Caribbean, 1200–1530](#)
- [2. Pre-Columbian Explorations by Europeans, 1200–1530](#)
- [3. The Voyages of Columbus, 1492–1504](#)
- [4. Post-Columbian Discoveries, 1497–1522](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **III. The Postclassical Period, 500–1500**

#### **A. Global and Comparative Dimensions**

##### **1. Periodization, 500–1000**

During the postclassical period, following the decline of the great classical empires of Asia and the Mediterranean, three major developments stand out in world history and the history of many individual societies: **the expansion of civilization to new areas**—in Asia, Africa, and Europe, this involved contact with and outreach from the older centers (China, India, the Middle East and North Africa, and Byzantium); **the spread of major world religions**, including the development of Islam, the most successful single religion during this period; and **the intensification of international contacts in the Eastern Hemisphere**. These themes were all established in the **first part of the postclassical period**, 500–1000. Changes in the Islamic world, the rise of new empires spreading from central Asia, new patterns of international contact (involving new policies in China and in Europe), and solidification of the major religions mark the **second phase of the postclassical period**, 1000–1500. In European history this period coincides with the Middle Ages (See [Europe, 461–1500](#)), and the resultant label “medieval” was formerly applied to world history more generally during the postclassical era. <sup>1</sup>

The regional civilizations of the Eastern Hemisphere were transformed in this period. The Eastern Hemisphere ecumene continued to expand through trade, the spread of religions, migrations of peoples, and conquests. In the Western Hemisphere, Mesoamerican and Andean civilizations emerged in a context of complex, nonurbanized societies. <sup>2</sup>

##### **a. Transformation of Regional Civilizations**

The major traditions of classical empires ended either through defeat and collapse or transformation. <sup>3</sup>

**CHINESE IMPERIAL EXPERIENCE.** The end of the **Han Empire** in 220 created an era of warfare among small rival states. This “period of the Six Dynasties” lasted until the reestablishment of imperial unity by the **SUI DYNASTY** (589–618) and the **TANG DYNASTY** (618–907) (See [618–907](#)). The new imperial system was more clearly based on the bureaucratic skills of the **scholar-gentry class**, with the aristocracy and military playing a less central role than in the classical system. This postclassical style of empire was confirmed by its continuation in the **SONG DYNASTY** in 960, following a time of instability after the fall of the Tang. 4

### 476–973

**POST-ROMAN WESTERN EUROPE.** When Roman rule collapsed in western Europe, a number of states were established by groups that had migrated into the region. The **Franks** (See [The Frankish Kingdom](#)), in the area of modern France and Germany, established a kingdom whose leader, Charles the Great, or **CHARLEMAGNE** (r. 768–814), was crowned **Holy Roman Emperor** by the pope in 800. The **Carolingian Empire** disintegrated, and the later efforts by a German king, **OTTO THE GREAT** (r. 936–73), also failed to reestablish regional imperial unity. The major sources of unity were the **ROMAN CATHOLIC CHURCH** and the teachings of **Latin Christianity**. 5

### 527–1025

**EASTERN ROMAN EMPIRE AND BYZANTIUM** (See [The Byzantine Empire](#)). Imperial rule continued in the eastern Roman Empire under the emperors in Constantinople. **JUSTINIAN** (r. 527–65) reconquered most of the Mediterranean areas of the Roman Empire (See [532](#)), but was unable to recreate broader Roman unity. The postclassical eastern Roman Empire gradually became a powerful **Greek imperial monarchy** known as the **BYZANTINE EMPIRE**, identified with the **ORTHODOX CHRISTIAN CHURCH**. Despite losses to invaders from central Eurasia in the north and to **Muslims**, it remained a major regional empire. The **MACEDONIAN DYNASTY** (867–1055) led a resurgence, but following the death of **Basil II** (1025), internal divisions and territorial losses reduced the empire to a minor state around Constantinople. 6

### 535–977

**POST-GUPTA INDIA.** The most successful effort to restore regional imperial unity in 7

India was made by **HARSHA** (r. 606–47) (See [606–47](#)). However, his empire collapsed at his death, and no later state assumed a dominant position until the end of the 10th century, when **Muslim military dynasties** from the northwest continued the Muslim conquest of India. **Hindu culture** provided the foundation for regional civilizational unity without political integration.

## 651–945

**EMERGENCE OF THE ISLAMIC MIDDLE EAST.** The rise of **ISLAM** (See [Continued Spread of Religions](#)) in the 7th century brought an end to the classical imperial systems of the Middle East. Islam was a continuation of **ethical monotheism** and is recorded as the revelation to the prophet **MUHAMMAD** (570–632). Muhammad's successors as leader of the Muslim community, called **caliphs**, conquered most of the Middle Eastern provinces of the Byzantine Empire in 634–43 and brought an end to the Sassanid Empire in 637. Civil wars brought the **UMAYYAD CALIPHATE** (661–750) and then the **ABBASID CALIPHATE** (750–1258) to power in an empire that initially continued classical Sassanid and eastern Roman structures. However, the Islamic world became a postclassical society unified by the faith and institutions of Islam. By the mid-10th century, the caliphate imperial structure was replaced by a new style of state based on commanders called **sultans** (See [Overview](#)), who initially gained titles and legitimacy by supporting the then-powerless caliphs.

8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. [Comparisons](#)**

In all regional civilizations, new structures emerged that were significantly different from the classical imperial societies. In China, India, and the western Roman Empire, imperial traditions were interrupted, and only in China was a restoration possible. However, in China the restored empire emerged in a postclassical form dominated by the scholar-gentry. In eastern Rome and the Middle East, there was continuity of imperial unity, but the basic nature of the imperial community was transformed. In all regional civilizations, the basis of identity shifted from imperial unity to community identified by religion or cultural worldview. <sup>1</sup>

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### c. [Interregional Relationships](#)

**MIGRATIONS.** In the Far Western region of the Eastern Hemisphere, the invasions of the **Huns** in the 4th century were followed by Germanic migrations and the arrival of additional peoples from the central Asian steppes, such as the **Avars** and **Bulgars** in the 6th and 7th centuries. Later invasions and migrations from **Scandinavia** laid the foundations for new states from the Volga River to England and Greenland. 1

On the frontiers of China, tribal federations continued to rise and fall, exhibiting increasing skill in managing large states. Some, like the **Khitans** (See [951–60](#)), who ruled much of Mongolia and Manchuria from 907 to 1123, integrated Chinese and nomadic elements. In central Asia, the **Uighars** became important in interregional trade and cross-cultural contacts. 2

**Turkish peoples** began to migrate into the Middle East during the Abbasid Caliphate; they became the dominant political and military force in a new-style Muslim society which was emerging by the 11th century. 3

**TRADE.** Commercial relations along the great **Silk Road** of Eurasia continued despite the rise and fall of imperial states. By 1000, Muslim traders, Indian merchants, and Chinese products and technologies were important elements in a growing hemispheric network. Maritime trade in the **Indian Ocean basin** and growing **trans-Saharan** trade in Africa, both dominated by Muslim merchants, opened vast regions to closer involvement in hemispheric networks. 4

#### **d. Continued Spread of Religions**

The communities identified by the major religions expanded far beyond the boundaries of the classical regional civilizations. <sup>1</sup>

**BUDDHISM** became firmly established in both the mainland and island societies of Southeast Asia, receiving support from rulers in **Srivijaya** on Sumatra, a major maritime power from the 7th to the 13th century. Central Asian societies, like that of the **Uighars**, also saw an increasing Buddhist influence. During the **SUI** and **TANG DYNASTIES** in China, Buddhism became a significant part of the broad synthesis of popular Chinese religion, enabling Buddhism to survive periods of official opposition (See [Political, Social, and Cultural Patterns](#)). In **JAPAN**, the emerging centralized monarchy in the 6th and 7th centuries supported Buddhism, which became an important part of Japanese life. <sup>2</sup>

**CHINESE WORLDVIEW** as a combination of cultural patterns, political concepts, and religion spread significantly in the postclassical era. Chinese interactions with central Asian societies continued, and peoples like the Khitans created effective political systems combining Chinese and local traditions. In **JAPAN** during the **Taika period** (645–710) (See [646–784](#)), major efforts were made to shape the developing centralized monarchy into one governed by a **Confucian**-style emperor. Aristocratic and warrior families and Buddhist leaders were able to limit the impact of Confucian political models, but the Chinese worldview in political, literary, and religious terms became a major component of Japanese society in the postclassical era. **KOREA** was unified as a centralized monarchy by the **Silla dynasty** (668–935) following Confucian models, and Korean society and culture became strongly **Sinified**. **VIETNAM** had been conquered by the **Han Empire** and later by the **Tang**. The **LE DYNASTY** (980–1009) (See [980](#)) brought independence, but the state was influenced by Chinese models, which provided a basis for expansion. Chinese commercial involvement in the whole Southeast Asian region as well as in central Asia in the postclassical era meant that Chinese influences on culture and worldview were very strong in a vast part of Asia. <sup>3</sup>

**CHRISTIANITY** spread significantly in the postclassical era. **CATHOLIC CHRISTIANITY** emerged as the major unifying force in western Europe after competition with other forms of Christianity, overcoming **Arian Christianity** among the <sup>4</sup>



Franks and **Celtic Christianity** in the British Isles in the 6th and 7th centuries. Spreading north and east, Catholic Christianity was adopted by rulers of **Bohemia** (9th century) and, in the 10th and 11th centuries, rulers in **Denmark, Norway, Sweden, Poland,** and **Hungary**. **ORTHODOX CHRISTIANITY** spread beyond the borders of the **Byzantine Empire**, with rulers of the **Bulgars** and early **Serbs** converting in the 9th and 10th centuries. The conversion of King **VLADIMIR I** (r. 980–1015) of Kiev (See [980–1015](#)) brought Russia into the Orthodox Christian world. **NESTORIAN CHRISTIANITY** (See [1315](#)) spread through a diaspora of traders and missionaries in central Asia and as far as China. It was an intellectual force in the ruling courts but did not succeed in winning mass support, and it lost many followers in the Middle East to **Islam** after the 7th century.

**ISLAM** was the major new religious force in the postclassical era. Although the Muslim community was identified in many ways with the **Umayyad** and **Abbasid** empires, social institutions of learned scholars, or *ulama*, and pious devotional teachers, as well as widely traveling Muslim merchants, provided vehicles for the expansion of Islam beyond the military boundaries of the Muslim Empires. By 1000, the majority of the populations throughout the Middle East were Muslims, having been converted by a long process of social and religious transformation (See [Overview](#)). Muslims represented diaspora communities of teachers, preachers, and merchants throughout Central, South, and Southeast Asia, as well as in many parts of Africa. 5

**ABSORBED WORLDVIEWS**. Some of the major classical worldviews ceased to have a separate existence by 1000 C.E., although they were still influential, as their major themes were absorbed into other religious traditions. **HELLENISM** disappeared as an independent worldview, but its concepts strongly influenced the development of **Judaism, Christianity,** and **Islam**. **ZOROASTRIANISM** all but disappeared following the end of the **Sassanid Empire**, but many of its major themes influenced Jewish, Christian, and Islamic thought. **MANICHAISM** declined after the fall of the classical empires (See [841–45](#)) but had some missionary success in central Asia and China, being declared the state religion for a time in the 8th century by the **Uighars**. Even though it disappeared as a separate religion, its concepts of conflict between good and evil shaped later thought, especially in Europe and the Middle East, and occasionally provided the foundations for counterestablishment religions. 6

## 1000

**RELIGIOUS CONTEXT**. The great **classical empires** had been replaced as the dominant features of the major societies in the Eastern Hemisphere by major interregional **religious communities**. In the Far West, there were the two emerging Christian worlds of **Catholic** and **Orthodox Christianity**; the **Islamic world** extended from Spain to central 7

Asia and south into Africa; in central and eastern Asia, **Buddhism**, either by itself or in conjunction with the **Confucian-based Chinese** worldview dominated the societies from Japan to Southeast Asia. **Hinduism** established itself as the culturally dominant force within the broad complexity of South Asian society.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### e. [The Global Picture](#)

The **EASTERN HEMISPHERE ECUMENE** expanded with continuing interaction between the great civilizations and the complex noncited societies. The distinction between the two types of societies and also among the civilizations became less clear as religions, trade, and the movements of people widened to create networks that included all but the most isolated societies of the Asian far north and African far south. The way was opened for expansion on a hemispheric and a global scale. 1

Entirely separate from the Eastern Hemisphere ecumene, **WESTERN HEMISPHERE** societies developed major temple-palace civilizations in the Mexican highlands around **Teotihuacán**, in the **MAYAN** areas of the Yucatán Peninsula, and in the Andes around great cities like **Tihuanaco**. These civilizations did not establish persistent dynamism or continuity over time, however, as they experienced significant eras of decline, followed by the emergence of new societies. By the year 1000, great “classical” periods in both Mesoamerica and the Andes had come to an end, and networks of smaller complex states existed. 2

**COMPLEX NONURBANIZED SOCIETIES** continued to develop in North America, building on the traditions of earlier mound builders. **HOPEWELL CULTURE** created large new centers in the Mississippi Valley (See [North American Chiefdoms](#)), like **Cahokia**, and in the southwestern desert areas, large settlements were built by such peoples as the **ANASAZI**. In the **PACIFIC OCEAN BASIN**, this was an era of movement for the **POLYNESIAN** peoples (See [The Pacific Islands in Pre-European Times](#)) who settled many of the islands and possibly facilitated interregional exchange of plants. 3

**LARGE INTERREGIONAL NETWORKS** in the Eastern Hemisphere and new contacts within the Western Hemisphere and in oceanic regions were developing by 1000, changing the picture of scattered but interacting separate societies and opening the way for the creation of even larger basic networks. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. The High Postclassical Period, 1000–1500

The emerging networks involved different types of interactions, ranging from the exchange of scientific ideas and commercial goods to religious conversions and military conquests. These laid the foundations for more global integration by 1500.

**Improvements in navigation** facilitated some expansions. They included the **magnetic compass**, in use on Chinese ships by 1100 and on Arab ships soon after; and development of more **accurate maps** by the Arabs.

### a. Major Interregional Expansions

**INTERREGIONAL EURASIAN EMPIRES.** Central Asian peoples created a series of great conquest empires. The **SELJUK SULTANATE** emerged as a part of the migrations of Turkish peoples into the Middle East. Seljuks conquered the eastern provinces of the **Abbasid Caliphate** in the 11th century, proclaiming themselves the protectors of the caliphs and **Sunni Islam**, and following their victory over the **Byzantine Empire** at Manzikert in 1071 (See [1071](#)), they took control of Anatolia. Although the extended Seljuk Sultanate lasted only from 1037 to 1092, Turkish soldiers became the ruling elite in many Muslim lands.

The **MONGOL EMPIRE** was the largest of the central Asian empires. It began with the conquests of **Chinggis Khan** (c. 1170–1227) (See [1206](#)), and by the time of his grandsons' rule, it had become a network of large states. One grandson, **KHUBILAI KHAN** (r. 1260–94), established the **Yuan dynasty**, which controlled China until 1368, although expeditions to conquer **Japan** (1274 and 1280), Vietnam, and Java failed. A second grandson, **HULEGU** (r. 1256–65), established the **ILKHAN EMPIRE** (1256–1335) in the Middle East (See [1265–1335](#)) and brought an end to the **Abbasid Caliphate** with the conquest of Baghdad in 1258. Mongol expansion was stopped in Syria in 1260 by **MAMLUKS** from Egypt. The central Asian territories were under the control of **Djagatai** (d. 1241) and were the basis for later Mongol-Turkish states. In the Far West, most Russian states, including **Kiev** and **Moscow**, came under the control of

the khans of the **GOLDEN HORDE**, whose descendants ruled parts of Russia until the 18th century. Invasions of Poland and Hungary brought devastation but no permanent occupation. The fact that Mongols did not rule the Ukraine and the Baltic regions encouraged those areas to distinguish themselves from Russia. The khans of the Golden Horde converted to **Islam** in 1257, and the Ilkhan ruler **Ghazan Khan** became Muslim in 1295. For almost two centuries, Mongol rulers provided a vast domain within which trade flourished and ideas and technologies were exchanged across much of Asia and Europe. However, Mongol leaders were unable to create effectively centralized control, and the Mongol world gradually disintegrated.

**TIMUR-I LANG** (r. 1360–1405) (See [1398–99](#)) (See [1405](#)) created the last great central Asian conquest empire, which controlled most of the territories of the **Ilkhans** and Djagatai's successors. However, the empire collapsed with his death.

4

## 1000–1400

**EARLY EUROPEAN EXPANSIONS.** The postclassical states in Europe attempted a number of interregional expansion efforts. (Irish monks had discovered Iceland in 790, and **Erik the Red** discovered Greenland in 981.) **SCANDINAVIANS** made some of the earliest efforts to expand, across the North Atlantic. Permanent settlements were established in Iceland, and by the 11th century communities were established for a time in Greenland and some people had traveled even farther west.

5

## 1000

Leif Ericsson driven off course to Newfoundland (which he called Vinland).

6

## 1003–6

**Thorfinn Karlsefni**, with three ships, explored parts of the North American coast. Contacts definitely continued until 1189, perhaps until 1347, by which point Greenland's settlements were in decline (See [Scandinavia](#)).

7

**TEUTONIC KNIGHTS**, a Christian military order, provided leadership for an eastward expansion of warriors and farmers, changing the character of northeast Europe.

8

**THE RECONQUISTA** (reconquest) (See [1212, July 16](#)) of the Iberian Peninsula by Christians from the Muslims increased in intensity by the 11th century, and continued until the final Muslim defeat in 1492.

9

**THE CRUSADES** (1095–1291) were the efforts led by the Catholic Church to take the Middle East (See [The Crusades](#))—especially the Holy Land and Jerusalem—from Muslims. Although western European knights ruled Jerusalem for almost a century, after a number of formally proclaimed Crusades, Crusader control in the Holy Land came to an end in the 13th century. The Crusades had an important impact in that they intensified commercial and cultural contacts, but they did not reflect any distinctive European power. 10

**Isolated efforts to explore the Atlantic** were launched from Portugal, Spain, and Italy. 1270: the Portuguese began to explore the west coast of Africa. 1291: the Vivaldo brothers from Genoa sailed into the Atlantic seeking a western route to “the Indies”; did not return. 1340–41: the Portuguese rediscovered the **Canary Islands** (assigned to Spain after conflicts, by **Treaty of Alcaçovas**, 1480). 1351: Genoese sailors may have reached the Azores. 1360s: regular expeditions from Barcelona were made along the northwest African coast. Technological limits prevented further activity until after 1430. Other contacts with Africa: papal representatives sent to Ethiopia, 1316; Ethiopian delegations visited Venice, beginning in 1402, to discuss alliance against Muslims. 11

## 1368–1500

**CHINESE EXPANSION.** The Yuan (Mongol) dynasty was defeated by an antiforeign revolution that established the **MING DYNASTY** (1368–1644). Early Ming rulers worked to reestablish Chinese dominance in the areas of long-standing Chinese interests and influence, such as Korea, Vietnam, Tibet, and central Asia. In addition, in 1405–33, Ming rulers sponsored a series of major commercial expeditions led by **CHENG HO (Zheng He)** (See [1405–33](#)). Great Chinese fleets sailed as far as East Africa and the Middle East, establishing the potential for regular, Chinese-dominated trade throughout the Indian Ocean. However, the emperor ordered the halt of the expeditions by 1433. Nonofficial Chinese merchant activity continued in Southeast Asia, where Chinese commercial communities became an important force. 12

## 1000–1500

**ISLAMIC EXPANSION** continued throughout the Eastern Hemisphere. **Turkish peoples and sultanates** were important vehicles for this expansion. Although the **Seljuk sultans** were defeated, other sultanates were established, creating a belt of states controlled by mercenary military establishments identified with Islam. The **OTTOMAN SULTANATE** (See [The Ottoman Empire](#)), established in the thirteenth century, gained control over most of northern Africa, the eastern Arab world, Anatolia, and much of the 13

Balkan Peninsula by the early 16th century. The Muslim Mongol rulers in Russia and Persia confirmed the military-style Muslim state in those regions, and the **DELHI SULTANATE** (1206–1526) (See [1206–66](#)) was the major Muslim state in India. Non-Turkish sultanates developed as combinations of Muslim and local monarchical traditions throughout Southeast Asia.

**WEST AFRICAN MUSLIM STATES** followed the pattern of combining Islamic and local traditions. Islamic expansion in the region was confirmed by a sequence of major states, beginning with the conversion of the rulers of **Ghana** in the 10th century (See [500–800](#)), followed by **MALI** in the 13th century. The next state in the sequence was the **SONGHAY EMPIRE** (emerging in the 14th century and ending in 1591), whose leaders took the title of *askia*, or military commander. 14

**EXPANSION THROUGH MISSIONARIES AND TRADERS.** The major means by which Islam expanded beyond the ruling elites in societies outside of the Middle East was through the activities of **merchants**, who carried their faith abroad, along with their products. From the South China Sea and the India Ocean basin to sub-Saharan Africa, merchants were often the first contact between local peoples and Islam. An important means for combining local and Islamic traditions was the development of **SUFISM**, the Islamic form of mystical piety (See [950–1300](#)). Sufism provided the basis for **brotherhoods** that combined popular piety with organizations for social cohesion. Sufi teachers were the major missionary force in the Islamic frontier areas. Great commercial cities on the East African coast, in central Asia, and on the islands of Southeast Asia became special centers for the popular expansion of Islam. 15

The Islamic world more than doubled in size between the 10th-century decline of the Abbasid Caliphate and the early 16th century. This was largely the result of the activities of Sufis, Muslim merchants, and sultans. 16

## 1400–1550

**LATER EUROPEAN EXPANSIONS.** By 1439 **Portugal controlled the Azores** and granted land to colonists; Spain soon did the same in the Madeiras and (1480) the Canaries (previously, the islands were inhabited by hunter-gatherers). Both countries imported European plants, weapons, and diseases, set up **sugar plantations** for exports to Europe, and brought in **slaves from northwestern Africa** as workers, foreshadowing later developments in the Americas. 17

Western European states began larger efforts at expansion in the 15th century. The new national monarchies of **PORTUGAL** and **SPAIN** played leading roles in supporting maritime expeditions for commercial and crusading purposes. **Developing European naval technologies**, utilizing rigid hulls and multiple masts with adjustable sails, made transoceanic travel possible in the Atlantic. Such ships were also able to carry cannons 18



to give them extra firepower. Contacts with Asia gave Europeans knowledge of the **compass** and explosive powder. Motivation for expansions included fear of the new Ottoman Empire and the resultant desire to find independent trade routes, and an unfavorable balance of trade with Asia.

**PORTUGAL** began a major program of oceanic exploration and trade under the leadership of **PRINCE HENRY THE NAVIGATOR** (1394–1460).

19

### Portuguese Exploration

1418–19 Exploration of Madeira Islands.

1427–31 Definitive discovery of Azores by Diogo de Sevilla.

1433 After ten-year effort, Portuguese ships rounded Cape Bojador; increased slave raiding.

1444 Nuño Tristram reached Senegal River.

1445 Dinís Dias rounded Cape Verde; increased trade, Portugal–West Africa.

1455–57 Alvise da Cadamosto, Venetian serving Prince Henry, explored Senegal and Gambia Rivers, discovered Cape Verde Islands.

1470–71 João de Santarem and Pedro Escobar reached Mina on Gold Coast, set up Portuguese trading station (fort, 1482).

1472 Expeditions passed equator; Fernando Po discovered island that bears his name.

1482–84 Diogo Cão reached Congo River.

1487 Portuguese King John sent overland expedition (Pedro da Covilhã) to India and east coast of Africa.

Portuguese ships gradually moved along the African coast, with **Bartolomeu Dias** reaching the Cape of Good Hope in 1487 and **VASCO DA GAMA** sailing around Africa and entering the Indian Ocean in 1497. **PEDRO CABRAL** touched Brazil en route to India (1500); **regular Portuguese trade** to India began. Da Gama attempted to close the Red Sea to Arab trade (1501). Almeida defeated Muslim Indian Ocean fleet (1509). Within the next half century, Portuguese commercial and military bases were established throughout the Indian Ocean basin and in the South China Sea, in **Goa** (1510; governorship of **Alfonso de Albuquerque**), in **Malacca** (1511), and in **Macao** by 1557. **Jorge Alvarez** first reached China in 1513. In 1542 **Antonio de Mota** first reached Japan, after being blown off course.

20

**SPAIN** began building a major global empire after emerging as a national monarchy through the union of Aragon and Castile, beginning in 1469, and the completion of the

21

**Reconquista** in 1492. In that year, **QUEEN ISABELLA** provided support for the expedition of **Christopher Columbus** (See [1492](#)), who hoped to find a westward route to eastern Asia. He landed in the islands of the Western Hemisphere, and his trips were followed by other expeditions that established Spanish control in Mesoamerican and South American areas outside of those claimed by Portugal. Spanish expeditions conquered and effectively brought an end to the regional civilizations of the Western Hemisphere. **Hernando Cortés** destroyed the **AZTEC EMPIRE** of Mexico in 1518–21, and **Francisco Pizarro** conquered the **INCA EMPIRE** in Peru in 1531–36.

**Further European expeditions** opened the way for travel between the Atlantic and Pacific Oceans, with **Vasco Núñez de Balboa** sighting the ocean to be called the Pacific in 1513 and **Ferdinand Magellan** organizing the fleet supported by Spain that in 1519–22 was the first to sail around the world (See [1519–22](#)).

22

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [Interregional Exchanges](#)

**COMMERCIAL AND MATERIAL. Expansion** efforts involved increasing interregional exchanges of goods. Traveling merchants were often a major vehicle for creating broad interregional networks. 1

**Trade routes** in the great overland and oceanic networks increased in importance. The **Silk Road** of central Eurasia flourished in the era of Mongol power, but gradually declined in importance as other routes developed and security became less reliable following the breakup of the Mongol Empire. **Indian Ocean trade** increased, first under the leadership of local groups from southern Arabia, India, and Southeast Asia, and then outside groups, such as the **Chinese**, became involved. A trade network was established linking East African commercial city-states with the Middle East, India, and emerging commercial centers like **Malacca** in Southeast Asia. At the beginning of the 16th century, the **Portuguese** were able to dominate this system and link it directly, rather than through Mediterranean intermediaries, with Europe. Products exchanged continued to include **spices** from Southeast Asia and other expensive goods, but bulk goods, like sugar and textiles, were increasingly involved. **Trans-Saharan** trade continued to flourish between the Mediterranean lands and central Africa, but this was increasingly superseded by the coastal trade that developed with the emergence of the city-states of East Africa and especially with **Portuguese** expansion in the 15th century. The **SLAVE TRADE** came to be a major element in this commercial network as trade in the Atlantic developed. 2

**BUBONIC PLAGUE**, or **Black Death**, spread interregionally along trade routes through the exchange of bulk goods like grains. It began in the 1320s in the Gobi Desert, from which it spread to China. It began moving west in 1339; hit the Middle East and North Africa in 1347–48; reached Sicily in 1347, France in 1348, and western Russia in 1351. Major population losses occurred in China, India, the Middle East, and Europe. 3

### 1000–1500

**TECHNOLOGICAL AND SCIENTIFIC EXCHANGES.** New technologies were 4

exchanged relatively rapidly as they developed in the major societies. The **MAGNETIC COMPASS** was developed in China and was adopted as a navigational tool by western Europeans. This and other developments in navigation transformed the nature of oceanic travel. **GUNPOWDER** was originally developed in China around 1000, but it had limited use there until **Mongols** began to use “bombs” in sieges and the **Ming** military developed some form of cannon. Other states developed artillery and hand-carried weapons to give them military firepower. Cannons helped to defeat castle-based nobility and, by 1500, the more successful centralized states were “**gunpowder empires**” (See [Global and Comparative Dimensions](#)). These included the Ottoman and emerging Russian Empires as well as the European monarchies.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Religious Context](#)

The interregional religious communities developed comprehensive articulations that became the standard for religious establishments in the regional civilizations. **NEO-CONFUCIANISM** in China, especially as presented in the writings of **Zhu Xi** (1130–1200) (See [Political, Social, and Cultural Patterns](#)), provided a comprehensive statement of the Confucian tradition that became basic for the scholar-gentry-dominated state. **CHRISTIAN SCHOLASTICISM** in western Europe was the product of a similar comprehensive definition by teachers like **Thomas Aquinas** (1225–74) (See [1270](#)), whose writings became fundamental for **Catholic Christianity**. **JUDAISM** received an influential and comprehensive presentation by **Maimonides**, or Moses ben Maimon (1135–1204). In **ISLAM**, a broad standard synthesis also emerged but was not as identified with a single person. In **SUNNI ISLAM**, four standard law schools developed, and **Sufism** was integrated into the broader canon by **al-Ghazali** (d. 1111) (See [1111](#)). In **HINDUISM**, teachers like **Sankara** (c. 800) and **Ramanuja** (1017–1137) created a comprehensive philosophical framework for the immense diversity of Hindu thought and practice. In this way, the major religious traditions experienced an important standardization and rearticulation of basic worldviews with roots in the earlier **Axial Age** (See [The Axial Period](#)). 1

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

### **d. [The Global Picture](#)**

Great interregional networks of trade, conquests, and exchanges of ideas blurred the boundaries between the major societies in the Eastern Hemisphere, and oceanic travel opened the way for a fully global network. In this emerging global network, as Europeans began to cross the Atlantic, the older temple-palace civilizations of the Western Hemisphere were destroyed. Although the nomadic peoples of central Eurasia played a significant role in hemispheric interactions, by 1500 they had become peripheral peoples with little ability to influence major developments. The emerging great powers were the monarchical states of western Europe and the bureaucratic gunpowder empires in the rest of the Eastern Hemisphere. (See [Global and Comparative Dimensions](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

(See [636–651](#))

## **B. The Middle East and North Africa, 500–1500**

### **1. The Rise and Expansion of Islam, 610–945**

#### **a. Overview**

In the early 7th century, Arab Muslim armies spread out from the Arabian Peninsula into the surrounding lands and, in a wave of expansion that lasted about a hundred years, conquered almost the entire Middle East and North Africa. The **Sassanian Empire** based in Iran and Iraq ceased to exist, while the **Byzantine Empire** to the west lost large territories around the Mediterranean basin, including Syria, Egypt, and North Africa (See [622–30](#)). The political map of the region was completely redrawn as a **new Islamic empire** established its dominion over lands stretching from Spain to central Asia. The conquerors were initially a small minority ruling a non-Muslim society, but they set in motion changes that in time reshaped the overall identity and fortunes of the region. <sup>1</sup>

The Arabs brought with them their newly founded faith of **Islam**. While they did not force conversion on the conquered population—mostly Christians, Jews, and Zoroastrians—the Muslims made the adoption of the new faith socially and economically advantageous. By the mid-10th century a sizable part of the population had converted, and while the region was not yet predominantly Muslim, **mass conversion** was well advanced, to be completed in the following three centuries or so. <sup>2</sup>

The **Arabic language**, which until the conquests was confined to Arabia, spread in the region together with Islam. In the lands from Iraq to Morocco the populations became essentially Arabic-speaking; other languages, such as **Greek, Aramaic, and Coptic**, steadily disappeared from common use, surviving mostly in liturgy and religious writings. In Iran, the **Persian language** held out against this process of Arabicization, but not without adopting the Arabic script and a vast vocabulary of Arabic words. <sup>3</sup>

The **Islamic religion** that arrived in the Middle East in the 7th century was rudimentary in form, consisting mostly of basic rituals, the divine revelation of the Qur'an, and the <sup>4</sup>

directives of the Prophet Muhammad. The period up to the mid-10th century marked the **formative stage** in which Islam elaborated its structures and established its **distinctive institutions**. Islamic law, theology, tradition, and mysticism took shape, to be developed to full maturity in the succeeding three or four centuries. A class of **Muslim religious leaders and scholars**, the *ulama*, emerged as the custodians and interpreters of the faith for the growing community. Their writings defined the terms of speculative thought and communal debate on the nature of Islam and its place in society.

During this formative phase, Islam, and **Arab-Islamic civilization** in general, were very much influenced by the Middle Eastern milieu in which they evolved. Greek philosophy and medicine, Iranian concepts of state, Byzantine administrative practice, Christian asceticism, Jewish and Zoroastrian codes of ritual purity, local architecture, cuisine, and popular lore—these and other elements of the **regional heritage** carried over into the Islamic period. Arab-Islamic civilization evolved as a synthesis of elements of different origins brought together in an original unity.

The **structure of politics** also underwent great changes. The Islamic empire was initially a unitary state ruled by a **caliph** and dominated by a **small Arab elite** that excluded non-Arab converts to Islam from an equal share in the benefits of power. By the mid-10th century the Abbasid Caliphate had been broken up into many virtually independent political entities. Struggles over succession gave rise to opposition and separatist movements, and to the greatest sectarian divide within Islam: that between **Sunnis** and **Shi'ites**. The Arabs lost their monopoly on power as the system was opened to all Muslims regardless of origin. The Abbasid caliphs became figureheads with little political authority, and the creation of an imperial **slave army** composed of imported Turks—an innovation of the period that remained a feature of Middle Eastern regimes until modern times—further transformed the political landscape, introducing a new power group that came to dominate the region's politics.

But while government became fragmented, the region evolved into a **thriving commonwealth**. A **single trading system** now linked the basins of the Mediterranean and the Indian Ocean. People, goods, and ideas moved freely within this vast sphere of interaction, relying on transport by water and caravans (**wheeled transport** having essentially disappeared in the region around the time of the Arab conquest, not to return until the 19th century). **Large cities**, foremost among them Baghdad, emerged as luxurious centers of culture, power, manufacturing, and consumption. In the agricultural countryside, where most of the population continued to live, a **“green revolution”** took place. **New crops**, including rice, sugarcane, cotton, oranges, and lemons, entered the region from China and India, and these, together with **new techniques** and investments in **irrigation**, improved both yields and diets. The **population** of the Middle East and North Africa may have experienced an **overall expansion** during the period, reaching a relatively high level of some 25 to 30 million in the 10th century.



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Muhammad and the Rise of Islam

On the eve of the rise of Islam, **Arabia** was a tribal, desert environment with no single political organization or faith. The majority of its inhabitants were **pastoral nomads** organized by tribe and clan, who fought with one another for access to precious resources such as water, herds, and land. Some Arabs were sedentary and farmed at oases, such as Yathrib, while at **Mecca** many of the inhabitants drew their livelihood from trade caravans between Yemen and Syria. 1

Around 100 B.C.E., the northern Arabs developed a new saddle that allowed them to gain greater **control over the camels** they rode. This breakthrough gave them the ability to use the camel for military purposes, which allowed them to control trade in Arabia and earn enough money from the transport and protection of goods to buy metal weapons. Although confined to a largely nomadic environment, many Arabs, especially those in the caravan trade, had **contact with the two major empires** to the north: the Byzantine Empire centered at Constantinople (324–1453) and the Zoroastrian Sassanian Empire (224–651), with its capital at Ctesiphon in Iraq. Both empires employed **Arab mercenaries** to protect their borders with Arabia. The Byzantines used the tribe of Ghassan, which converted to Christianity, while the Sassanians paid the Lakhmids, at al-Hira, for their military services. 2

Before the advent of Islam, most Arabs worshipped a variety of male and female deities. Only a minority, who were neither Christians nor Jews, were monotheists (*hanif*). Despite the vagaries of frequent feuds and raids (*ghazwa*), Arab tribes from surrounding areas journeyed to Mecca during truce months to worship at the **polytheist shrine of the Ka’ba**. The **tribe of Quraysh** in Mecca enjoyed special prestige as keepers of the Ka’ba, as well as political and economic prominence built on fortunes drawn from trade. 3

## 610

**FOUNDATION OF THE FAITH OF ISLAM.** The founder of Islam was **Muhammad ibn Abdallah**, a member of the tribe of Quraysh and the clan of Hashim who was born 4

in Mecca around the year 570. Orphaned at an early age, Muhammad found employment in the caravan company of a rich widow named **Khadija**, whom he later married. According to Islamic tradition, in 610 he received his first divine revelation. He was ordered to recite the words that the angel Gabriel conveyed to him in Arabic from Allah, the supreme and sole deity of the new faith of Islam. The **revelations** continued throughout his lifetime and formed the Qur'an ("recitation"), regarded by all Muslims as their divinely dictated scripture. As the Prophet of Allah, Muhammad's task, according to Muslims, was to deliver the final and perfect message from God to all humanity. Previous communications had been misunderstood or corrupted by the Jews and Christians. As the bearer of the true message, Muhammad was considered the "Seal of the Prophets," the last in a line of monotheistic messengers from Adam to Jesus.

The name of the religion, **Islam**, means submission to Allah, to be demonstrated by the **five pillars of the faith** defining the duties incumbent on all Muslims: *salat* (ritual prayer), *zakat* (almsgiving), *hajj* (the pilgrimage to Mecca), *sawm* (the fast during the month of Ramadan, when the Qur'an was first revealed), and the *shahada*, the recitation of faith that states, "There is no god but Allah, and Muhammad is His messenger."

The **Qur'an** consists of 114 chapters (*suras*) organized, after the first short opening chapter (the *fatiha*), from longest to shortest. Each chapter is divided into verses (*ayas*), the longest chapter containing 286. The text covers a multitude of themes, from descriptions of paradise and hell to social codes in matters of marriage and inheritance. The Qur'an was **not set down in writing** by the Prophet himself during his lifetime. He may have dictated parts of it to a secretary, but much of it remained scattered in written fragments and in the memory of men, not unusual in a society that favored oral tradition. The text was **collected and organized** in its definitive form around 644, some 12 years after the Prophet's death.

During Muhammad's lifetime and for many years to follow, the new faith remained rough and unformed. It took several centuries for Muslims to develop Islam's rich theological and legal traditions, including its elaborate code of laws (the *shari'a*).

## 613

**Muhammad began preaching Islam** publicly in Mecca. His early themes involved warnings about the end of the world and the Day of Judgment. Initially the Prophet met little opposition, because he was perceived as merely a poet or a soothsayer (*kahin*), but when he became insistent that there was only one god and that the Ka'ba must be reserved for Allah alone, **the response of the Meccans grew harsh**, even violent. They understood that Islam threatened their own beliefs, their prestige as the keepers of the sacred shrine, and the prominence of Mecca as a site for pilgrimage and trade. The earliest converts to Islam (*Muslims*) were members of Muhammad's family, young men

from weak Meccan clans, and outsiders, often of slave origin.

According to the Qur'an and later Islamic tradition, Muhammad made his famous **night journey and ascension to heaven** (*mi'raj*) during this period. The Prophet began his journey from Mecca or, according to many other traditions, from Jerusalem, on the winged mule named Buraq. He met the prophets who had preceded him, and in the highest level of heaven he appeared before the throne of Allah. 9

## 615

Emigration of a small group of Muslims to Ethiopia, in search of a new site in which to practice their faith peacefully. 10

## 619

Death of Abu Talib, Muhammad's uncle and chief protector in Mecca. Without Abu Talib's influence, life for Muhammad and his followers, a persecuted minority, became increasingly difficult. 11

Death of **Khadija bint Khuwaylid**, the first wife of Muhammad and the first convert to Islam. She supported Muhammad economically and stood by him when, as a prophet, he was reviled by the Meccans. Muhammad had remained in a monogamous union with Khadija, with whom he had many children. The only child to survive the Prophet was his daughter **Fatima** (d. 633), whose sons would play a major role in later Islamic history. None of Muhammad's sons by Khadija lived through infancy. 12

## 622, Sept

The *hijra*, or emigration, of Muhammad and his followers from Mecca to Medina. Forced to flee the threatening environment of Mecca, Muhammad was asked to arbitrate a bloody dispute between the rival Aws and Khazraj tribes at the oasis town of Yathrib, known thereafter simply as **Medina**, meaning “the city” (of the Prophet). He soon emerged as the local leader, establishing **the first Islamic theocratic community** (*umma*), with himself as both Prophet and political leader. 13

The Islamic polity at Medina included those Meccan Muslims who had followed the Prophet to Medina (*muhajirun*) and Medinan converts to Islam (*ansar*). Inhabitants of Medina who did not accept Muhammad as their spiritual leader acknowledged his political supremacy. These groups included three Medinan Jewish tribes (Banu 14

Qaynuqa', Banu al-Nadir, and Banu Qurayza) as well as non-Muslim Arabs. In an **effort to win the support of the Jews**, Muhammad initially incorporated Jewish observances, such as the fast of Yom Kippur, into Islamic ritual, and designated Jerusalem as the Muslim direction of prayer. The Jews, however, rejected Islam and opposed the Prophet's mission on religious grounds.

The *hijra* became the first year of **the Islamic calendar**, a lunar calendar of 354 days—twelve months of either 29 or 30 days. The Islamic calendar is not adjusted periodically to correspond with the seasons, and over time, religious holidays fall in all seasons of the solar year.

15

## 624

**The Battle of Badr.** The victory of a small Muslim force over more numerous troops protecting a Meccan caravan resulted in the strengthening of Muhammad's political and economic position. Many of those Medinans who doubted him (*munafiqun*) were silenced, and **the Jewish tribe of Banu Qaynuqa' was exiled.**

16

## 625, March

**The Battle of Uhud.** Meccan forces marched to the outskirts of Medina to take revenge for those slain at Badr, but the confrontation was inconclusive. The Jewish tribes avowed neutrality, but Muhammad accused the most wealthy of them, the **Banu al-Nadir**, of aiding the Meccans and expelled them from Medina.

17

## 627, March

**Battle of the Trench** (*al-Khandaq*). About 10,000 Meccan troops unsuccessfully besieged Medina. Muhammad and his 3,000 supporters dug a trench to prevent an attack on the city. The failure of the Meccans demonstrated that the Muslims of Medina had become a power to be reckoned with in western Arabia. After the battle, the Muslims accused the remaining Jewish tribe, the **Banu Qurayza**, of treason. The men were executed and the women and children sold into slavery. The Prophet now ruled a unified Medina and sought further influence among the tribes of western and northern Arabia.

18

## 628

**Treaty of Hdaybiyya.** The Meccans agreed to peace with Muhammad for ten years. 19

## 629

The Meccans vacated their city for three days to allow the Muslims to worship at the Ka'ba. All Muslims now focused on **Mecca as the direction of prayer** (*qibla*). 20

## 630, Jan

**Meccan capitulation to Muhammad.** The Muslims entered Mecca, cleared the Ka'ba of idols, and established the city as their religious center. Three weeks later the unified Muslim and Meccan forces defeated a confederation of beduin tribes from the nearby city of Ta'if, at the Battle of Hunayn. Muhammad's prestige was confirmed and the support of the Meccans cemented. 21

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Umayyad Caliphate](#)



#### [THE ARAB-MUSLIM EMPIRE 632 C.E.-750 C.E. \(MAP\)](#)

For a complete list of the [Umayyad caliphs](#), see [Appendix III](#).

1

#### 661–80

**MU'AWIYA I, THE FOUNDER OF THE UMAYYAD DYNASTY.** Mu'awiya established the first Arab-Islamic dynasty, with its **capital at Damascus**. He rested his state on the support of the **Arab tribes**, gathering around him a circle of tribal chieftains with whom he consulted regularly. While he ruled as a caliph, opponents defined his regime as a form of kingship (*mulk*), an un-Islamic departure from the precedent of the Rashidun caliphs.

2

Mu'awiya founded a **decentralized state** in which local governors, particularly in the most troublesome province of Iraq, were given free rein to collect taxes and punish rebels. The day-to-day administration of each province continued to be **run by Byzantine and Sassanid bureaucrats** who maintained pre-Islamic governmental divisions (*diwans*) and conducted official business in Greek and Pahlavi.

3

#### 667

Islamic forces crossed the Oxus River into central Asia, the northeastern boundary of the Islamic expansion.

4

#### 669

First Muslim attack on **Constantinople**.

5

### 670

The garrison city of **Qayrawan** in Tunisia was founded. It served as the base for the further expansion of Islam westward across North Africa.

6

### 671

Ziyad ibn Abihi, governor of Kufa, sent 50,000 troops to the Iranian oasis of Merv as part of a policy to **resettle Arabs** in the area. These soldiers eventually intermarried with the indigenous Zoroastrian-Iranian population, and their descendants played a major role in the 8th-century Abbasid revolution that overthrew the Umayyad dynasty.

7

### 672

The isle of **Rhodes** was taken by the Umayyads.

8

### 674

Arab forces captured **Crete**.

9

### 674–80

A series of unsuccessful campaigns against **Constantinople** (See [673–78](#)) as well as raids against **Armenia**.

10

### 680, Oct. 10

**Death of Husayn**, the son of Ali, grandson of the Prophet Muhammad and third leader (imam) of the Shi'ite Muslims. After Mu'awiya's death, Husayn had attempted to wrest political control from the Umayyad government. On his way to Kufa in search of

11



military support he and his followers were surrounded by Umayyad troops at Karbala and then killed after being deprived of water for days. The suffering and death of the Prophet Muhammad's grandson came eventually to be **commemorated by the Shi'ite community** as a martyrdom, in a yearly ritual of **communal mourning** (the *ashura*) held on the tenth day of the Islamic month of Muharram.

## 683

Umayyad forces reached **Tangier** and the Atlantic Ocean.

12

## 683–92

**SECOND CIVIL WAR.** The Umayyads put down several serious challenges to their rule, restoring their effective hold on power after almost a decade of rebellions. The most lengthy threat came from **Abdallah ibn al-Zubayr**, whose father, al-Zubayr, had risen against the fourth caliph, Ali, in 656. Ibn al-Zubayr demanded that the caliph be selected from among the tribe of Quraysh, not just the Umayyad clan. He claimed the office and raised a **revolt in Arabia and Iraq** that lasted till 692, when Umayyad forces killed him in Mecca.

13

Another challenge to the Umayyads came from the **Qays tribal confederation** based in northern Syria and Iraq. It threw its support behind Ibn al-Zubayr, but the **rival tribal confederation of Kalb** (based in southern Syria and Palestine) backed the Umayyads, and in a bloody battle in **Marj Rahit** (July 684) they defeated the Qaysis. The feud between the northern and southern tribal groups continued to fester, weakening the Umayyad base of political and military support.

14

In 685–87 the Umayyads also faced the revolt organized in Kufa by **al-Mukhtar** on behalf of **Muhammad ibn al-Hanafiyya**, a son of Ali by a concubine. The uprising tapped the support of the *mawali*, or non-Arab converts to Islam, who were emerging as an important social group with grievances against the regime for being treated as second-class Muslims and having to pay the taxes demanded of non-Muslims, despite their conversion. Al-Mukhtar proclaimed Ibn al-Hanafiyya as the Mahdi, the messianic redeemer who would come at the end of time to institute a reign of justice. (This was the first appearance of this idea, which became common in Islam, particularly in its Shi'ite forms.) The uprising was crushed in 687.

15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [The Abbasid Caliphate and Its Breakup](#)



### [MUHAMMAD AND THE DESCENT OF THE CALIPHAL DYNASTIES](#)

For a complete list of the [Abbasid caliphs](#), see *Appendix III*.

1

#### 749–54

**ABU AL-ABBAS AL-SAFFAH, FOUNDER OF THE ABBASID DYNASTY.** The first Abbasid ruler, a descendant of the Prophet's uncle al-Abbas, was proclaimed caliph publicly in the mosque in Kufa on Nov. 28, 749, just months before the forces of the Abbasid Revolution brought a final end to Umayyad rule. His regnal title, al-Saffah, “the Shedder of Blood,” announced his promise to avenge the Shi’ites and Abbasids killed by the Umayyads. He set up the **initial Abbasid capital at Kufa**.

2

#### 751

Abbasid forces triumphed over the **Chinese** at the **Battle of Talas** in central Asia (See [747](#)). Chinese papermakers were captured after this largely symbolic victory. **Paper manufacture** then spread westward throughout the Islamic world, and factories were founded in Baghdad (c. 800), Egypt (c. 900), Morocco (c. 1100), and Spain (c. 1150). The advent of readily available paper increased the rate of **manuscript production** throughout the Islamic world.

3

#### 754–75

**AL-MANSUR** consolidated Abbasid authority, turned the troops of Khurasan—the mainstay of his support—into a professional army, and created a highly **centralized bureaucracy** that employed many *mawali*. The opening of this new avenue of social mobility was one aspect of the general **improvement in the status of non-Arab converts** to Islam. The new policy speeded up the process of **conversion**, especially in Iran, where the estimated Muslim population increased from 8 percent in 750 to some 80 percent in 950. Some tensions remained between Arabs and Iranians, and they prompted a court-centered literary movement called the Shu'ubiyya, which championed the Persian language and Iranian cultural values above those of the Arabs. The pre-Islamic Iranian ideas promoted by the Shu'ubiyya shaped Arabic literature, Abbasid court ceremony, and notions of kingship and social hierarchy.

4

### 755

**Abu Muslim**, the former leader of the Abbasid Revolution in Khurasan, was killed by order of the caliph, who feared his power in the province.

5

### 755–56

**Revolt of Sunpadh** (Sinbad) in Khurasan. Sunpadh was a Zoroastrian who preached that Abu Muslim had not died, but would return again in the company of the Islamic Mahdi, or redeemer, to institute a reign of justice. He fomented rebellion in the cities of Nishapur, Rayy, and Qum.

6

### c. 757

Death of **Ibn al-Muqaffa**, a Zoroastrian convert to Islam who became a secretary in the Abbasid administration and translated many works from Pahlavi (Middle Persian) into Arabic, including the famous fables *Kalila wa Dimna*.

7

### 757–960

**THE MIDRARID DYNASTY.** Centered in Sijilmasa in Morocco, the dynasty was founded by **Midrar** (Sam'un ibn Yazlan), a Khariji Muslim and Zanata Berber from Meknes, after a revolt against the Abbasid governor of Qayrawan. The Midrarid state signaled that the egalitarian message of **Kharijism** continued to appeal to Berber groups

8

who resented Arab elitism and discrimination. The **capital of Sijilmasa** was founded during the reign of Abu Mansur al-Yasa (790–823), who consolidated the dynasty's territory. He married one of his sons to the neighboring Rustamid dynasty to ensure peaceful relations. Sijilmasa became a major point on the **gold trade route** with Sudan and attracted refugees from Muslim Spain (c. 818) as well as Jews interested in commercial opportunities. The Midrarids sided with the Umayyads of Spain, along with other Zanata Berber groups, but were vanquished by Fatimid forces in the 10th century.

## 758

Muslim armies destroyed parts of the Chinese city of **Canton**.

9

## 761–909

**THE RUSTAMID DYNASTY.** The second **Khariji state** in North Africa was founded by an Iranian Muslim named **Ibn Rustam**, who had come to North Africa to serve as the Abbasid governor of Qayrawan (758–61). He won Zanata Berber military backing and founded his own theocratic state, where he took the title of imam and ruled as both a spiritual and a political authority. The Rustamid state was significant as a center of Khariji scholarship and was a focus of allegiance for other Khariji communities scattered throughout North Africa. The **capital of Tahert** attracted many Khariji Muslims from Iraq and flourished as a northern point on the trans-Saharan trade route. The Rustamids failed to organize an effective army and lost Tahert to the Fatimids in 909. The survivors escaped to the southern oasis of Wargala. Kharijism has survived to the present day in the oasis of Mzab, on the island of Jerba, and in Jabal Nafusa.

10

## 762

**FOUNDATION OF BAGHDAD**, the new Abbasid capital, by al-Mansur. This first truly Islamic imperial city, situated 18 miles north of the Sassanian capital of Ctesiphon, was designed on a circular plan and was known as the City of Peace (Madinat al-Salam). Canals were dug to make the site accessible to both the Tigris and Euphrates rivers. Riverine access to Baghdad **attracted traders** from as far away as China, India, and northern Europe. By the 9th century, the city's population had reached more than 300,000.

11

Unsuccessful revolt of the Shi'ite **Muhammad ibn Abdallah**, known as the **Pure Soul** (al-Nafs al-Zakiyya), in Medina. His brother Ibrahim led an uprising in Iraq in Feb. 763 that briefly captured Basra and Wasit but was soon thereafter quashed by Abbasid troops. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **2. The Muslim Middle East and North Africa, c. 945–1500**

### **a. Overview**

Between the breakup of the Abbasid Empire in the 10th century and the restoration of an imperial hegemony under the Ottomans in the 16th century, the Middle East and North Africa lost any semblance of political unity. **Dozens of dynasties** ruling over parts of the region came and went, and the boundaries of states shifted endlessly. A broad political division emerged, however, among several territorial units: Iran and Iraq, Egypt and Syria, and North Africa. To these was added the area of **Anatolia** (Asia Minor), which first came under Muslim rule during this period; after being tied initially to the political destinies of Iran and Iraq, it developed into a distinct political entity that became linked, under the expanding Ottoman state, with the newly conquered Balkan lands. <sup>1</sup>

The Muslim advance into Anatolia and Europe brought a final end to the **Byzantine Empire**, for eight centuries a neighbor and adversary of the Muslim states in the eastern Mediterranean. In the western Mediterranean, however, Muslim states were on the defensive as the Christians reconquered all of **Spain** and established military outposts on the **North African coast**. <sup>2</sup>

The end of the Abbasid imperial order reduced the **caliphate in Baghdad** to little more than a symbolic presence; real power was vested in the institution of the **sultanate** and a new type of regime characteristic of the postimperial era. The bureaucratic, landowning, and merchant elites that had dominated the region gave way to **slave soldiers and tribal warriors**. Slave armies, composed most commonly of Turks, became the mainstay of dynasties everywhere; in Mamluk Egypt and Syria (1250–1517) the Turkish and Circassian slave soldiers even became the rulers in place of a dynastic order. From the 11th century, large-scale **migration of central Asian Turkish nomads** into the region overran large territories and brought to power Turkish tribal chieftains. In North Africa, **Berber tribal warriors** defeated Arab-dominated regimes and established new dynasties. <sup>3</sup>

In the midst of this political upheaval, the Middle East endured two major non-Muslim military invasions, by the **Crusaders** and the **Mongols**. The onslaught from the east was by far the more consequential for the region and caused unparalleled devastation. The Crusader presence, on the other hand, was more in the nature of a prolonged nuisance; it <sup>4</sup>

loomed large only in European annals. In the long term, neither invasion was able to reverse the Muslim hold on the region.

The long-term **social and economic effects** of these movements of tribes and armies across the region were felt most acutely in Iran, Iraq, and Anatolia. The influx of Turkish nomads made large tracts of agricultural land the **domain of pastoralists**. It also brought into the region a **new ethnic element**, one that became a formidable presence not only within the political elites. The economic fortune of the lands farther west, especially Egypt and Syria, was generally better, although the **Black Death** (See [Interregional Exchanges](#)) and the recurrent plague epidemics that followed it caused massive dislocations everywhere. The **population** appears to have suffered an **overall decline** during the period.

Despite the unsettled conditions and political fragmentation, this was a period of remarkable **cultural achievement**. A unity built on a universal religion and civilization took the place of political unity. The mass **conversion to Islam** was completed, and the population became almost solidly Muslim. And the faith itself reached maturity as an elaborate system of belief: **Islamic law** developed into a comprehensive code, with four recognized schools of interpretation; the *madrassa* came into being as the institution of advanced religious learning; **Sufism** developed organized orders and became integrated into Islamic thought and worship (See [950–1300](#)); the **Sunni-Shi'ite sectarian divide** became clearly defined; and a large body of distinguished writing gave definitive form to Islamic tradition and learning.

Impressive creativity also marked **secular fields of study**, ranging from astronomy and algebra to philosophy and history. The period produced some of the region's most celebrated Arabic, Persian, and Turkish **literary works**, and some of its finest **architectural and artistic creations**. While religious opinion had its quarrels with **philosophy**, Islam in general did not seriously oppose or stifle work in the physical and natural sciences, which remained productive into the 15th century.

In the sphere of high culture, as in politics and economics, men were dominant. The period reinforced an inherited social order based on the **superior rights and power of men**. Islamic law, more readily enforced in the cities, did provide **women** with rights to property, inheritance, and matrimonial support, and these helped them acquire leverage within their families. But in many respects the legal norms and social practice worked in men's favor. In both the city and the countryside, needy **women worked outdoors**, in menial and lowly professions. The **female seclusion** associated with Islamic society was an ideal achieved only in the better-off classes. Women's veiling, part of a code of female modesty and sexual segregation, was commonplace, particularly in the cities.



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

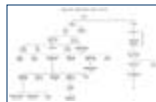
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[PREVIOUS](#)

[NEXT](#)

---

## b. [Iran, Iraq, and Anatolia](#)



### [SELJUK SULTANS \(1055-1194\)](#)

#### 945–1055

**THE BUYIDS (BUWAYHIDS).** The fall of Baghdad, as well as parts of Iraq and Iran, to the three conquering Buyid brothers established a new regime in the region. While maintaining the Abbasid caliphs as titular heads of state, the Buyids created a confederation of **several principalities** ruled by members of their family (based primarily in Baghdad, Shiraz, and Rayy). They revived some of the **Persian monarchical traditions**, including the Sassanian title of *shahanshah* (king of kings), held by the leading family member. Their ability to rule effectively in Baghdad was undermined in part by the poor state of the **Iraqi economy**, which could not adequately support their army (made up of Daylamites and Turkish slaves). After the death of their greatest ruler, Adud al-Dawla, in 983, the Buyids suffered from succession struggles, factionalism, and the loss of outlying territories. Rayy fell to the Ghaznavids in 1029, and the Seljuks brought an end to Buyid rule in Baghdad in 1055 and in Shiraz in 1062.

The Buyids had Shi'ite leanings, and it was during their period of rule that the **Sunni-Shi'ite divide** in Islam became fully established and Shi'ism developed its distinct sectarian character. Buyid officials intermittently patronized the Shi'ites in Baghdad and encouraged their developing into an armed political group that fought it out with Sunni groups. At the same time, Shi'ite scholars put Shi'ite *hadith*, law, and theology into written form, and new, typically **Shi'ite communal rituals** became established, notably the annual public mourning for the death of Husayn at Karbala (the *ashura*), the public cursing of the first two caliphs, and pilgrimages to the tombs of Ali's family. Largely in response to this Shi'ite sectarianism and its challenges, the **Sunnis** developed a conception of themselves as a distinct Muslim community. The Abbasid **caliph al-**

**Qadir** (991–1031) took the lead in asserting an explicitly Sunni position, one that upheld the legitimacy of all four of the first caliphs.

## 950

Death of **Abu Nasr Muhammad al-Farabi** (b. c. 870), one of the greatest Middle Eastern scholars and philosophers. He wrote extensively on logic, ethics, politics, grammar, mathematics, and music. Drawing on Aristotelian and Platonic thought, he gave primacy to **philosophy** as the path to divine truth, presenting religion as an approximation of the truth more suitable to the masses. His *Kitab al-musiqi al-kabir* (*Grand Book of Music*) remains one of the most comprehensive and systematic treatises on the **theory of Middle Eastern music**. It discusses the science of sound, intervals, tetrachords, instruments, and compositions, and outlines a lute fretting that incorporated two newly introduced neutral or microtonal intervals in addition to the basic diatonic arrangement of Pythagorean intervals.

3

## 950–1080

**Ascendancy of Kurdish dynasties.** Several Kurdish dynasties established states in the second half of the 10th century: the **Shaddadids** (c. 950) and the **Rawwadids** (later 10th century) in Azerbaijan, the **Hasanuyids** (c. 960) and **Annazids** (c. 990) in the central Zagros region, and the **Marwanids** (982) in southeastern Anatolia. Their regimes were set up in mountainous regions, relied on the military power of Kurdish tribesmen rather than slave soldiers, and worked with rudimentary administrative systems. Their rise reflected the general flourishing of **local autonomy** brought about by the breakup of the Abbasid Caliphate.

4

## 950–1100

Emergence of the Muslim religious college (*madrasa*). The *madrasa* had its origins probably in 10th-century Khurasan, from which it spread steadily throughout the region to become the standard Muslim institution of advanced religious and legal training. **Subjects** commonly taught in the *madrasas* included Islamic law, *hadith*, Qur'anic commentary, Arabic grammar, and theology. **Students** worked individually with teachers to acquire mastery of particular texts along with written certification of their authority to teach those texts to others. The colleges were set up as private **acts of charity** and were supported by endowed property (*waqf*), which paid the salaries of the

5

staff and stipends for students.

## 950–1250

**DEVELOPMENT OF ISLAMIC LAW.** The four major schools (*madhhabs*) of Islamic law—the Hanafi, Shafi’i, Maliki, and Hanbali—were established during the period as the only recognized interpretations; over time, a variety of other schools that had emerged disappeared from the scene. The differences among the four schools revolved around matters of detail rather than grand issues of principle.

6

**Legal scholarship** mushroomed as jurists codified rules and case materials, issued standardized legal manuals and collections of legal opinions (*fatawa*), and even created legal devices (*hiyal*) for getting around certain restrictive principles without violating the letter of the law. Islamic law, the *shari’a*, was regarded as immutable and, according to most jurists, no longer open to independent interpretation by scholars. In practice, however, judges and jurisconsults accommodated legal principles to custom and circumstance, and a great degree of **flexibility in the interpretation** and application of the law prevailed.

7

One of the striking developments of the period was the **fierce factional rivalry** among the schools of law. In the 11th and 12th centuries the schools evolved from scholarly groups committed to a shared legal doctrine into sectarian movements that cultivated mass followings and stirred popular passions. In Baghdad and eastern Iran there were struggles, including bloody street battles, between adherents of different schools competing for influence and patronage. This factionalism subsided after the 12th century, and affiliation with the legal schools ceased to be a source of intense contention.

8

## 950–1300

**THE DEVELOPMENT OF SUFI ORDERS AND THOUGHT.** From numerous loose associations of mystics led by independent masters, the Sufi movement matured during the period into a number of formally organized religious orders or brotherhoods (*tariqat*). Each order defined its own particular **doctrines**, modes of **worship**, and **initiation rites**, which it attributed to an originating master, after whom the order was usually named. The major orders, such as the Qadiriyya, Rifa’iyya, and Suhrawardiyya, grew beyond their local origins and became regional, establishing **chapters** whose members were all considered disciples of a common spiritual ancestor.

9

The Sufi orders varied widely in their practices and general outlook: some tended toward a **sober** pietistic and ascetic view consistent with the scripturalist conception of Islam; others promoted **ecstatic** practices, magical beliefs, and the veneration of saints. But

10

everywhere, Sufi lodges (*khanaqas*) became centers of prayer, instruction, and pilgrimage, and **worship at the tombs of saints** developed into a central feature of popular Islam.

Alongside the institutional development of Sufism came also the steady integration of its initially separate ways of thought and practice with mainstream Islamic belief and worship. Treating Sufism as a science, writers worked out a systematic body of thought that **integrated Sufism with law and theology** and helped to legitimize it as an acceptable path to Muslim spiritual fulfillment. Most noteworthy was the work of the great theologian **al-Ghazali** (d. 1111), who developed a definitive conception of Islam that brought together law and Sufism as compatible and complementary aspects of the faith. 11

## 967

The death in Baghdad of **Abu al-Faraj Ali al-Isfahani** (b. 897), the poet and socialite famous for his monumental *Kitab al-aghani* (*Book of Songs*). The work compiled an immense corpus of songs, anecdotal material, and popular lore; it forms an unequalled treasure of information on the culture, musical life, and social history of early Islamic society. 12

## 977–97

**SEBUKTIGIN, FOUNDER OF THE GHAZNAVID DYNASTY.** A Turkish slave general in the service of the Samanids, Sebuktigin established a state with its capital at **Ghazna**, south of Kabul in Afghanistan (then on the remote fringes of the Islamic world). He actually built on the base prepared by his commander, **Alptigin**, who had set up an autonomous city-state in Ghazna in 961. The Ghaznavid regime was rather decentralized, relying on the services of **slave soldiers** paid by way of grants of tax revenue from land (known as *iqta'*). The regime proclaimed its allegiance to the Abbasid Caliphate and cultivated Islamic learning and Persian literature. The dynasty lasted until 1186, and at its height (under Sebuktigin's son Mahmud, 998–1030) it ruled Afghanistan, Khurasan, Khwarazm, and northern India.990–1096. **Uqaylid rule in Mosul.** The Buyids took the region of Mosul from the Hamdanids in 979, but in 990 the Uqayli Arab tribe established itself there, after a short-lived attempt by the Hamdanids to restore their rule. The Uqaylid dynasty, which held Mosul until 1096, is usually said to have been Shi'ite, although the evidence of its religious leanings appears inconclusive. 13

## 995

Death of **Ibn al-Nadim**, a librarian whose *Fihrist (Catalogue)* was an annotated bibliography of all the works of Arabic literature available at the time, including many now lost. 14

Death of **Abu Ali al-Tanukhi**, a judge in Buyid service and author of a book of anecdotes (*Nishwar al-muhadara*) that throws light on the social life of his time. 15

## c. 998

**Ali ibn Mazyad**, leader of the Arab tribe of Banu Asad, established a virtually independent **Mazyadid state** in the **Kufa** area south of Baghdad. Backed by a powerful tribal army, the Mazyadids enjoyed great influence in the area for a century and a half. They acquired titles and subsidies from the Buyids in return for military services. Their most lasting achievement was the founding of the city of **Hilla**, which became their capital. 16

## 998–1030

**MAHMUD OF GHAZNA**. The Ghaznavid state based in Afghanistan reached the height of its power under Mahmud, who ranked among the great Middle Eastern leaders of his time. He distinguished himself with his extensive **military conquests**, his **patronage** of literary talents (including Firdawsi), and his fervent **championship of Sunnism** in an age of Shi'ite victories. He annexed **Khurasan** from the Samanids in 999, took the region of **Rayy** in western Iran from the Buyids in 1029, and occupied parts of northern India. But within ten years of his death the Ghaznavids lost his Iranian acquisitions to the Seljuks. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

### c. [The Mongol Empire and Its Successors](#)

#### 1258–60

Mongol forces brought territories in **Iraq and Anatolia** under Hulegu's rule, but failed to hold on to **Syria**, where they suffered defeat by the Mamluks (See [1260](#)). 1

#### c. 1260

The **principality of Karaman** in the foothills of the Taurus Mountains was founded by the Turkoman leader Karaman ibn Musa. It emerged as a formidable power in **central Anatolia** and a rival to the Ottomans until its annexation by them in 1468. 2

#### 1261

**Menteshe Bey**, a Turkoman leader, launched the conquest of Byzantine ports and lands in western Anatolia, establishing the **principality of Menteshe** in the area. It survived until its absorption by the Ottomans in 1390. 3

#### 1265–1335

**THE ILKHANID STATE AFTER HULEGU.** Hulegu succeeded in creating an extensive Middle Eastern empire that included Iran, Iraq, and much of Anatolia. His descendants, who held the title of *il Khan* (viceroy), ruled the empire as a unified state until 1335, after which it **disintegrated** into rival provincial regimes. The capital was set up initially at **Maragha** in Azerbaijan, but it was moved by Ilkhan Abaqa (1265–82) to **Tabriz**, and then by Oljeitu (1304–16) southeast to **Sultaniyya**. 4

The **Ilkhanids** relied on the existing **Iranian bureaucracy** to handle their administrative 5

and financial affairs. Iranian Muslims served commonly as their chief ministers, the most famous of whom was **Rashid al-Din** (1247–1318). At least in the first three decades after Hulegu, their main aim was to extract as much revenue as possible from the population, which suffered **enormous tax demands**. During that period the Mongols were **pagan or Buddhist** in their religious inclinations, and freed their non-Muslim subjects from their previous social restrictions and tax burdens. The rule of **Ghazan** (1295–1304), who converted to Islam, marked an important shift in Ilkhanid policies, both fiscal and religious.

The Mongol period was of cataclysmic consequences for the region. In addition to the **unparalleled massacre and destruction**—described by Muslim chroniclers as a holocaust—the Mongol invasions caused **lasting demographic and economic changes**. Large numbers of Turks settled permanently in Iran, establishing a formidable Turkish presence in the country, especially in the northwestern region of Azerbaijan. The nomadic influx also turned extensive lands from agricultural to pastoral use and brought a long-term shift in the area's economic balance.

### 1273

Death of **Jalal al-Din Rumi**, perhaps the greatest of the Persian mystical poets. Born in Balkh in 1207, he fled west from the advancing Mongol hordes and finally settled in **Konya**. His large collection of impassioned lyrical works (among them the celebrated *Mathnavi*) explores the spiritual paths to the identification of the human self with the divine being, blending mystical sentiment with amorous feelings. He became the patron saint of the **Mevlevi Sufi order**, whose ceremonies incorporated music and whirling dances in special dress (from which came their common description as “whirling dervishes”). The order spread from its headquarters in Konya to other cities, and won adherents among the Ottoman elite and the patronage of Ottoman sultans.

### 1274

Death of **Nasir al-Din Tusi**, a prominent Shi'ite theologian famous for his work in **astronomy**. He was high in the counsels of Hulegu, who built for him an **observatory in Maragha** that produced important findings. **Qutb al-Din Shirazi** (d. 1131), another distinguished astronomer, collaborated with Tusi in his scientific research.

### c. 1283



The **principality of Germiyan** was founded in western Anatolia, with its capital in Kutahya. It was one of the leading Turkoman principalities on the Byzantine frontier, and was annexed by the Ottomans in 1389–90. 9

## 1291

**Anti-Jewish riots in Iraq and Iran.** The chief minister of the state, the Jewish scholar and physician Sa'd al-Dawla, was murdered along with his Jewish associates, and a widespread purge removed numerous Jewish officials who had entered the service of the Mongol administration. This marked the end of three decades of unusual opportunity and freedom enjoyed by the Jews during the non-Muslim phase of Ilkhanid rule. 10

## 1292

Death of **Sa'di**, among the giants of Persian prose and lyric poetry. His *Gulistan*, a volume of practical wisdom and wit, ranks among the finest works of Persian classical literature. 11

## 1294

The Ilkhanids introduced **paper money** in an attempt to deal with the bankruptcy of the treasury. The paper certificates, which followed Chinese models, brought all business to a standstill and had to be withdrawn. 12

Death of **Safi al-Din al-Urmawi** (b. 1216), an accomplished Baghdadi musician and author of an important treatise on musical theory (*al-Adwar*). His detailed analysis of melodic modes and scale intervals had a profound influence on later writers and on the musical systems of Iran and Turkey. 13

## 1295–1304

**RULE OF THE ILKHAN GHAZAN.** Breaking away from the pagan or Buddhist affiliations of his predecessors, Ghazan **embraced Islam** and instituted it as the religion of the state. Buddhist temples were destroyed and the traditional restrictions on Christians and Jews restored. The conversion of the Mongols contributed to their gradual **assimilation** into local society. With the aid of his able minister Rashid al-Din, Ghazan also attempted to correct the damage caused by decades of Mongol misgovernment and 14

exploitation of the population. He instituted **reforms** to regulate taxation, improve security in the countryside, encourage recultivation, and correct disorder in the military and administration. It is not clear to what degree his program was actually implemented, although the new official orientation probably improved efficiency and the overall treatment of the population.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### d. [The Ottoman Empire](#)



##### [EXPANSION OF THE OTTOMAN EMPIRE \(MAP\)](#)

The story of the Ottoman Empire has its beginning around the turn of the 14th century, in a corner of **northwestern Anatolia** where a group of Muslim Turkish tribesmen led by their chieftain, **Osman**, started to expand beyond their small principality on the Byzantine frontier. Their territorial base eventually grew into a great world empire that was named after Osman and was ruled by his descendants in unbroken succession throughout its nearly six and a half centuries of history. 1

When the Ottomans emerged on the scene as a political force, Anatolia was divided into a number of **principalities** (*beyliks*) ruled largely by Turkoman chieftains and families. The population was a mix of Muslims and native Christians, many of whom were converting to Islam. This situation was the outcome of a long process, beginning in the 11th century, by which Muslims, primarily western (Oghuz) Turks originating in central Asia, steadily broke through the Byzantine defenses and conquered Anatolia. New waves of Turkish and Muslim refugees fleeing from the Mongols entered Anatolia in the 13th century. 2

Information on the **early Ottomans** remains very patchy, and **legends** woven around their origins and exploits further complicate the task of reconstructing their formative years. Ottoman chroniclers portrayed them as Muslim *ghazis*, or **holy warriors**, driven to conquest and expansion by their religious zeal for the struggle against the infidel. This view, which modern scholarship has often perpetuated, appears to have been very much an **idealization** created by later writers and servants of the royal house. In reality the early Ottomans, like other Turkish nomads in the milieu of western Anatolia, conquered land and engaged in predation to meet the **economic needs** of their pastoral society rather than as part of a strictly religious campaign. They expanded at the expense of fellow Muslims, did not force conversion on the conquered Christian peoples, and maintained friendly ties with the Byzantine population, even using Christians in their 3

armies.

The early Ottomans were **nomadic pastoralists** with an elected chieftain and an armed force made up of bands of tribesmen on horseback. But as the territory under their rule expanded and the tasks of governing and fighting became more complicated, their tribal organization was transformed into a **settled state**. In the course of the 14th century, they developed a standing army and a bureaucracy, shifted from pastoral life to agriculture, and transformed their chieftains into sultans who ruled as despotic monarchs. The result was a complex imperial system fashioned from a blend of Islamic, Turko-Mongol, and Byzantine institutions.

4

## 1. From Frontier Principality to Regional Power c. 1280–c. 1324

**OSMAN I, FOUNDER OF THE OTTOMAN DYNASTY.** Although the chronology of his activities before 1302 cannot be established accurately, Osman appears to have been **elected chieftain** by his tribesmen sometime around 1280, and to have led their seasonal migrations and predatory raids from their pasture areas around Dorylaeum (Eskishehir) in **northwestern Anatolia**. He took advantage of the weakness of the Byzantines by launching attacks against their frontier settlements. His territorial base expanded steadily, especially in the fertile plains of Bithynia, and many native Christians became subject to his authority and even entered his service.

5

### 1302, July 27

**Battle of Bapheus**, outside Nicomedia, in which Osman defeated a Byzantine force and strengthened his standing as a recognized local leader. In the following years his forces were able to capture small forts in the area, although the larger cities, too heavily fortified for the light arms of the Ottomans, held out for a while.

6

### c. 1324–62

**ORHAN**, Osman's son, continued the policy of **territorial expansion**, conquering virtually all of northwestern Anatolia and establishing a **foothold in Europe**. Cities and agricultural populations came under his family's control, and the frontier principality developed more fully into a **settled state** as well as a formidable player in the region's affairs. The **title of sultan** first appeared on coins minted by Orhan.

7

### 1326, Apr. 6

**Fall of Bursa** to the Ottomans, after a lengthy siege. Orhan made the city his capital. 8

### 1327, May 13

Ottoman conquest of **Lopadion (Ulubad)**. 9

### 1329, June 10

**Battle of Pelekanon**, in which Orhan defeated a Byzantine expedition personally commanded by the emperor Andronicus III. The Byzantines abandoned further efforts to organize resistance to the Ottomans in Anatolia or to supply the remaining Byzantine cities there. 10

### 1331, Mar. 2

Ottoman conquest of **Nicaea (Iznik)**. The first Ottoman *medrese*, or Muslim religious college, was created in the city that year, using a converted church building. 11

### 1337

Ottoman conquest of **Nicomedia (Izmit)**. 12

### 1345

The Ottomans absorbed the neighboring Turkoman principality of **Karasi**, which brought them to the southern shores of the Dardanelles. They first **crossed into Europe** that year at the request of John Cantacuzenos, a claimant to the Byzantine throne who solicited their military assistance in his struggle for power. Orhan helped him take the towns along the Black Sea, and to cement the political alliance was given Cantacuzenos's daughter Theodora in marriage. From that point on, Ottoman troops 13

moved back and forth across the straits.

## 1354

Ottoman conquest of **Gallipoli**, after the establishment of a bridgehead on the peninsula (in Tzyppe) in 1352. From this European base, troops led by Orhan's sons Suleyman and Murad began to launch raids northward into **Thrace** and to expand the area of Ottoman occupation. The Ottomans lost Gallipoli in 1366, but in 1376 the Byzantine emperor ceded it to the sultan by way of tribute. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Egypt and Syria](#)

### 935–69

The **IKHSHIDID DYNASTY** in Egypt and southern Syria. The first of this line was **Muhammad ibn Tughj**, later known as the **Ikhshid** (r. 935–46); he arrived in Fustat in 935 as the new Abbasid governor. His outstanding accomplishments were the **defense of Egypt** against Fatimid raids and the **reorganization of the government**. Under the Ikhshidids, Egypt continued its reemergence, begun during the Tulunid period, as a political and economic center. Ties with the caliphal government in Baghdad were slowly loosening, allowing the Egyptian administration to retain more of the country's revenue, build a large army, and assume a **more independent role** in regional affairs. After the Hamdanid takeover of Aleppo in 945, the Ikhshidids retained a hold on the areas of Damascus and Palestine. <sup>1</sup>

### 945–67

Reign of **SAYF AL-DAWLA**, emir of Aleppo and founder of the Syrian branch of the **HAMDANID DYNASTY**. At the time of his ascent to power, the city had nominally been under the rule of the Ikhshidids, based in Egypt. Formerly the commander of Hamdanid forces in Iraq, he was able to seize Aleppo for himself, thanks to support from the **Banu Kilab**, a local beduin tribe. The emirate of Aleppo, which embraced most of central and northern Syria, including Homs, functioned as a **buffer state** between the Ikhshidids, the Byzantine Empire, and the Iraqi states. During the final years of Sayf al-Dawla's reign, the Byzantines put increasing pressure on his state and occupied its northern and western provinces. The **conflict with Byzantium** conferred on Sayf al-Dawla a reputation as a Muslim crusader, a noble image that court poets such as al-Mutanabbi and Abu al-Firas helped to perpetuate. <sup>2</sup>

Death of **Abu al-Tayyib AL-MUTANABBI** (b. 915), the most honored poet of medieval Arabic literature. He was most renowned for his panegyrics and masterful manipulation of language. He spent a good part of his career at the court of the Syrian ruler Sayf al-Dawla, whose exploits he immortalized in his poetry.

3

## 969–1171

The **FATIMID DYNASTY** in Egypt. The Fatimids, who had already established an empire in North Africa, moved their base of operations to Egypt, which they invaded in 969. The dynasty was the chief exponent of a radical religious movement, the **Isma'ili sect** of Shi'ite Islam. The Fatimids denied the legitimacy of the Abbasid caliphate and sought to install themselves as the spiritual and temporal leaders of the Islamic world. But their **bid to overthrow Abbasid power** ended in failure, despite the **extensive proselytizing** that their Isma'ili missionaries conducted throughout the Islamic world. Their spiritual authority remained circumscribed even in Egypt, where Shi'ite Islam was confined largely to the ruling elites.

4

At its greatest extent, the Fatimid Empire embraced Egypt, North Africa, the Hijaz, and much of Syria. But North Africa gradually slipped away, and control of the remaining provinces was always infirm. On the whole, the Fatimid period was remembered as a time of **general prosperity**. Agriculture flourished, and Fatimid commercial policy succeeded in diverting the lucrative **spice trade** from the Persian Gulf to the Red Sea.

5

During the 11th century, various **military cliques** progressively usurped the caliphs' powers and reduced them to mere figureheads. By the middle of the 12th century, the Fatimid government had become so decrepit that it functioned as little more than a pawn in the power struggle that was then taking place in Syria.

6

## 969

The **FOUNDING OF CAIRO** under orders from the Fatimid conquerors of Egypt. The new city replaced adjacent **Fustat** (three miles south of Cairo) as the capital, a rank it has held into modern times. But during most of the Fatimid era, Fustat remained the center of commerce, industry, and population.

7

## 969



**Byzantine capture of Antioch** and the coastal lands of northern Syria (See [964–68](#)), which remained in Christian hands until 1084. The **Hamdanid emirate of Aleppo** shrank to the city and its hinterland and became, in effect, a **Byzantine satellite** during the late 10th century. Riven by internal rivalries, the Hamdanids of Syria grew ever weaker until their line finally ended in 1016.

8

## 971

Opening of **AL-AZHAR** Mosque. It operated originally as a center for **Shi'ite propaganda**. After the fall of the Fatimids (1171), it was transformed into the **premier Sunni religious college** in the **Muslim world**.

9

## 978

**Fatimid victory in Palestine** over Turkish and **Qaramita** forces, which had seized control of southern Syria after the fall of the Ikhshidids. As a result the **Fatimids were able**, at least for a short time, **to gain control of southern Syria**, and the Qaramita were permanently cleared from Syria and its commercial routes. Equally significant was the **introduction of Turkish slave recruits** (mamluks or *ghilman*) into the Fatimid military and administration. The government in Egypt relied increasingly on slaves to serve as officials and troops. The Turkish presence among the elites, together with an influx of Iraqi bureaucrats and soldiers, served as a counterweight to North African contingents, which had formerly been dominant in the Fatimid state.

10

## 996–1021

Rule of the **Fatimid caliph al-Hakim**, who vanished at the end of his reign. Al-Hakim is remembered for his **eccentric** and cruel behavior, repudiation of orthodox Islam, and persecution of non-Muslim subjects. His most devoted followers declared him to be an incarnation of God. After his mysterious disappearance (he was probably murdered), his followers formed their own **sect of Islam** and became known as the **DRUZE**. One of the chief missionaries of the radical doctrines was **Hamza ibn Ahmad**, who established the Druze in Syria, where they live to this day.

11

## 1023–79

The **MIRDASID DYNASTY** in Aleppo. The Mirdasids were a prominent family from among the **Banu Kilab**, the most powerful tribe in the northern Syrian Desert. Backed by their fellow tribesmen and Fatimid allies, the Mirdasids overcame the successors of the Hamdanid dynasty (the general Lu'lu' and his Turkish troops), who had received unavailing support from the Byzantines. The state that the Mirdasids carved out for themselves occupied a territory not much larger than Aleppo and its extended hinterland. The Mirdasid regime owed its survival largely to **skillful diplomacy**, balancing Fatimid and Byzantine interests on the international scene and tribal and urban factions locally. For the people of Aleppo, the reign of the Mirdasids was remembered as a **period of general prosperity**. The Mirdasids were ousted from Aleppo only after the rise of the Seljuk Turks, who disrupted the fragile diplomatic equilibrium that had been maintained in Syria for more than half a century.

12

## 1057

Death of **Abu al-'Ala' al-Ma'arri**, one of the most famous poets of medieval Arabic literature. He was noted for his ornate imagery, mastery of rhetoric, and highly refined verse. In tone, his poetry displayed an open irreverence and contempt for orthodox religion.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [North Africa](#)

### 943–47

The **great revolt of Abu Yazid**, a Khariji leader who assembled a **large tribal coalition against Fatimid rule**. The movement nearly toppled the Fatimids before it was finally suppressed. The difficulties of the Fatimids in restoring their authority revealed the shallow base of the regime in North Africa. In 972 they relocated their capital to Egypt and gradually relinquished their North African possessions to the Zirids, who originally operated as their governors. <sup>1</sup>

### 951

The **Fatimids** persuaded the **Qarmatis** (Qaramitas) to return to Mecca the **Black Stone of the Ka'ba**, which they had earlier stolen. The success of Fatimid diplomacy raised their prestige throughout the Islamic world. <sup>2</sup>

### 958–60

The **Fatimids** temporarily secured Morocco against **Umayyad** influence. Their victory on the western front allowed them later to resume their dynastic ambition of conquering Egypt. Earlier raids had been turned back (913–15, 920, and 935). <sup>3</sup>

### 972–1148

The **ZIRID DYNASTY**, which ruled Tunisia and eastern Algeria. The Zirids were originally appointed as governors of the North African provinces within the Fatimid Empire. They gradually **broke away from the Fatimids**, who adhered to Shi'ite Islam, and restored Sunni doctrine as the official religion of the state. Their public **conversion** <sup>4</sup>

**to Sunnism** occurred sometime during the 1040s (probably 1044). A simultaneous development was the growing predominance of the **Maliki school** of Islamic law and the rapid spread of **Sufism** among all sections of the population.

### 973

The **Umayyad invasion of Morocco** from Spain decisively ended the Umayyad-Fatimid struggle over the country that had begun in the first decade of the 10th century. The Umayyad forces succeeded in establishing indirect control through local allies, until they were overcome by the **Almoravids** in the late 11th century. Among local factions, the most powerful was the **Zanata** tribe, operating primarily in the northeast. 5

### 981

Death of **Ibn al-Tabban** (b. 923), a renowned scholar and polymath. Among the fields treated in his writings were Islamic law, philology, medicine, astronomy, and mathematics. 6

### 1012

Death of **al-Qabisi** (b. 935), a noted Muslim theologian and mystic who advocated a highly ascetic version of Islam. 7

### 1015–1152

The **HAMMADID DYNASTY**, which governed much of central and eastern Algeria. The dynasty was founded by a revolt of the Banu Hammad (1015) under the leadership of the Zirid governor of eastern Algeria. 8

### 1016–17

**Widespread rioting in Tunisia** by Sunni agitators demonstrating against the position of **Shi'ite Islam** as the official religion of the state. The clashes developed out of social tensions pitting the Shi'ite ruling elites against the largely Sunni urban populations. 9

## 1051–57

**Invasion of Tunisia and Algeria by the Banu Hilal and Banu Sulaym**, warlike Arab tribes that had migrated to Egypt in the 8th century. They were encouraged by the **Fatimid** rulers of Egypt to move to the dynasty's former North African provinces, which were “granted” to them. As they moved westward, the **Banu Sulaym** stopped early and settled in Cyrenaica. The **Banu Hilal** pushed on to Tunisia and eastern Algeria, where they seized most of Zirid and Hammadid territory during the 1050s. 10

For Tunisia, one of the principal consequences of the tribal invasion was the **spread of the Arabic language** to large parts of the countryside, where, unlike in the towns, Berber had formerly predominated. At the same time, the tribes' constant raids sent the region's **economic and urban life into decline**. The most notable casualty was the city of **Qayrawan**, which was sacked in 1057 and thereafter lost its cultural and commercial preeminence. 11

## 1056–1147

Reign of the **ALMORAVIDS**. The Almoravid movement (al-Murabitun) sprang up among **Saharan tribal groups** in the mid-11th century. It was inspired by the teachings of a religious *sheik* (leader), **IBN YASIN**, who introduced orthodox Islam among the tribes and strictly imposed Islamic law. Under the later rule of **Ibn Tashfin** (r. 1061–1106), this religious ideology became the justification for a campaign of conquest that subjugated Morocco, Algeria, and Spain by the end of the 11th century. The Almoravid capital was located at the Moroccan city of **Marrakesh**, founded around 1070. Among the lasting achievements of the Almoravids were the **introduction of the Maliki school of Islamic law** to the Maghrib and the importation and sponsorship of **Andalusian art and culture**. They also made possible the political unification of Morocco, which had formerly been fragmented into petty tribal domains. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [South Asia, 72 B.C.E.–500 C.E.](#))

(See [477–495+](#))

## C. [South and Southeast Asia, 500–1500](#)

### 1. [South Asia, 500–1199](#)

Through invasions, immigration, and related changes, South Asia was increasingly drawn in this period into what would be characterized by the end date as an Islamicate world system. As representatives of Islam (soldiers as well as merchants and Sufi mystics) spread across the known world, the global community shared for the first time a set of understandings about legal premises, state structures, and the model of the ideal ruler, as well as the accepted attributes of a cultured person and the resulting criteria for poetic and artistic production. Of course the interaction of these Islamicate understandings with local cultures led to a range of variations on the Islamicate theme. 1

At the same time, regional cultures within the South Asian subcontinent were beginning to emerge (primarily around linguistic bases). At least five distinctive regional cultures eventually emerged: Punjab in the northwest, home to both settled agriculture and pastoralists; the agriculturalist Gangetic Plain; deltaic Bengal in the east; the Deccan plateau in the middle, encompassing several cultural zones; and Dravidian South India. 2

#### a. [North India](#)

The **White Huns** or Hephthalites, a branch of the Mongol Juan-juan who dominated central Asia (407–553), had occupied Bactria (425) and, after defeat by Sassanid Bahram Gor (428), Gandhara. Victory over Sassanid Peroz (484) freed them for raids from the Punjab into Hindustan. 3

#### c. [500–502](#)

**Toramana** ruled as far as Eran. 4

## 502–c. 528

**Mihirakula** from Sialkot controlled Gwalior and Kashmir. Bhanugupta probably expelled him from Eran (510). Yasodharman of Mandasor (?) boasts (533) of victory over him. Although the Huns in central Asia were crushed by Turks and Sassanians (553–67), their chiefs kept rank in the Punjab and Rajputana till the 11th century.

From the decline of the Guptas until the rise of Harsha, the area was characterized by a confused political scene and the large-scale **displacement of peoples**. The dramatic movement of populations (especially from the Punjab and Rajasthan, where the impact of the Huns was felt most acutely) and the resulting new ethnic combinations of people did much to underscore the confusion and insecurity of the period.

## 606–47

**HARSHA**, fourth king of Thanesar, north of Delhi (new era Oct. 606), succeeded his brother-in-law as king of Kanauj (royal title 612), and quickly conquered an empire across northern India, to which he left no heir. Although Harsha aspired to a closely integrated empire following the Mauryan model, all he managed to achieve was a large kingdom in the north only loosely connected through feudal ties. Decisions of policy as well as pragmatic practice were made locally. Because commercial activities did not provide as large an income to the state as they had earlier, revenue came mainly from the land (in the form of a variety of taxes). Autonomous guilds continued to serve as the major institutions organizing manufacture and trade, with textiles being the most important industry (meeting both internal and foreign demand). The Buddhist church, or *sangha*, was now rich enough to act as banker, lending money on interest and renting out land, as well as performing mercantile functions.

Harsha received an embassy (643) from Emperor T'ang T'ai-tsung. A poet and dramatist, he patronized men of letters. He is well known through **Bana's** poetic romance *Harshacharita*, and by the *Hsi yü chi (Record of Western Lands)* of his guest, the pilgrim **Hsüan-tsang**, whose exact observations in India (630–43) have given priceless guidance to modern archaeology.

**Tantrism** meanwhile sought to secure for its adepts in magic arts, through esoteric texts (tantra) and charms, rapid attainment of Buddhahood or at least supernatural powers. Partial syncretism with Saivism led to a cult of Vairochana and various new divinities, largely terrible or erotic. Spells (*dharanis*) appear early (Chinese trans. 4th century), but the *Panchakrama* is in part the work of Sakyamitra (c. 850). Tantrism seems to have flourished chiefly along the northern borderland. Buddhism, however, progressively

disappeared from India from the 9th century, lingering in Bengal and Bihar until the Muslim conquest (1202). It was largely absorbed by Hinduism.

### 647

**A second Chinese embassy**, under Wang Hsüan-tse, having been attacked by a usurper on a local throne (Tirhut, north of Patna?), secured 7,000 troops from Amsuvarman, king of Nepal, and 1,200 from his son-in-law, Srong-tsan-sgampo, king of Tibet; captured the malefactor; and haled him to Ch'ang-an (648). <sup>10</sup>

### c. 730–c. 740

**YASOVARMAN**, king of Kanauj, an author, patronized the Prakrit poet **Vakpatiraja** and **Bhavabhuti**, a Sanskrit dramatist ranked by Indian criticism next to **Kalidasa**. <sup>11</sup>

### c. 725–1197

The Pala Buddhist kings ruled Bengal (till c. 1125) and Magadha. Leading rulers: Dharmapala (c. 770–c. 883), and Devapala (c. 881–c. 883), who endowed a monastery founded at Nalanda by Balaputradeva, king of Sumatra. <sup>12</sup>

### c. 1125–c. 1225?

**Senas** from the Carnatic gradually advanced from North Orissa into Bengal. <sup>13</sup>

### c. 1169–c. 1199

Lakshmanasena patronized Jayadeva, whose *Gitagovinda*, mystic call to love of Krishna, is considered a Sanskrit masterpiece. Tightening of caste restrictions was accompanied in some areas by the origin of **kulinism**: the prohibition of marriage of any girl below her own caste, which led to female infanticide; and the rise in caste by marriage to a man of higher caste, which led to polygamy of high-caste husbands to collect dowries. <sup>14</sup>



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Deccan and Western India

**Western India**, thanks to the many impregnable fortresses in Rajputana, was usually divided among local dynasties from the time of the Gupta power to the advent of the Muslims. 1

### c. 490–766

A **dynasty of Maitrakas**, foreigners of the Rajput type, usually independent at Valabhi in Surashtra, created a Buddhist scholastic center that rivaled Nalanda. Their gifts reveal that Buddhist images were honored with *puja* of the kind devoted to Hindu gods. 2

### c. 550–861

The **GURJARA** horde of central Asiatic nomads established a dynasty of 12 kings at Mandor in central Rajputana. Two retired to Jain contemplation, and a third to self-starvation. 3

### 712–66

**Arab raids** from Sind (See [711–13](#)) devastated Gujarat and Broach (724–43) and finally shattered the Maitraka dynasty (766). 4

### c. 740–1036

The **GURJARA-PRATHIHARA DYNASTY**, by uniting much of northern India, excluded the Muslims till the end of the 10th century. Prominent early rulers were Nagabhata I (c. 740–60), who defeated the Arabs; Vatsaraja (c. 775–800); and Nagabhata II (c. 800–36), conqueror of Kanauj. 5

### 746–c. 974

The Chapas (or Chapotkatas), a Gurjara clan, founded Anahillapura (or Anandapura, 746), the principal city of western India until the 15th century. 6

### 831–1310

A **Dravidian dynasty of Chandellas** (in present Bundelkhand) built numerous Vaishnava temples, notably at Khajuraho, under Yasovarman (c. 930–54) and Dhanga (954–1002). 7

### c. 840–c. 890

**Mihira**, or Bhoja, devoted to Vishnu and the Sun, ruled from the Sutlej to the Narmada, but failed to subdue Kashmir. 8

### c. 950–c. 1200

The **Paramaras of Dhara**, near Indore, were known for two rulers: Munja (974–c. 994) who invaded the Deccan, and Bhoja (c. 1018–60), author of books on astronomy, poetics, and architecture, and founder of a Sanskrit college. 9

### c. 974–c. 1240

The **Chalukya** or Solanki Rajput clan, led by Mularaja (known dates 974–95), ruled from Anahillapura over Surashtra and Mt. Abu. 10

### 977–1186

The **Ghaznavid (Yamini) dynasty** ruled at Ghazni and Lahore. It was founded by **Subaktagin** (977–97), a Turkish slave converted to Islam, who extended his rule from the Oxus to the Indus and broke the power of a Deccan confederacy that included King Jaipal of Bhatinda, the Gurjara-Pratihara king of Kanauj, and the Chandella king Dhanga.

11

## 998–1030

**MAHMUD OF GHAZNI** made 17 plundering raids into the Punjab (defeat of Jaipal, 1001) to Kangra (1009), Mathura and Kanauj (1018–19), Gwalior (1022), and Somnath (1024–26). Vast destruction, pillage of immensely rich Hindu temples, and wholesale massacre resulted only in enrichment of Ghazni and annexation of the Punjab. Ghazni, heir to the rich artistic heritage of the Samanids of northeastern Persia, was now one of the most brilliant capitals of the Islamic world. **Alberuni** (973–1048) of Khiva, the leading scientist of his time, followed Mahmud to the Punjab, learned Sanskrit, and wrote the invaluable *Tahkik-i Hind (Inquiry into India)*.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [c. 400–611](#))

### **c. [South India](#)**

In this period in the south, a series of cultural reconfigurations led to greater integration between Aryan and Dravidian cultural systems. The Pallava period, for instance, saw a greater assimilation by the elite of Aryan ideals, while popular culture reasserted Tamil ideas and values—and the tension between these developments helped to shape a distinct and new Tamil culture. Geopolitically, the conflict between the two geographical regions of the Deccan and Tamilnad (the fertile plain south of Madras) marked the early centuries of this period. The area between the Godavari and Krishna deltas often served as the focus of the political contests. Three major kingdoms were involved in the conflict: the Chalukyas of Badami, the Pallavas of Kanchipuram, and the Pandyas of Madurai. 1

The pattern of warring states, with no single polity able to establish hegemony over the others, continued through much of this period. The ascendancy, around 900, of the Cholas also marked the crystallization of Tamil culture, as expressed in social institutions, religion, and the fine arts. Chola cultural production, in fact, came to be defined as “classical” and influenced models of kingship, cultural patronage, community formation, and religious views not only throughout the south, but also in the Deccan. Chola culture also spread to Southeast Asia in this period, as South India intervened actively in the commerce with that region. 2

Despite a somewhat elaborate administrative structure connecting the king to the realm, villages had significant degrees of autonomy under the Cholas. Village sociopolitical structure distinguished sharply between those who paid land taxes and the landless laborers who worked the fields, with the latter being in positions of agrestic slavery. Wealthier members of rural society found strong motivations to invest their wealth in irrigation and land-clearing activities, or to patronize temple complexes. Until the end of this period, when Chola expansion of trade fostered the growth of cities and the need for a monetary economy to move agricultural surplus to the cities, villages had relatively little connection to the larger society. Chola political power extended well past the year 1000 (See [1001–4](#)). 3

### c. 300–800

The **Pallava warrior dynasty** ruled from its base at **Kanchi** (near Madras) and exercised hegemony over the Deccan while disputing throughout this period with the Chalukyas and others.

4

### c. 500–753

The **first Chalukya dynasty** in Maharashtra advanced from Aihole on the upper Kistna to nearby Vatapi (or Badami, c. 550) and to Banavasi (566–97) at the expense of the Kadambas. Construction of the earliest temples at Aihole was followed by that of Mahakutesvara (c. 525) and completion of the cave-temple to Vishnu at Vatapi (578).

5

### c. 575

The Pallava **Simhavishnu** seized the Chola basin of the Kaveri, which his family held until after 812.

6

### c. 600–625

The Pallava **Mahendravarman I**, converted from Jainism to Saivism, destroyed a Jain temple, but dug the first (Saivite) cave-temples in the south (at Trichinopoly, Chingleput, etc.). From his reign date **Buddhist monasteries** (in part excavated) and *stupas* on the Samkaram Hills (near Vizagapatam).

7

### 609–42

The Chalukya **Pulakesin II** placed his brother on the throne of Vengi, where he ruled as viceroy (611–32), repulsed an attack by Harsha of Kanauj (c. 620), sent an embassy to Khosroes II of Persia (625), and enthroned a son, who headed a branch dynasty in Gujarat and Surat (c. 640–740). Hsüan-tsang (641) describes the prosperity of the country just before the Pallavas pillaged the capital (642), a disaster that was avenged by pillage of the Pallava capital, Kanchi, by Vikramaditya (c. 674).

8

## 611–c. 1078

The **Eastern Chalukyas** of Vengi (independent after 629–32), were continually at war with Kalinga to the north, the Rashtrakutas to the west, and the Pandyas to the south. <sup>9</sup>

## c. 625–c. 645

The Pallava **Narasimhavarman** defeated Chalukya Pulakesin II (c. 642) and took Vatapi. He defeated also his southern neighbors and enthroned Manavalla in Ceylon (?). He improved the port of Mamallapuram, near Kanchi, and cut there the first of five *raths*, monolithic sanctuaries in the form of cars, the earliest monuments of the Dravidian style; also the cliffside relief depicting the descent of the River Ganges from Heaven. <sup>10</sup>

## c. 675–c. 705

The Pallava **Narasimhavarman II** built in stone and brick the Shore temple at Mamalla, and the central shrine of the Kailasa temple at Kanchi, completed by his son. <sup>11</sup>

## c. 700

**Conversion of King Srimaravarman** to Saivism by Tirujnana Sambandhar, the first of 63 *nayanmars*, or Tamil saints, led the king to impale 8,000 Jains at Madura in a single day, since celebrated by the Saivas. Another saint, Manikka Vasagar (9th century), wrote poems of his own religious experience which correspond to our Psalms. The Tamil Vaishnavas, too, had their saints, 12 *alvars*, who also expressed emotional religion and whose works were collected c. 1000–1050. <sup>12</sup>

## 733–46

The Chalukya **Vikramaditya II** thrice took Kanchi, and distributed presents to the temples. He imported Tamil artists, and his queen commissioned Gunda, “the best southern architect,” to build the temple of Virupaksha. The **frescoes of Ajanta caves I and II** are believed to date from this period. So too the Saiva and Vaishnava sculptures <sup>13</sup>

of the Das Avatara cave-temple at Ellora.

**c. 735–c. 800**

**Nandivarman II**, a collateral kinsman 12 years of age, accepted the Pallava throne offered him by the ministers and elders, who defended him against rival claimants.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Funan](#))

## 2. [Southeast Asia, 500–900](#)

In Southeast Asia, the years 500–900 are referred to as the classical period. The Indic concept of mandalas, or circles of kings, continued to be the primary form of state organization, developing into more widespread centers of power than had existed in the region earlier. In large part because of the importance of trade, one should envision Southeast Asia as an area united by bodies of water—the sea surrounding (and, to some extent, connecting) the mainland and the archipelago, as well as the rivers flowing south from the Himalaya into mainland Southeast Asia. Government, religion, and art were closely intertwined; common aspects for both mainland and peninsular Southeast Asia related in part to Indian literary models. <sup>1</sup>

### a. [The Malay Archipelago and Peninsula](#)

Early Indian commercial settlements in **Sumatra** and **Java**, at first Brahman in religion and later influenced by Buddhism, became the center of organized states. Through trading networks, the more influential mandalas (such as **Srivijaya**) fostered Malay acculturation across a network of Malay-speaking centers dotted throughout the Riau-Lingga Archipelago to the southern part of the Malay Peninsula. Toward the end of the **7th century**, **Srivijaya** (a trade-based empire; Malay rulers exercised influence in Sumatra and the Malay Peninsula, 600–1000) became the dominant state of Sumatra and built up a commercial empire. <sup>2</sup>



(See [Burma \(Pagan\)](#))

## **b. Mainland Southeast Asia**

**Dvaravati** settlements in central Thailand (6th–11th centuries). During the early centuries C.E., the Khmer peoples of the Menam Valley came under the influence of Indian civilization, and about the 6th century there was organized, in the region of Lopburi, the kingdom of Dvaravati, which was Buddhist rather than Brahman in religion, and from which, during the **8th century**, migrants to the upper Menam Valley established the independent and predominantly Buddhist kingdom of **Haripunjaya** (See [Siam](#)), with its capital near the present Chiang Mai. 1

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### 3. South Asia, 1000–1500



#### INDIA BEFORE THE MUSLIM CONQUEST (MAP)

State forms began to be elaborated in this period, both in the north and the south, under the influence of models and values imported from other parts of the Islamicate world and renegotiated in the subcontinent as they met with emerging regional cultural systems. Though scholars and commentators have used shorthand labels that identify these kingdoms as Hindu or Muslim, they became increasingly distinctive as Indian or South Asian in ways that are independent of particular religious practices or values. 1

Throughout much of this period, the dominant pattern continued to be that of smaller kingdoms vying for dominance in a region, although the **Delhi Sultanate** did manage to expand its rather loose hold over significant parts of the subcontinent before it was superseded by the Mughals. In the Deccan, particularly, a range of differing regional cultures met and interacted, including the Telugu kingly culture from the south, the Maharashtrian military culture from the west, and Muslim notions of ruler and state brought through Islamicate ties. In this politico-cultural melting pot, much influence from Islamicate states helped to shape, especially, the emerging empire of Vijayanagara. (See [India, 1500–1800](#)) 2

#### a. North India and Deccan

1093–1143

The Chalukya ruler, **Jayasimha Siddharaja**, a patron of letters, although himself a Saiva, organized disputations on philosophy and religion, and favored a Jain monk, **Hemachandra**, who converted and dominated **Kumarapala**. 3

## 1143–72

As a good Jain, **Kumarapala** decreed respect for life (*ahimsa*); prohibited alcohol, dice, and animal fights; and rescinded a law for confiscation of property of widows without sons. He also built (c. 1169) a new edifice about the Saiva temple of Somanatha, which had been reconstructed by **Bhimadeva I** (1022–62) after destruction by the Moslems.

4

## 1151–1206

The Shansabani Persian princes of Ghur (Ghor), having burned Ghazni (1151), drove the Yamini to the Punjab and deposed them there (1186).

5

## 1172–76

**Ajayapala**, a Saiva reactionary, ordered the massacre of Jains and the sacking of their temples, until he was assassinated. Jain rule was restored under a mayor of the palace whose descendants displaced the dynasty (c. 1240).

6

Two Jain temples at Mt. Abu are the work of a governor, **VimalaSaha** (1031), and a minister, **Tejpala** (1230). Built of white marble with a profusion of ornamented colonnades, brackets, and elaborately carved ceilings, they represent the most elegant version of the northern or Indo-Aryan architectural style.

7

**Kashmir**, already (c. 100) an important home of the Sarvastivadin Buddhist sect, remained a center for Buddhist studies (till the 10th century; degenerate before the Muslim conquest, 1340) and the study of Sanskrit literature (until today). Its history from c. 700 is rather fully known through the *Rajatarangini*, the only extant document by **Kalhana** (c. 1100), the sole early Indian historian, who consulted literary sources and inscriptions but accepted tradition without criticism.

8

## 1175–1206

**Muhammad of Ghur**, Mu'izz-ud-Din, undertook conquest of Hindustan by capture of Multan and Uch. He ruled from Ghazni as governor for his elder brother, **Ghiyas-ud-Din Muhammad**, whom he succeeded as ruler of Ghur (1203).

9

## 1192

A **battle at Tararori** (14 miles from Thanesar) decisively crushed a new Hindu confederacy led by the Chauhan king of Ajmer and Delhi. Cumbersome traditional tactics, disunited command, and caste restrictions handicapped the Hindu armies in conflict with the mounted archers from the northwest. Victory led to **occupation of Delhi** (1193) and to conquest of Bihar, where the organized Buddhist community was extinguished (c. 1197), Bengal (c. 1199), and the Chandella state in Bundelkhand. Muhammad appointed **Kutb-ud-din Aibak**, a slave from Turkestan, viceroy of his Indian conquests, and left him full discretion (1192, confirmed 1195).

10

## 1206–66

A **dynasty of slave kings**, the first of six to rule at Delhi (until 1526), was founded by Aibak (killed playing polo, 1210).

11

The numerically weak early Muslim rulers in India were forced to employ Indian troops and civilian agents, welcome allegiance of Indian landholders, and afford their native subjects much the same limited protection (including tacit religious toleration) and justice to which they were accustomed. This led to active efforts to create a polity regarded as legitimate both in the Islamic world and in the eyes of local elites. Rebels, both Hindu and Muslim, were slaughtered with ruthless barbarity.

12

## 1211–36

**Shams-ud-din Iltutmish**, the ablest slave and son-in-law of Aibak, succeeded to his lands in the Ganges Valley only, but recovered the upper Punjab (1217), Bengal (1225), the lower Punjab with Sind (1228), and Gwalior after a long siege (Feb.–Dec. 1232). He advanced to sack Ujjain (1234).

13

## 1229

Iltutmish was invested as sultan of India by the Abbasid caliph of Baghdad.

14

**Islamic architects** brought to India a developed tradition of a spacious, light, and airy prayer chamber covered by arch, vault, and dome, erected with aid of concrete and mortar, and ornamented solely with color and flat linear, usually conventional, decoration. This formula was applied with recognition of local structural styles and the

15

excellence of Indian ornamental design. Aibak built at Delhi (1193–96) with the spoils of 27 temples a mosque of “Hindu” appearance to which he added (1198) an Islamic screen of arches framed with Indian carving. He began (before 1206) a tower for call to prayer, which was finished (1231–32) and named Kutb Minar to honor a Muslim saint (d. 1235) by Iltutmish, who also enlarged the mosque in strictly Islamic style. In the new architectural style that emerged, the emphasis shifted from mosques to tombs of rulers and of Sufi saints. The shift underscored the importance of local rulers (rather than an internationalized Islam) and of the new force of devotionism (which expressed a value common to those called Hindus and Muslims).

Upon the death of Iltutmish, actual power passed to a group of 40 Turks who divided all offices save that of sultan and controlled the succession. 16

## 1266–90

A new dynasty at Delhi was founded by **Balban** (d. 1287), a slave purchased by Iltutmish (1233) who was made chamberlain (1242) and became father-in-law and lieutenant (1249–52 and 1255–66) of King Mahmud (1246–66). As king, aided by an effective army and corps of royal news writers, Balban repressed the 40 nobles, ended highway robbery in the south and east, and suppressed rebellion in Bengal. His son repelled the Mongols established in Ghazni (since 1221) but was killed by them (1285). 17

The **tomb of Balban** is the first structure in India built with true arches instead of Hindu corbeling. 18

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Bengal

From an area marked by strong adherence to Buddhism and Brahman-dominated Hinduism, Bengal began to change in this period into a culture marked by Islam-oriented devotional life. This reflected political, social, and economic changes that occurred at different rates. Monumental royal temples remain as witness to the fully elaborated style of medieval Hindu kingship that had emerged in deltaic Bengal, as do the Buddhist *stupas*. The conquest of Bengal by Muhammad of Ghazni in 1199 initiated the first political changes, as a Muslim elite was imported to serve as soldiers and administrators in the new territory. 1

Buddhism and Islam, both being institutionalized, proselytizing religions, attracted many of the same followers. This competition prompted attacks on Buddhist monasteries by the Muslim elite as it moved in, with a resulting exodus of Buddhists from eastern India into Southeast Asia. Indeed, Islam found its greatest support in areas previously dominated by Buddhism. Moreover, beginning in the 14th century, the vacuum left by the exodus of Buddhists began to be filled with a new form of popular devotionalism, *bhakti*, which also left room for Sufism as a related phenomenon. 2

Even with Persianized Turks as rulers, however, the population of the area remained Buddhist or Brahman-ordered for a very long time. Ultimately, as Sufi saints came to dominate popular religion in a world filled with saintly figures, Bengali cosmologies first used Islamicate terms interchangeably with local (Hindu) ones, and then began to prefer the Islamic concepts. But this slow, shifting form of conversion did not show concrete results (for example, in the choices of names for children) until well after the end of the period. 3





### c. [South India](#)

#### 1001–4

A successful **invasion of Ceylon** permitted assignment of Singhalese revenues to the Saiva great pagoda of Rajarajesvara, which Rajaraja I built at Tanjore, the masterpiece of baroque Dravidian architecture. He also endowed a Buddhist monastery built at Negapatam by a king of Srivijaya (Sumatra). 1

#### 1014–42

Rule of Rajendra Choladeva, who had helped his father since 1002. 2

#### 1014–17

A second invasion of Ceylon secured the regalia and treasure of the Pandya kings, so that a son of the Chola could be consecrated king of Pandya. 3

#### 1024

An **invasion of Bengal** enabled the Chola to assume a new title and establish a new capital near Trichinopoly. 4

#### c. 1030

By use of sea power, the Chola exacted tribute from Pegu, Malaiyur (Malay Peninsula), and the empire of Srivijaya. 5

## 1040–68

Chalukya **Somesvara I** founded Kalyani, the capital until c. 1156. He drowned himself in Jain rites in the Tungabhadra, a sacred river of the south. 6

## 1042–52

Rule of Chola **Rajadhiraja I**, who had aided his father since 1018. He was killed in battle at Koppam against Somesvara I of Kalyani. 7

## 1062–70

Chola **Virarajendra** defeated the Chalukyas and gave his daughter to Vikramaditya VI. He founded a vedic college and a hospital. His two sons fell into conflict and extinguished their line by assassination (1074). 8

## 1073–1327

The **Hoysalas**, at first a petty dynasty, ruled at Dvarasamudra (Halebid) in Mysore. 9

## 1074–1267

The **Chalukya-Chola dynasty**, founded by Rajendra, son and grandson of Chola princesses, king of Vengi (b. 1070), who took the vacant throne of Kanchi (1074) and thenceforth ruled Vengi through a viceroy. His authority was recognized by the Ganga king of Kalinga. 10

## 1075–1125

**Vikramaditya VI** of Kalyani began a new era in place of the Saka era, but with small success. He built temples to Vishnu, but made gifts also to two Buddhist monasteries that must have been among the last in the south to withstand Hindu reaction and 11

absorption. **Bilhana of Kashmir**, in return for hospitality, a blue parasol, and an elephant, wrote the *Vikramankacharita* in praise of his host.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. [Ceylon](#)**

### **846**

The capital of Ceylon (modern Sri Lanka) was moved south to Polonnaruva to escape Tamil invasions. 1

### **1001–17**

The **two great invasions** (1001–4 and 1014–17) by Chola Rajaraja and his son Rajendra. 2

### **1065–1120**

**Vijayabahu** ruled prosperously despite further incursions (1046, 1055). 3

### **1164–97**

**Parakramabahu I** repelled the Tamils (1168), invaded Madura, and united the two rival monasteries. 4

### **1225–60**

**Parakramabahu II** repelled two attacks (c. 1236 and c. 1256) by a king of Tambralinga (Ligor on the Straits of Malacca), with Pandya help. 5

### **1284**

The king sent a relic of the Buddha to Khubilai Khan. (See [India, 1500–1800](#))

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **4. Southeast Asia, c. 900–1557**

In this period developed distinct civilizations that can be divided into three main patterns: <sup>1</sup> those based on Theravada Buddhism (See [c. 78–96+ C.E](#)) (the present-day countries of Myanmar, Thailand, Laos, and Cambodia); those shaped by Sinitic influences (Vietnam); and those influenced by mercantile connections to the Islamic world (Malaya).

Theravada Buddhism probably came not from India but from Ceylon in the 11th century. Buddhist concepts were interpolated into Hindu concepts of kingship. The Hindu concept of *devaraja*, or the divine connection between the king and god, played a crucial role in forming the notions of power and state during this period. With this delineation came a transition from what scholars have called “early kingdoms” to “imperial kingdoms” and a changing “ritual policy,” important for the functioning and distribution of temples.

Srivijaya and other kingdoms of central Java as well as the kingdoms of the mainland <sup>2</sup> relied on alliances, often via marriage, and on relationships that were mutually beneficial. Once again, the flexibility of Southeast Asian conceptualizations of polities meant that the ruler's power did not need to be based on rooted infrastructures such as landholding, bureaucracy, or highly institutionalized state organizations. Local units continued to have separate identities. A ruler's power was based on “ritual sovereignty”: the king was endowed with sacred powers, and he reinforced the aura of divine majesty through his patronage of temple complexes, patronage of monks and priests possessing the sacred Indian learning, and support for sacred monuments, elaborate rituals, and state ceremonies. The ruler's creation of ceremonial centers—centers of religion, art, and learning—was the source of his ability to attract and maintain alliances. They were demonstrations of his connections to higher gods and higher learning, and of his spiritual superiority.

Scholarly debate among historians of Southeast Asia recently has centered on the issue of <sup>3</sup> how a “state” is defined. One school of thought has emphasized the standard of a unified, bureaucratized polity that is consistent with traditional Western understanding of an “advanced civilization.” However, in view of the nature of state organization in Southeast Asia, it seems clear that an institutionally weak yet integrated society could still be considered a major civilization. This is demonstrated by the fact that the Indic concept of mandalas, or circles of kings, continued as the dominant model of state organization in

the region during this period. Each kingdom—such as Angkor, Ayudhya, Majapahit—formed concentric circles of influence radiating out from a center representing the ruler (whose authority generally became weaker the further from the center an area was located), and moving toward more distant or geographically remote territories. This model was often unstable politically and represented a form of “state” with a vaguely defined geographical area and no fixed boundaries, which could expand and contract depending on interactions with other competitive state centers. Smaller centers would switch allegiances as they looked for security. *Negeri*, a Malay-Indonesian word for state, was particularly applicable to riverine or coastal principalities in the Malayo-Muslim world; derived from the Sanskrit term for “kingdom” or “capital,” *negeri* continued to be used to define the state during this period in Southeast Asia.

Java (or Mataram) provides one example of the concentric-circles model of power relationships. *Kraton* was the word used for the sacral palace-city of the Javanese kings that formed the center of their kingdom. *Negara agung* was used to describe the second administrative circle in the kingdom of Mataram; it consisted of the core area immediately outside the palace-city. *Manca negara* was the term used for the third administrative circle of Mataram, which consisted of most of Java outside the palace city and the core administrative area. (See [Southeast Asia, 1500–1800](#))

### a. The Malay Archipelago and Peninsula

The prominence of the kingdom of **Srivijaya**, crucial to the development of Malay society and the founding of **Malacca**, continued during this period. Along with developments in wet-rice cultivation in agrarian societies in the Indic mode came the spread of Islam, especially in Java (14th–18th centuries) and initially in trading ports along the north coast. (Trading ports served as part of the great network of shipping in the archipelago, moving spices to the archipelago and rice to Malacca after 1400. This network, in turn, was connected to an international system of commerce reaching from the Moluccas to the Mediterranean, linking Southeast Asia to the expanding world of European trade and conquest. Through this period, however, the general linkage was to the larger Islamic world.)

At the end of the 7th century, **Srivijaya** became the dominant state of Sumatra and built up a commercial empire. Srivijaya, at its height (c. 1180), controlled the Straits of Malacca and of Sunda, all of Sumatra and the Malay Peninsula, and the western half of Java; its authority was recognized as far away as Ceylon and Formosa, and in many colonies throughout the East Indies. The **Sailendra dynasty**, rulers of Srivijaya, were ardent patrons of Buddhism, as is shown in the great Borobudur victory monument in central Java. The consolidation of petty Javanese states, begun after the middle of the 9th century, led to the rise of **Singosari** in eastern Java, which under Kartanagara (who ruled



1268–92) challenged and finally destroyed the power of Srivijaya.

### 1293

A Mongol expedition, sent to avenge insult offered by Kartanagara, was forced out of Java by a new kingdom, **Madjapahit**, which during the 14th century built up a commercial empire with authority extending over Borneo, Sumatra, and parts of the Philippines and of the Malay Peninsula, and profited by an extensive trade with China, Indo-China, and India.

7

### 1389

Death of Hayam Wuruk, after which the power of Madjapahit disintegrated.

8

### 1405–7

The first Chinese expedition under Zheng He (See [1405–33](#)) established tributary relations between many Malay states and the Ming Empire; the authority of Madjapahit rapidly gave way to that of the Muslim Arabs. During the 15th century Muslim commercial operations, based chiefly on Malacca, were extended to the whole archipelago, and some 20 states accepted Islam as the state religion. (See [The Malay Peninsula and Archipelago](#))

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [By the 6th Century](#))

## **b. [Mainland Southeast Asia](#)**

This period witnessed the strengthening of administrative centralization, the augmentation of the political and coercive authority of the state, and the dissemination of a normative value system (from Theravada Buddhism) that began to supplant local custom. 1

Similarly, the movement of Tai peoples, a gradual infiltration along the rivers and streams, culminated by the 11th century in the introduction of an alternative social structure (neither Indic nor Sinitic but similar to that of the Mongols), based on territorial units. Interaction with other polities led to political dominance by the Tais, especially from the 13th century onward. 2

### **1. Angkor**

Based on limited information, the **economy** of Angkor (present-day Cambodia) seems to have been focused on wet-rice agriculture rather than on coastal trade. The king's authority appears to have been expressed through a well-developed hierarchy that included priests and religious sanctions. In addition, **temples** played a prominent role as custodians over land and peasants. 3

### **889–900**

Rule of **Yasovarman I**, first king to reside at the actual site of Angkor. He built numerous monasteries that variously worshipped the three chief deities of Angkor: **Siva**, **Vishnu**, and **Buddha**. These cults all favored royal power and all received patronage from Angkorian kings. 4

## 940s

**Rajendravarman** is remembered for his conquests and his architectural achievements. 5

## 1006

**Suryavarman I** (d. 1050) extended his authority to the north and west. 6

**Udayadityavarman II** is credited with the construction of the Baphuon, one of the great Saivite temples at Angkor, and also the Western Baray, the large artificial lake of a Vaisnavite temple.

## 1113

**Suryavarman II** (d. 1150) was famous for his military conquests. During his reign, the most famous of all Angkorian edifices, the **Angkor Wat**, was built for him as his personal funerary temple. (Angkor Wat represents the splendor of Khmer architecture and reflected the status of the god-kings of Angkor, as succeeding rulers added to its vastness.) Angkor Wat was devoted to Vishnu; this may reveal an awareness of and sensitivity to the larger Sanskritic world, since this sect was prominent at the time in India and Java. Suryavarman II also conducted diplomatic relations with China. 7

## 1177

**Cham** raid resulted in the sacking of Angkor. (The series of Cham raids probably reflected Angkor's weakness due to internal problems over succession.) 8

## 1180s

**Jayavarman VII** (reign ended c. 1220), successfully expelled the Cham and established his authority. He favored Mahayana Buddhism and built many impressive buildings, including the **Bayon**, a Mahayana Buddhist temple in the center of the Angkor Thom wall enclosure. 9

## 1190s

Jayavarman VII sent expeditions into Champa, which came under Angkorian rule for almost 20 years. 10

## 1220

Khmer lost their dominance over the Cham. 11

By the **late 14th century, Tai military pressures** made defense of Angkor difficult. In addition to this pressure, the Khmer kings were led to abandon Angkor for sites in the vicinity of modern Phnom Penh by a shift in their state's focus from wet-rice agriculture to revitalized maritime trade which, at this time, benefited from China's commercial initiatives. 12

By the 1430s, Angkor was finally abandoned. Rather than a dramatic collapse, it was more like a Khmer reorientation. It represented not only an economic shift but also a shift in religious culture, from priestly to monastic. In addition, the cult of personality of the Angkorian rulers had not led Khmers to invest in any particular cultural or political heritage. (See [Cambodia](#)) 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **D. Africa, 500–1500**

### **1. Historical Trends, 500–1000**

This period was a formative one, during which processes of change and adaptation originating in local and regional African conditions accelerated in response to new forces emanating from outside the subcontinental region. Change occurred unevenly in sub-Saharan Africa. On the cultural level, the most important processes include the **migration of Bantu speakers** throughout the central and southern half of the continent; the **widespread diffusion of iron technology**, which accelerated the Bantu migrations; the **domestication of new cultigens**, especially varieties of banana; and the **development of communities** that mixed agriculture and cattle raising. On the political level, this period witnessed the burgeoning of polities and the **articulation of complex political organizations**. Associated with the development of polities was social stratification based on wealth and access to political and religious power. On the religious level, **Islam expanded militarily** up the Nile, into the region between the fourth and fifth cataracts, throughout North Africa, and into the Sahara. Most of the expansion of Islam in sub-Saharan Africa, however, followed the **quietest path**, associated with Muslim merchants. Throughout the *sahel* (an Arabic term for shore) along the desert's edge and on the East African coast, Muslim communities established mutually beneficial relations with communities and political leaders practicing traditional or animist religions. These Muslim communities often developed in **diasporas**, dispersed communities settled along trade routes. **Long-distance trade** across the Sahara, up the Red Sea, and across the Indian Ocean linked Africa with the peoples of the Mediterranean, the Near East, and the Indian subcontinent. Long-distance trade was built on local and regional trade and stimulated both. Merchants imported exotic goods, which often entered **complex circuits of prestige and patronage** and contributed to social stratification and political centralization. The emergence of the East African **Swahili communities** represents a variant of this process.

Developing a **chronology** for these changes has been difficult, due in part to the paucity of archeological investigations for this period and to the absence of written documentary evidence. With very few exceptions, sub-Saharan African societies did not develop written language. As Islam spread throughout the continent, writing was widely diffused,

1

2

often taking the form of vernacular uses of Arabic script, called *ajami*. Wider diffusion of writing took place at a later time and was largely limited to clerics and bureaucracies. To be without writing was not, however, to be without history. Instead, African societies produced **oral traditions** to recount the past. Historians of Africa make extensive use of oral traditions, although these traditions cover relatively short time spans and, like all historical sources, are characterized by certain distortions, especially: bias toward political events, continuous potential for revisionism, telescoping of events to occur within particular reigns, and artificial lengthening of reigns of certain rulers. Historians have developed sophisticated methodologies to control for these potential problems, and they make use of corroborating evidence from archeology, dendochronology, genetic mapping, historical linguistics, and related disciplines. Historical linguistics, in particular, has provided a method for measuring change in language, called glottochronology. Although many historians are dubious about the assumptions of a constant rate of language change, historical linguistics has yielded important evidence for cultural change, especially for the period anterior to the historical reach of oral traditions. The net result is a general chronology that illuminates relative, sequential change.

Three historical trends during this period warrant special attention: **the spread of the Bantu, the rise of complex polities in the West African *sahel*, and the emergence of the Indian Ocean Swahili communities.**

The **Bantu languages** are part of the larger Niger-Congo language family. Numbering some 300 languages, Bantu predominates in the central and southern half of the continent. What is remarkable about Bantu languages is their **relatively close linguistic structure**, which suggests to historians a fairly recent and rapid expansion. Based on historical linguistic evidence, scholars generally agree that in the late Stone Age the early Bantu speakers developed a sophisticated food-producing and fishing complex in the forested region of what is now southern Nigeria and northern Cameroon. Armed with these skills, early Bantu speakers pursued two routes, eastward and southward. Already well dispersed, they probably acquired iron technology around 500 C.E. On their route eastward, the Bantu speakers skirted the northern forest edge toward the interlacustrine region of East Africa. Along the way, they adapted livestock keeping to their agricultural skills. As cattle-keeping farmers, they were able to sustain much higher population growth, attracting both the hunter-gatherers and the livestock nomads of the region for trade. The southward-moving group penetrated the equatorial forest. Iron implements and food-producing skills permitted them to colonize this region more effectively than the autochthonous inhabitants.

The two groups rejoined in the eastern and southern edge of the forest, where the southward-traveling Bantu groups acquired livestock. Sustained increases in human and livestock populations contributed to the **emergence of “big-men” and chiefdoms**. By 1000, Bantu-speaking communities were forming polities in the more densely populated

regions of eastern and central Africa, and they were expanding rapidly into southern Africa. Loans of cattle and livestock-based bridewealth payments were common means of building large followings and tying communities together. Cattle-keeping Bantu farmers predominated in central and southern Africa, and they shared economic, cultural, and political traditions. Many non-Bantu-speaking people adapted Bantu languages to participate in these dynamic communities; others moved to less hospitable regions and retained their hunting and gathering traditions.

Roughly contemporary with the spread of the Bantu speakers, from the middle of the first millennium B.C.E. to the middle of the first millennium of the current era, **West Africans** along the *sahel* and savanna developed an **urban tradition**. This urban tradition seems to have its roots in the fortified villages found along the desert's edge, which may have been the result of episodic periods of conflict in the ordinarily symbiotic relations between desert nomads and settled agriculturalists. Whatever its particular origin, the urban tradition spread along the West African *sahel* and savanna to Lake Chad, and supported communities as small as several hundred to some as large as several thousand. These urban communities were largely agricultural with significant occupational specialization, including artisanal castes, religious specialists, and, increasingly, military and political leaders.

By around 500 C.E., clearly identifiable but **small-scale polities had emerged**. They set the stage for the development of larger **empires** around 800, such as that of Ghana and Kanem. These empires were superimposed above the smaller polities and held together through powerful armies and tribute collecting. Despite their capacity to survive for many centuries, these West African empires were fragile polities, rarely able to transform daily life in their smaller, outlying communities. Nonetheless, the empires fostered military and political specialists and encouraged trade. Carried by merchants, **Islam** found a fertile foothold in these urban settings.

Islam, commerce, and an urban tradition were also emerging along the **East African coast** at this time. Although East Africa had been a central part of the **developing world of the Indian Ocean** since at least the 2nd century B.C.E., the emergence of a distinctive urban, cosmopolitan, and **Muslim African culture** occurred from about the 9th century. This was the beginning of the **Swahili culture**, which was to dominate the East African coast until the end of the 19th century.

East Africa's place in the Indian Ocean system was partly due to the **monsoon winds**, which blow consistently from the northeast from November to March (facilitating navigation from the Persian Gulf and the Indian subcontinent) and from the southwest from April to August (facilitating the return voyage). Ivory, gold, incense, building materials, and slaves were part of this Indian Ocean trading system, although the intensity of the maritime commerce increased as the Abbasid capital shifted from Syria to Iraq and as the Persian Gulf increased in importance. Already by the 9th century, **large numbers of slaves** were draining the swamps of southern Iraq and planting

sugarcane. These slaves, referred to as **Zenj**, the term for East Africa, were involved in the **896 slave revolt**, which lasted for 14 years before the Abbasids suppressed it.

Visiting Ibadi, Omani, and Indian merchants found good anchorage on the archipelago of offshore islands along the Kenyan and Somali coast. There they entered into relations with Bantu speakers who controlled the commodities the merchants wanted. To accommodate this commerce, permanent settlements were created on these islands, although the pace of urban development increased in the 9th century. The **process of interaction** between these foreign merchants and local Africans over the course of many centuries led to the **development of Swahili**, both as a cosmopolitan, urban culture and as the language of that culture. Swahili is a Bantu language with many Arabic loanwords. The development of Swahili demonstrates the processes of social and cultural synthesis that were also occurring in other regions of sub-Saharan Africa. (See [Historical Trends, 1000–1500](#))

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## 2. [Regions, 500–1000](#)

### a. [Sudanic West and Central Africa](#)

#### c. 1st Century C.E

**Camels** were introduced into the **Sahara** from the lower Nile Valley during the late 1st and early 2nd centuries. These animals thrived in the sandy, arid conditions of the Sahara—they could carry heavy loads, travel vast distances, and go without water for prolonged periods. Their increasing use from the 2nd and 3rd centuries onward strengthened nomadic societies by facilitating travel and improving military capabilities. The use of camels significantly expanded the scale of **TRANS-SAHARAN TRADE**. <sup>1</sup>

#### 500–800

Alternating **symbiosis and conflict between nomadic and settled agricultural communities led to the consolidation of states** along the desert edge. Especially during periods of drought, nomads from the Sahara raided the sedentary societies of the *sahel*. Nomadic incursions encouraged the **Soninke** to adopt a more complex sociopolitical organization. **They formed the kingdom of GHANA between the 6th and 9th centuries**. The kingdom's rulers asserted control over key trans-Saharan trade routes. Soninke merchants traded gold and slaves for desert salt and imported goods from the north. The presence of Muslim merchants residing at Kumbi-Saleh, Ghana's capital, is attested to by evidence of two separate parts of the capital: one for the ruler and his court and the other for Muslims. <sup>2</sup>

Other West African kingdoms arising in this period included **Gao** and **Kanem**. By the mid-11th century, Ghana had become the largest and most powerful kingdom in the western Sudan. The kingdom of **Songhay**, referred to as Kawkaw (Gao) in the Muslim travelers' accounts, was contemporary with Ghana, although it emerged to a position of power only in the 14th century (See [Historical Trends, 1000–1500](#)). <sup>3</sup>

## 700–800

**Ibadi** traders from North Africa were the first to **introduce Islam** into the Sudan in this period. Their success in gaining Sudanese converts greatly stimulated trans-Saharan trading networks. Although Islam flourished along trade routes and in urban trading enclaves, the peoples of the Sudanic hinterland initially remained wedded to traditional beliefs. Many Muslim merchants also practiced **syncretic forms** of Islam. 4

**Oases** attracted settlers and became important centers of the growing trans-Saharan trade. Inhabitants of oases became experts in constructing wells. They grew such produce as dates, figs, grapes, lemons, raisins, and wheat, and engaged in trade with traveling merchants. Caravan routes passing through Saharan oases solidified **trading relations between North Africa and the Sudan** and led to the **political consolidation of nomadic groups**. The principal trans-Saharan trade routes extended north-south. Traders from the Sudan, south of the Sahara, exchanged slaves and gold for Saharan salt and North African horses. **Long-distance trade across the Sahara stimulated regional and local commerce** in a wide variety of commodities. 5

**Founding of Islamic military and commercial centers.** Berbers in the Sahara began converting to Islam during the first half of the 8th century. By the latter half of the 8th century, Muslims formed the Amal Wah state around four Libyan oases. 6

## c. 800–900

First established in the 2nd century in the **inland Niger Delta** region, the settlement at Jenne-Jeno developed into an important urban center by the 9th century. Its position as a major center of regional and long-distance trade lasted several centuries. Foodstuffs traded in Jenne-Jeno included fish, rice, and millet. 7

## 872

**Kingdom of Kanem** is mentioned in Arabic chronicles. Nomads herding sheep, cattle, camels, and horses initially founded the kingdom of Kanem in the Lake Chad region. Kanem was the first and largest state to be established between the Nile and the Niger River in this era. By the 10th century, urban centers had arisen and a royal palace had been built. 8

## 900–1100

Nomadic Berber pastoralists of the western Sahara, the **Sanhadja**, gained power and influence in the western Sahara by establishing control over many trans-Saharan caravan routes and commercial centers. Sanhadja chiefs collected dues from traders, dispatched guides on trade routes, and exerted authority over a confederation of ethnic groups.

9

The **Almoravids**, also desert nomads, conducted a series of successful holy wars in northwestern Africa. By the late 11th century they had established a powerful Islamic empire stretching from present Spain and Morocco to Mauritania. The Almoravid **conquest of West Africa** was led by **Abdallah ibn Yasin**.

10

### 1000–1100

The rulers of Kanem and Ghana converted to Islam. Consolidation of the kingdom of **Takrur** along the Senegal River Valley (See [1076](#)). According to Muslim travelers' accounts, Takrur was the most Islamized kingdom of the western Sudan. Even more than that of West African merchants, the Islam practiced by West African rulers at this time was syncretic. Few rulers were able completely to shed traditional religions, since their political positions had religious roots. Nonetheless, the conversion of West African leaders greatly hastened the spread of Islam into the entire region.

11

### 1076

The Almoravids pillaged **Kumbi-Saleh**, the capital of Ghana, which led to the gradual **disintegration of the Ghanaian Empire** (See [Historical Trends, 1000–1500](#)).

12

### c. 1179–80

King of Mali converted to Islam by an Ibadi traveler from North Africa.

13

### 1100–1200

Decline of Almoravid Empire. (See [Sudanic West and Central Africa](#))

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Forest West Africa**

### **5th–1st Centuries B.C.E**

**Rise of Nok culture.** The Nok culture in southeastern Nigeria was one of the earliest and most influential of the West African Iron Age societies. Besides developing **ironworking technology**, the Nok culture possessed a unique artistic tradition that it spread widely in the West African forest region. <sup>1</sup>

The 1st century C.E. and onward saw a **transition to more extensive use of iron**. The spread of ironworking technology led to an agricultural revolution. Iron hoes and other tools enabled farmers to produce surplus crops, which supported the growth of urban centers and royal courts. **Expanded agricultural productivity** also encouraged a greater division of labor in the rural areas. Besides greatly aiding subsistence efforts, the Iron Age led to the development of new, more effective weapons. <sup>2</sup>

### **3rd Century B.C.E. Onward**

By adopting **improved agricultural techniques**, including new stone axes and hoes, residents of the West African forest region began to enhance greatly their agricultural capabilities. The new tools facilitated the clearance of vegetation and the preparation of soil for planting, especially of root crops such as yams. <sup>3</sup>

### **1st Century C.E**

Forest region of Nigeria became settled by populations practicing root crop and oil palm cultivation. <sup>4</sup>

### **600–1100**

The **Akan** region of present Ghana became an important center of ironworking. Iron tools greatly facilitated **clearing of the forest**. Inhabitants of the region became increasingly urbanized, formed states, and engaged in long-distance trade. <sup>5</sup>

### 600–1200

Gradual process of village settlement and intensification of agriculture in the Yoruba area of Nigeria. Archeological evidence suggests emergence of religious specialists. Forest clearing and population concentration led to the **formation of polities**. By the 10th century, development of distinctive, naturalistic terra-cotta sculpture of the **Ife tradition**. <sup>6</sup>

### 700–1100

Archaeological excavations in southeastern Nigeria suggest that a rich and complex civilization existed. Artifacts unearthed at shrines and burial grounds at **Igbo-Ukwe**—mostly ironware and pottery—attest to the society's **multilayered social organization**. Using Iron Age technology to harness agricultural wealth, inhabitants of Igbo-Ukwe became urbanized, participated in long-distance trade, and instituted new social and political hierarchies. Atop the society, generally characterized by the absence of rulers, were wealthy individuals. The civilization at Igbo-Ukwe marked a high point of Iron Age development in the region. <sup>7</sup>

### 900–980

Beginning of **state formation among iron-using Edo of Benin**. King lists indicate that the first Benin ruler (*ogiso*) emerged c. 950. Early use of bronze in casting suggests **complex long-distance trade routes** feeding this region. <sup>8</sup>

### 900–1100

Increasing root and tree agriculture led to increased population growth and permitted trade across the ecological frontier with the settled cereal farmers of the grasslands. **Kolanuts**, sea salt, and dried fish were traded northward for livestock, desert salt, and cloth. (See [Forest West Africa](#)) <sup>9</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. Northeast Africa (Horn)**

African states existed in this region considerably earlier than the beginning of this period. In **Nubia** (northern part of present **Sudan**), for instance, **Kush** became independent from Egyptian rule around 750 B.C.E.; later politics were centered further south at **Meroë**, which was situated in a more fertile region. The history of Meroë was marked by long-term stability, centralized kingship, and a distinctive (although Egyptian-derived) artistic and architectural tradition. After a period of decline, it was for a time conquered by Axum (350 C.E.). 1

#### **500 C.E**

**Nubia** was predominantly Christian, and remained so until Muslim rulers came to power in the 14th century. 2

#### **651–52**

As part of the **Arab conquest of North Africa**, Arab armies attacked **Nubia**. A nonaggression treaty (the *bakt*) was concluded in 651, resulting in five centuries of freedom from attack, with continued trade and cultural contact with Egypt. 3

#### **697**

Peaceful *bakt* conditions allowed Nubia to achieve political unity from this year, as well as religious unity (under the **Monophysite Egyptian Church**) and economic prosperity. 4

#### **800–1000**



**Nubia** flourished from the end of the 8th to the 12th century. 5

### 956

A militarily powerful **Nubia attacked Aswan** (Egypt). 6

### 962

Nubia occupied much of upper Egypt. 7

### 969

The Nubian king refused payment of the tribute required by the *bakt* and refused to convert to Islam. 8

The area of present-day **Ethiopia** also had states that long predated this period. The kingdom of **Axum** came into being in the 2nd century C.E. and enjoyed wealth based on trade in the Red Sea and Mediterranean areas. It was predominantly Christian from the 3rd century. 9

### 300–600

States in what became Ethiopia flourished with **Indian Ocean trade** from the 4th to the 6th century. 10

### 600–800

Ethiopia began to decline in the 7th century, disappearing in the 8th century. Axum came into conflict with the early Muslims in southern Ethiopia (including **Shoa** and **Ifat**) and on the Red Sea coast in this period. (See [Northeast Africa \(Horn\)](#)) 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [East Africa](#)

### 500–600

The **interior** was not yet greatly involved with the coastal commerce. The most important changes in the interior in this period concerned the introduction of the **banana** and the development of highland agriculture based on it, and the spread of **iron technology**. The dominant groups (in terms of language) were the **Cushites**, who had entered the region between 3000 and 2000 B.C.E., and the **Bantu**, who had spread through the area in the first centuries C.E. Nilotes, Khoisan, and central Sudanic groups were also present. Cushites were cattle keepers and grain cultivators, while Bantu peoples practiced forest agriculture based on the yam, and therefore were concentrated in the wetter regions. During this period they began to adopt cattle and grain agriculture from their neighbors in the eastern part of the region. By the 7th century, **Bantu dialects were diverging**, indicating an end to the great sweep of migration and expansion by separate groups within more limited areas.

### 500–1000

The **interlacustrine** region saw a buildup of population along the western and southwestern shores of Lake Victoria, leading to expansion to the northwest and north, settling the protopopulations of later communities such as the Ganda, Soga, Nkore, and Bunyoro. **Iron tools** slowly expanded in the interior, supplanting the earlier stone technology. Bantu groups made iron tools from the beginning of the Christian era. Such tools were also acquired in coastal trade by Cushites.

The processes leading to **the development of Swahili culture** on the coast accelerated in this period. Most important were the expansion of trade, the emergence of **urban centers** on the coast, and the beginnings of **Islamic influence**. The **monsoon winds** of the northern Indian Ocean region and the **equatorial current**, flowing south along the coast from Somalia, facilitated development of **maritime trade linking India, Persia, southern Arabia, and the East Africa coast** from the era of the Greek and Roman

Empires.

## 650–800

Maritime trade was greatly stimulated by the growth of the Arab Islamic Empire beginning in the 7th century. The East African coast began to export new goods, and coastal towns grew and fell on the strength of the trade. **Islam came with small numbers of immigrant merchants** from Arabia and Persia from the 8th century, most of whom settled on offshore islands. Islam was slowly adopted by coastal Africans involved in trade but did not become dominant until the 12th century. However, the influence of the immigrant traders led to the absorption of a large number of **Arabic loanwords** into the developing indigenous language, **Swahili, in the Bantu group**, and to the use of Arabic script for writing Swahili. 4

## 800–1000

Many coastal urban centers emerged during the 9th and 10th centuries, but most did not become prominent until the 11th century. 5

## 850–1000

A new type of agriculture emerged toward the end of this period, practiced on the highland slopes of the Pare Mountains by the proto-Chagga (a blend of Nilotes, Cushites, and Bantu) and based on **intensive cultivation of bananas**, probably introduced by Indonesian traders. Bananas also spread in this period from the south to the interlacustrine region and to Mt. Elgon. (See [East Africa](#)) 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### e. [West Central Africa](#)

#### 500–1000

This was a period marked by a change from hunting and gathering to food production and a transition from Stone Age to **Iron Age technology**, as well as a rapid expansion of Bantu languages and an increase in population. Bantu speakers were present on the north margins of the **Congo forest**, from where they began to spread throughout the region. On the northern edge, Bantu speakers were raising cereals and livestock, while those in the forest practiced fishing and forest agriculture. Cereal agriculture and cattle keeping were made more efficient by the coming of Iron Age technology, which facilitated Bantu expansion into the east and southeast, displacing the hunters who preceded them by pushing them into more remote and less hospitable regions. The spread of Iron Age Bantu speakers was also associated with a **rapid expansion of population** and by the establishment of **local and regional trade links** involving salt, iron, and copper. <sup>1</sup>

#### 700–800

By the 8th century, a relatively advanced metalworking culture had developed in the **Katanga (Shaba)** region of southeastern Congo. The culture grew up as a result of important deposits of minerals in the region, especially copper and iron, and it may have been an important center of independent invention of metallurgy. In any case, the wealth developed from exploitation of **mineral resources encouraged the emergence of differentiated “big men”** among the **proto-Luba and proto-Lunda cultures**. <sup>2</sup>

#### 1000

Bantu expansion was complete. Bantu ascendancy had been established by Iron Age farmers who were adaptable to a variety of environments. Cattle-keeping farmers augmented the **economic diversity** among expanding Bantu communities. (See [West Central Africa](#))

3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [Southern Africa](#)

### 500

By this time, several **Iron Age farming populations** had long been present in southern Africa. <sup>1</sup>

### 600–700

The **Leopard's Kopje** culture (**proto-Shona**) were farmers who also kept cattle and lived in semipermanent villages in southwestern present-day Zimbabwe and northern Transvaal. Also by this century, there is evidence of the **southern African Bantu cattle culture**, in which men, ancestors, and cattle played pivotal roles. Archaeological evidence shows the presence of central cattle byres containing storage pots and burial remains. <sup>2</sup>

### 700–1000

**Zhizo** people on the eastern fringe of the Kalahari desert practiced Bantu cattle culture. <sup>3</sup>

### 1000

Bantu speakers evolved the Zimbabwe culture at **Great Zimbabwe** and other centers. Autochthonous inhabitants were pushed into less hospitable areas. (See [Southern Africa](#)) <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## g. [Madagascar](#)

### 500

Early in the first millennium, **Austronesian seafarers** brought people, language, and culture to the island that was already part of an **inter-regional Indian Ocean trade network** for timber, gum, and aromatics. Very little is known about the early history of this region, although it was the site of important ethnic, agronomic, and cultural exchanges with Indian Ocean neighbors. 1

### 650–1000

The period saw a development of trade with the Muslim world and a conversion of some to Islam. (See [Madagascar](#)) 2

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(See [Historical Trends, 500–1000](#))

### 3. [Historical Trends, 1000–1500](#)

Between 1000 and 1500, processes of political, economic, and cultural change moved along the same trajectories as in the earlier period, but at an accelerated pace. This is a period still beyond the reach of all but the most mythical of traditions. Oral traditions, especially those dealing with the origins of kingdoms, often portray the complex processes that led to the formation of larger kingdoms in terms of the heroic actions of the kingdom's founder. Rather than seeing these oral traditions as discrete historical experiences, historians interpret such “foundation traditions” as **symbolic templates** for examining the general historical processes of transforming small-scale polities into larger kingdoms. Using corroborative historical sources—including archeology, king lists, and written records, including *tarikhs*, or chronicles—historians date the founding of many African kingdoms to this period. 1

In interpreting the history of this period, Africanists have found it difficult to separate political, economic, and cultural change. Instead, they understand change as mutually reinforcing processes that led to the gradual formation of larger polities, which in turn stimulated increased commercial activities and accelerated cultural change and experimentation. Although the central historical experience on the political level during this period was the **gradual process of forming larger states out of clusters of smaller polities**, large states or empires remained inherently unstable and prone to periodic dissolution. Oral traditions dealing with this period, as well as the available written records, are biased toward the more stable and enduring polities and their political histories. In contrast, we know relatively little about **acephalous societies**, although the archaeological excavations at Igbo- Ukwé in southeastern Nigeria demonstrate that complex political organizations may have existed even in societies without rulers. These excavations also point to important patterns of cultural change and social differentiation based on wealth. 2

In the West African savanna, this period witnessed the flowering of the **medieval West African empires**. Ancient **Ghana** (See [1076](#)), to be distinguished from the modern nation of Ghana, was formed around the 9th century and reached its apogee at the beginning of the 11th century. The Morocco-based **Almoravids** sacked Kumbi-Saleh, 3

the *sahel* capital of Ghana, in 1086, which ushered in the gradual decline of the first West African Empire. The sack of Kumbi-Saleh led to a dispersion of Soninke chiefs, princes, and merchants that stimulated state formation elsewhere in the region.

**Mali**, located in the Mande zone farther south, congealed around a series of micropolities and transformed them into a larger state. The founding of Mali is told in the **epic of Sundiata**. Using armies of conquest, Mali succeeded Ghana in forming a huge territorial empire, which stretched from Senegambia in the west to the Niger Bend in the east, and from the desert's edge in the north to the forest in the south. Mali's rulers converted to Islam, and **Mansa Musa made the pilgrimage** to Mecca in 1325. He was accompanied by such a large entourage and carried so much gold that Arab and European geographers began to include Mali on their world maps.

By the beginning of the 15th century, Mali was in decline and the Niger Bend state of **Songhay** was ascendant. By the time of Sonni Ali (r. 1464–92), Songhay had transformed itself from a small riverain polity into a great empire. Due to the existence of two important *tarikhs* originally written at this time, historians know that Songhay's core military divisions consisted of tightly organized cavalry, infantry, and river-based naval units; territory was governed by appointed military leaders; and bureaucracies managed diplomacy and the massive slave plantations that supplied the court and the standing army with food and materials.

The same processes of change represented in the formation and decline of the West African empires played out on a smaller scale throughout much of sub-Saharan Africa during this period, but the details are less available to historians. In the West African forest zone, **Yoruba and Edo kingdoms** emerged out of compact village communities. In the **interlacustrine** region of East Africa, five or six larger kingdoms developed out of a cluster of some 200 micropolities. Similar patterns yielded the kingdoms of the **BaKongo, Luba, and Lunda** of the savannas to the south of the equatorial forest, and they occurred in central Africa, where the **Mwene Mutapa Empire** transformed smaller Shona chieftancies into a larger territorial unit. In all cases, political consolidation was linked with military exploits, commerce, and culture change.

Political power in precolonial Africa was often expressed in terms of **control over people and resources**. The formation of larger polities in sub-Saharan Africa invariably involved competition. Military force was one, but only one, means of achieving control over people and resources. Alternatively, emergent rulers solidified their control over followers through **patronage**, often loaning cattle or distributing women to followers. **Redistribution of wealth**, especially of exotic trade goods, also bound followers to rulers.

Military force was a prime means of maintaining control over people and resources. **Warfare became a central expression of political and economic power**, although communities without formal state organizations also engaged in raiding and warfare. Warfare yielded booty, especially livestock and slaves. **Slaves** were important elements

of most premodern societies, especially in societies where land was abundant in relation to the number of people to cultivate it. Since slaves could easily run away, they did not have much value at the point of capture; slaves' value increased the farther away they were transported. Thus **warfare was inextricably linked to long-distance trade.**

This period witnessed the development of important long-distance trade systems that linked sub-Saharan Africa with the Indian Ocean and with North Africa and the Middle East. Slaves, as a by-product of the consolidation of African polities, fed the growing demand for soldiers, for loyal government officials, for concubines, and for agricultural labor in the Muslim empires of North Africa and the Middle East. The trans-Saharan, Nile Valley, and Red Sea slave trades carried approximately 1 million slaves each century, from the 9th to the late 19th century.

Long-distance traders were also interested in **African gold**—which became the principal gold supply for the commercial world of the Mediterranean—as well as in exotic feathers, skins, and incense. Because long-distance trade deals primarily in low-weight, high-value items, it tends to cater to wealthy consumers. African consumers in the intercontinental market were interested in exotic luxuries, such as glass beads, fine ceramics, luxury textiles, paper, and books (especially copies of the Qur'an), as well as mineral salt, horses, and weapons.

Long-distance traders needed to resolve several important technical impediments to **cross-cultural trade**, including the lack of a common language, adjudication in disputes, and reliable market information. To solve these problems, traders developed a network of linked yet dispersed communities known as **diasporas**. Long-distance trade depended on—and stimulated—local and regional trade. Trade was ubiquitous throughout sub-Saharan Africa, stimulated by specialized economic activities. Economic specialization grew out of adaptation to specialized environments, such as through herding or fishing, and out of specialized knowledge, such as smelting, weaving, or ceramics. Long-distance trade was one form of specialized economic activity, which flowed from the demand for commodities not locally available. The list of imported luxuries illuminates the **close links between long-distance trade, political change, and cultural change**. Most of the goods imported by long-distance traders catered to wealthy consumers and served military or patronage needs. Control over trade was a central part of maintaining political power, and it created needs that required continued participation in long-distance trade.

The traders best able to resolve the technical impediments to cross-cultural trade were those who shared a sense of belonging to supranational communities. In sub-Saharan Africa, most long-distance traders who plied the intercontinental trade routes were Muslims. In their diaspora settlements, Muslim merchants settled with clerics and created Muslim communities. African rulers, particularly those involved in the trans-Saharan, Red Sea, and Indian Ocean trades, saw in Islam a means of participating in a different moral and political community. The **conversion of African rulers to Islam** is

indicative of the complex cultural changes that swept the continent during this period. Conversion must also be understood as part of a political calculus, in which some African rulers sought to consolidate their own power at the expense of traditional religious authorities. These were some of the reasons that, in 1492 or 1493, Muhammad Rumfa, ruler of the Hausa city-state of Kano, invited the Saharan cleric al-Maghili to instruct him in the arts of Islamic statecraft.

Although the historical evidence on social change is not very reliable for this period, some trends that became clearer over the period 1500–1800 certainly had their roots in this period. Increasing **social differentiation** by wealth and rank occurred simultaneously with increased trade and political consolidation. There were **no sumptuary laws** to distinguish noble from commoner, although such distinctions must have been fairly obvious. Nobles and the wealthy simply had more possessions than common folk: more wives, more children, more grain, more cattle, more slaves and dependents, bigger houses, and so on. **Warrior aristocracies** also emerged during this period to serve the political needs of larger polities and to provide slaves for the intercontinental trade. Increased trade between African groups and increased warfare heightened a sense of ethnic separateness, and led to the articulation of bounded ethnic identities. These trends became more pronounced in the period 1500–1800, which coincided with Africa's increased participation in the international slave trade. (See [Overview](#))

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1100–1200](#))

## 4. [Regions, 1000–1500](#)

### a. [Sudanic West and Central Africa](#)

1076

Almoravid destruction of the empire of Ghana and the spread of Islam in the political center of the emerging states of Takrur, Songhay, Soso, and Kanem-Borno. The empire of **Ghana** had reached its zenith by the late 11th century. In 1076 the **Almoravids** conquered Ghana and forcibly converted its people to Islam. The conquest of Ghana led to the gradual decline of Ghana's power, which encouraged the rise of regional polities and the wider diffusion of Islam. Even before the conquest of Ghana, the king of **Takrur** had converted to Islam. By the 12th century, the Takrur state controlled the Senegal River and reaped profits by controlling the trade from nearby gold and salt mines. Takrur's influence spread throughout the Senegal River basin. The rulers of **Songhay** converted to Islam around 1010. In the 12th century, the Songhay kingdom occupied the Niger Bend region. **Timbuktu** emerged as an important entrepôt on the southern edge of the desert. **Soso**, another state to emerge in Ghana's wake, arose in the late 12th and early 13th centuries. It developed a rich tradition in ironworking. The powerful **Kanem** kingdom (See [1000–1100](#)) dominated the Lake Chad region by the 12th century. The only major political entity between the Nile Valley and the Niger Bend, Kanem served as the southern terminus of a major caravan route between Lake Chad and the Mediterranean. In the 12th century, the peoples of Kanem began to migrate to **Borno**, west of Lake Chad, to a region better suited to agriculture and sitting astride important trade routes down the **Benue River Valley** toward the coast.



(See [900–1100](#))

## **b. Forest West Africa**

### **c. 1000–1100**

The first **Yoruba kingdom** to develop a highly centralized state, **Ife** achieved renown for its patronage of skilled craftsmen. Ife kings especially encouraged the production of cooper and brass ornaments. As the 11th century progressed, the hierarchy of courtly officials serving under the monarchy expanded. <sup>1</sup>

### **1200–1300**

**The city of Benin** flourished as a regional center of politics and commerce. <sup>2</sup>

### **c. 1300–1400**

The powerful kingdom of **Benin** entered a new phase of growth and consolidation, according to the oral traditions surrounding **Prince Oranyon**. <sup>3</sup>

### **1400–1500**

During the rule of **Ewuare**, the power of the Benin monarchy grew considerably, far outstripping that of Ife at its height. He ushered in **a political revolution that led to the emergence of a bureaucracy** to support the ruler's power against the hereditary chiefs. Benin city walls were built, and Benin expanded militarily and commercially throughout the Niger Delta region. At the time of the Portuguese contact, Benin was the **most** <sup>4</sup>



**powerful forest kingdom.** The artisanal caste of bronze casters was under the direct patronage of the *oba*, the ruler of Benin, and produced very impressive bronze works.

### c. 1400–1500

The Upper Guinea coast—between present-day Senegal and Sierra Leone—witnessed the development of several kingdoms prior to the arrival of the Portuguese, including the **Niumi, Badibu, Niani, and Wuli**. Part of the stimulus to state formation in the region was the expansion of Malian authority. One of **Sundiata's** generals established the **Kaabu** state there, providing the kingdom of Mali with a western outpost. <sup>5</sup>

### 1462

Seeking a local base near Africa, the Portuguese established their headquarters on **São Tiago, one of the Cape Verde Islands** close to the African mainland. Following Portuguese occupation, herding, cotton cultivation, and weaving became the mainstays of the Cape Verde economy. Slaves from Senegambia and Upper Guinea were imported soon after Europeans settled on the islands. <sup>6</sup>

### 1472

With the help of African slave labor, the Portuguese established sugarcane plantations on **São Tomé Island** in the Bight of Benin. Exclusively using African slaves to cultivate sugar, São Tomé became the **harbinger of the slave system of the Atlantic economy**. <sup>7</sup>

### 1481

Portuguese constructed the **fort of Elmina** on the Gold Coast. Elmina was the first Portuguese settlement on the African mainland. From this strategic site, the Portuguese began to engage in trade with the indigenous peoples, often acting as middlemen between two African societies. The Portuguese traded **African slaves for locally mined gold**. Slaves helped to clear the forests and provided new power to the emerging African rulers of the Gold Coast. (See [Forest West Africa](#)) <sup>8</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [600–800](#))

### c. [Northeast Africa \(Horn\)](#)

The defining characteristics of this period were the expansion of **Arab** peoples and the **growth of Islam** as a result of migration; pastoralism; and the **establishment of trade networks of Muslim merchants**. 1

#### 1000–1170

**Nubia**, dominated by the central state of **Mukurra**, reached the height of its power as a Christian kingdom during the *bakt* (in force since 651). 2

#### 1150–1270

Although Islam had also begun to expand in the Horn of Africa region in the new millennium, especially in the trading centers along the Red Sea Coast, there was a **revival of Christian central power** under the **Zagwe dynasty**, based in Ethiopia's northern highlands. 3

#### 1171–1250

Good relations between Nubia and Egypt, existing while the latter was under **Fatimid** rule and the *bakt* continued to be observed, gave way to hostility under the **Ayyubid dynasty** in Egypt. Nubia began to decline during the Egyptian dynasty of the Ayyubids. Egyptian campaigns against **rebellious Arab groups** encouraged the latter to move into Nubian territory. 4

## 1250–1500

Nubian decline intensified under the Egyptian **Mamluks** (1250–1517), a result of direct Egyptian pressure as well as the immigration of Arabic nomadic pastoralists. **Nubia eventually fell to the Mamluk Empire.** 5

## 1270–85

Succession problems in Ethiopia led to the Zagwe dynasty's overthrow at the hands of **Yekunno-Amlak** (1270–85), who established the **Solomonic dynasty**, claiming legitimate succession from ancient Ethiopian kings who had claimed descent from King Solomon of the Old Testament. 6

## 1272

When the Mamluk sultan **Baybars** (1260–77) demanded resumption of the *bakt*, Nubian king **Dawud** responded by taking the Egyptian Red Sea port of 'Aydhab. 7

## 1275–1325

The weakening of the Nubian state encouraged depredation by migrating Arab groups, which in turn resulted in further Egyptian incursions in the late 13th and early 14th centuries. 8

## 1276

**Baybars** mounted a punitive expedition (See [1276](#)) and installed Dawud's cousin Shakanda as king. As a result Nubia became a vassal state contributing slaves, state revenue, and revenue from a poll tax on non-Muslims. 9

## 1300–1500

The **fall of Christian power in Nubia** left Ethiopia the only Christian state in the region. **Arabization and Islamization** of the population—including the royal family 10

(encouraged by the indigenous matrilineal descent pattern)—continued, along with decentralization of power. Nubian decline led to a much wider dispersion of Arab groups toward southern pastures, carrying them west as far as Lake Chad.

## 1314–44

**Amda-Siyon**, grandson of the founder of the Solomonic dynasty in Ethiopia, gained the throne in 1314 and ruled until 1344. Under his rule the state established military dominance over its Muslim neighbors and conquered extensive new territories. **Ifat**, the most important Muslim neighbor, became a tributary. **Lack of Muslim unity** contributed to Amda-Siyon's successes. The new regions were not ruled directly, but by local rulers under the authority of the Christian emperor, who reigned from a mobile capital. **Tribute and control over trade** in slaves, ivory, and gold made the Solomonic state wealthy. The establishment of new monasteries in the interior spearheaded the **spread of Christianity and learning**. <sup>11</sup>

## 1315

Nubia's failure to pay tribute resulted in the naming of a Muslim nephew of King Dawud <sup>12</sup> to the Nubian throne.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [850–1000](#))

#### d. [East Africa](#)

The monsoon wind patterns that facilitated the rise of East African Indian Ocean trade (See [Historical Trends, 500–1000](#)) led to the development of coastal fishing and farming communities into large African towns with trading, religious, and ultimately political ties to Arabia, Persia, and India. These contacts are exemplified by Arab geographer **al-Idrisi's** description of the known world (1154), which divided the Swahili coast into the **land of Zanj**, in the north, and the **land of Sofala**, in the south. <sup>1</sup>

#### 1000–1500

The **Swahili civilization**, which grew out of coastal communities of Bantu speakers, and augmented by peoples from the interior and immigrants from Arabia, Persia, and India, reached its height in this period. Wealth from trading activities led to the development of several important trading towns along the coast, from **Mogadishu** in the north through **Lamu** and **Zanzibar** to **Kilwa** in the south. These towns imported Arabic pottery and Chinese porcelain and, for the interior trade, Indian cloth. They exported tropical woods and ivory, shells, slaves, iron, and, from Kilwa, gold from the mines of Zimbabwe. <sup>2</sup>

In the **interlacustrine zone**, trade between specialized agriculturalists and pastoralists led to the **formation of new polities** late in the period. <sup>3</sup>

#### 1100

**Bantu-speaking** groups (who had emerged from the western forests) were still few in number and were concentrated in the areas of higher rainfall (at least 1000 mm annually). The Bantu speakers therefore continued to be root agriculturalists. The drier plains and highlands were dominated by cattle-raising and grain-growing **Nilotic** and southern **Cushitic** groups. Some hunter-gatherer groups were interspersed throughout the region. <sup>4</sup>

Bantu movements into the drier areas resulted in their adoption of cattle raising and grain cultivation. They also adopted some cultural patterns. For example, Bantu groups affected by contact with southern Cushites and southern Nilotes on the east side of Lake Victoria adopted male and female circumcision and discontinued chieftaincy. **Intensive banana and grain cultivation** grew out of a merger of Bantu and Cushitic traditions on the slopes of **Mt. Kilimanjaro**. The Bantu's adaptability, therefore, encouraged their expansion. The western interior, however, continued to be dominated by southern Nilotic groups. In **eastern Uganda**, the migration of Bantu speakers (known in tradition as the founder Kintu and his followers) from Mt. Elgon and northeastern Lake Victoria led to the **formation of several small states** from 1100.

### 1100–1200

A new dynasty identifying itself as **Shirazi** (from Shiraz, Persia) came to power in the coastal town of **Kilwa** in the 12th century. The culture of the immigrants from Persia and Arabia was important in East African religion and politics, though the immigrants were not numerous and intermarried with Africans. The ruling classes in the towns were probably of mixed Afro-Arab descent, while commoners and slaves were Africans. Recent immigrants from Arabia and Persia formed a separate group. Islam, adopted first by the merchants and then by other elites and urbanites along the coast, began to spread in the 12th century. The **Swahili language was put into written form using Arabic script** in the early part of this period. 5

### 1300–1500

The rise of the **gold trade** led to Kilwa's eclipse of Mogadishu, Lamu, and Zanzibar after the 13th century. **Cowrie shells and locally minted coins** were used as currency in this trade. New wealth led to construction in coral in the towns, in a distinctive **Swahili style of architecture**. One of the most outstanding examples is the **Great Mosque of Kilwa**, reconstructed in the first half of the 15th century. **Swahili civilization reached its peak** in the 13th through the 15th centuries, before being overshadowed by the arrival of Portuguese power in the early 16th century. Less is known about the **East African interior**, because of the absence of written sources, but important developments can be discerned from archaeology and linguistics and in some cases from oral traditions. The history that emerges is one of the movements of various populations, identified by language groups, and changes in material culture due to contact with other people and the entry into new ecological zones. 6

**Larger kingdoms, based on the interaction between pastoralists and cultivators,** 7

began to emerge in the interlacustrine region. These kingdoms succeeded smaller states organized by Bantu cultivators in the region from around 900. Thus, the **Bito dynasty** in the **Bunyoro kingdom** (southwestern Uganda), founded by **Luo or Hima** pastoralists in about 1400, succeeded the **Chwezi dynasty** of Bantu cultivators. A new larger kingdom succeeded smaller Bantu states in **Rwanda** in the same period, incorporating both pastoralist and agriculturalist elements under **Tutsi domination** from about 1400.

## R. 1344–74

Another tradition based on migrations from the west following the Chwezi collapse names **Kimera** (1344–74) as founder of a **new dynasty in Buganda**, which was to become an important state in the succeeding era. (See [East Africa](#))

8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1000](#))

### e. [West Central Africa](#)

#### 1000

Despite an expansion of population in the preceding half millennium, the region was still **sparsely populated** compared with West Africa and the interlacustrine region. **Sanga**, on the Lualaba River in the **Katanga** (Shaba) region of present-day Zaire, had by this time a **rich metalworking tradition** in an area that attracted Iron Age populations, due to a good supply of fish and game and good rainfall for agriculture. These populations worked **copper mines** on the upper Lualaba River, to the southeast. The presence of salt and minerals also **avored the development of trade**—with standardized copper ingots as currency—and towns, which facilitated **political centralization**. This area was the core region for the development of the political culture that evolved into the **Luba and Lunda Empires**. <sup>1</sup>

#### 1250

The transition to later Iron Age culture in **Lunda** led to a centralization of power by territorial chiefdoms, in competition with lineage-based authority. <sup>2</sup>

#### 1350

The **Kongo kingdom** developed out of a prosperous farming community near the mouth of the **Congo River**. This location, with access to both forest and grassland economies, stimulated growth and trade. Kings at the settlement of **Mbanza Kongo centralized power** based on a **hierarchical system of tribute and trade**. The kingdom slowly <sup>3</sup>

expanded south of the river, conquering other chiefdoms.

## 1400

**Lunda** arrived at political stability based on the alliance of a central chief of real or putative foreign origin and the old lineages. A system of “perpetual kingship” developed, in which the new officeholder “becomes” his predecessor, ensuring continuation of alliances based on kinship, marriage, and conquest. 4

## 1400–1500

In **Angola**, this period saw the **emergence of many small kingdoms or chiefdoms** among the **Ndongo** peoples of the Luanda plateau. These small kingdoms coalesced around two types of **cults**: the *malunga*, associated with rainmaking, and the *ngola*, associated with iron. The *ngola* kings began to consolidate political and spiritual authority as well as control of trade and important resources, such as salt. 5

## 1483

**Portuguese arrived in Kongo** with commercial, religious, and strategic interests. They found a distinct class of aristocrats at the urban center and slaves who performed agricultural labor to support the elite class. The king appointed provincial governors, often his relatives. The king was chosen by a group of electors, and his power was to some degree limited by a council. The capital was the focus of **regional trade networks** involving iron, pottery, salt, copper, and ivory. **Imported European trade goods, along with teachers, priests, craftsmen, and Christianity created a distinctive court culture and had far-reaching effects** on the development of Kongo. 6

## 1500

Sometime before this date, the **Luba state** emerged, fusing several clans under one chief. By this time, Kongo was becoming a conquest state and a trading empire, with a separate aristocracy and middle class. Increasing commerce linked the forest zone to the interlacustrine region in the east and the emerging state systems to the west. (See [West Central Africa](#)) 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1000](#))

## f. [Southern Africa](#)

### 1. [North of the Limpopo](#)

#### 1000

By this date, the **Zambezi** and **Limpopo** basins were widely settled by Iron Age peoples, who farmed sorghum and millet and kept cattle and small livestock. Pockets of Stone Age hunter-gatherers remained in the savanna. Hunter-gatherers, ancestors of modern **San** groups, occupied the **Kalahari** to the southwest. <sup>1</sup>

#### 1000–1200

New cultures, including the **Leopard's Kopje** tradition in modern Zimbabwe, supplanted the early Iron Age cultures of this region. The new developments may have been influenced by the immigration of pastoralists in the 9th or 10th century. By the 12th century, Leopard's Kopje people were engaged in gold mining. The mining and trading economy led to the **accumulation of wealth** by a privileged class and **political centralization**. Other new farming-based societies, sparked by immigration or technological innovation, emerged in this region in the 12th century among **Shona** speakers. Later Iron Age peoples settled at what became **Great Zimbabwe** in the 10th or 11th century. Trading states linked to the trade of the East African coast appeared in coastal Mozambique. <sup>2</sup>

#### 1100–1300

From the 12th century, gold mining increased in the Leopard's Kopje area. In the 12th <sup>3</sup>

century, significant changes took place in **Great Zimbabwe**, through which Leopard's Kopje exports were traded to the coast. These changes included the building of stone walls and the import of glass beads and other luxury goods, indicating new trade and wealth. A **powerful state structure** emerged there by 1300. Its domain included much of central and southern Mashonaland. Both Zimbabwe and Leopard's Kopje developed **extensive trading networks and political centralization**. Long-distance trade led to the accumulation of considerable wealth by the rulers at Great Zimbabwe. This in turn led to **greater population densities**, which in the long run probably resulted in overgrazing and loss of fertility of the land.

### 1300–1400

**Great Zimbabwe's trade continued to flourish** through the 14th century. By this century, imports at Great Zimbabwe included glass beads as well as ceramics from Persia, Syria, and China.

4

### 1400–1500

The **gold trade** from Sofala to Kilwa, on which Great Zimbabwe's wealth depended, reached its height in this century and then went into a steep decline, influencing the rapid decline of Great Zimbabwe as a political and trading center. The site was abandoned at the end of the 15th century, perhaps as a result of environmental degradation. The decline of Great Zimbabwe coincided with the **emergence of the Rozwi Empire** under a ruler known as **Mwene Mutapa** (Master Pillager). About 1490 the southern part split off, leaving Mutapa with domain over a region south of the Zambezi stretching to the Indian Ocean. This northward shift of power was related to new gold production from 1450 on the Zambezi tributaries.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [650–1000](#))

## **g. [Madagascar](#)**

### **1000**

Indonesian immigrants had been settled on the island since the previous century. 1

### **1100–1500**

**Arab Muslim** influence became important as a result of immigrants involved with trade to the Arab and Swahili worlds. 2

### **1200–1500**

A new wave of **Indonesian immigration** to the east coast or northwest brought irrigated cultivation of rice, bananas, yams, and cocoa. Immigrants encountered earlier mix of Indonesian settlers and Africans, whom they called **Vazimba**. The two groups initially cooperated but eventually come into conflict, which led to the founding of **Merina state** on the interior plateau, toward the end of the period. The new immigrants (including Muslims) brought **institutions of royalty**, which had not existed previously on the island, but the developing political institutions reflected the contributions of Asians, Africans, and Muslims. 3

### **1300**

Muslim settlers arrived in the **Comoro Islands** from the east coast of Africa, and later settled in northwestern and northeastern Madagascar.

4

## 1400–1500

By this time, **Muslim settlements comparable to the Swahili coastal towns** had been established on the northwestern and (later in the century) northeastern coasts, for trading with the Swahili and Arab worlds. The settlements exported rice and soapstone carvings in exchange for imported pearls, cloth, and Chinese ceramics. (See [Madagascar](#))

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Korea, to 540 C.E.](#))

## **[E. East Asia, to 1527](#)**

### **[1. China, 589–960](#)**

#### **[a. Periodization and Events](#)**

The period from 589 to 960 covers the short Sui dynasty, the Tang—one of the longest Chinese dynasties—a period of splendid growth in every way, and a half century of disunion. Most historians of China, regardless of their subspeciality, would agree that a breaking point of great significance occurred at the end of the Tang and the beginning of the next imperial dynasty, the Song; others place it more generally over the course of the 10th century. This period has been forcefully argued as marking the beginning of Chinese modernity, the end of aristocracy and the commencement of meritocratic government, the shift from slavery to feudalism, the rise of centralized autocracy, and a host of other important transitions. Irrespective of ideological bent, though, virtually all historians recognize an all-important shift. <sup>1</sup>

#### **589**

With the Sui dynasty, efforts began immediately to link the Yellow River with the Yangzi River. A reintegration of north and south China began. <sup>2</sup>

#### **602–5**

Liu Fang suppressed a rebellion in An-nam, repelled the Cham, and sacked their capital at Indrapura. <sup>3</sup>



## 604–18

The **reign of Yangdi** (569–618) was tyrannical and egocentric; he was alleged to have killed his father. He moved the capital to Luoyang, began rebuilding the Great Wall (607–8), and completed the **Grand Canal** (605) to link Luoyang to the Yangzi River, which later was linked further to Beijing (608) and Hangzhou (610), as well as undertaking other fiscally draining public works projects. 4


## 606

The **National University** was enlarged and the **doctoral**, or *jinshi*, **degree** was first awarded. The first Japanese embassy was received from **Empress Suiko**. 5

## 607–8

Sui armies under Pei Ju attacked west into Xinjiang but were defeated. 6

## 612, 613, 614

**Three huge assaults on Koguryo** , a state on the Korean peninsula, by massive Sui armies proved economically and militarily debilitating. They destroyed the Sui economy and incurred popular ire, leading to domestic upheaval. 7

## 615

Sui forces were defeated by the Turks, prompting Yangdi to send **Gen. Li Yuan** (566–635) to combat the Turks, while he retired to the south, where he was murdered (618). 8

The recentralization policies set in motion by the Northern Zhou were continued by the Sui, and this aided the reunification of the empire and helped break the back of the great families. The Sui central government took control of all appointments to the regular bureaucracy and used extensive examinations. The Sui also adopted the Western Wei's militia system. The Sui census of 606 gave a national population of 46,019,956, a great rise from earlier. The Sui also continued the Tuoba Wei's equal-field system for land 9

distribution and taxation. Like the Qin, the Sui unified the country rapidly after centuries of disunion, but moved too quickly and too forcefully to try to secure its achievement; both were extremely short-lived.

## 618–907

The **TANG DYNASTY**, founded by **Li Yuan** (r. 618–26, as Taizu) and his son **LI SHIMIN** (600–49). The Tang was a truly brilliant age in Chinese history, and Tang institutions became models for the other countries of East Asia. **The Tang's principal capital was placed at Chang'an**, which became the largest city in the world and attracted visitors from many different lands, and an eastern capital was set up at Luoyang. The basic institutional foundation on which the Tang built—centralized authority, the civil service examination system, and the like—had been laid by the Sui. Li Shimin had pushed his father to depose Yangdi of the Sui and seize the throne. When the Tang came into existence, rebellions were still going on throughout the empire. Li Shimin fought them for seven years, and by 624 north China had been reconquered. The south was brought into line more through ameliorative, less harsh measures.

10

## 624

Li Shimin ambushed and eliminated his two elder brothers, had himself named crown prince, and two years later compelled his father to step down.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Political, Social, and Cultural Patterns**

The **Tang government** built on the Sui foundations of recentralized administrative control. In addition to the armed forces and the censorate, **the administration was split into three parts: the Department of State Affairs, the Secretariat, and the Chancellery**. At the beginning of the dynasty, the highest officials of these three agencies met daily with the emperor to hammer out decisions of state. Prior to his accession to the throne, Li Shimin headed the Department of State Affairs. Imperial edicts had to go through both the Secretariat and the Chancellery, which thus served as a check on the autocratic control of the sovereign. The Department of State Affairs had six ministries under its aegis: personnel, revenues, rites, war, justice, and public works. The entire administrative organization of state was laid out in the *Tang liudian (Six Canons of the Tang)*, which was written under Xuanzong. 1

In 711 all prefectures in the empire were placed into one of 10 circuits, later (733) expanded to 15, and later yet to 20. These circuits in the Xuanzong reign of the mid-Tang were headed by regional commanders who held both civil and military authority. After the Rebellion of An Lu-shan, they became virtual satrapies, the bases for the Five Dynasties era that followed the Tang. 2

**Personnel tapped for bureaucratic appointments came from a much wider group in the Tang than before;** far more men (only men) sat for the **civil service examinations**, and only a small percentage passed them. As the examination system became the regularized route to government service, the importance of education, necessary to pass the exams, skyrocketed. This in turn caused the spread of education. **There were two national universities in the Tang period**, one in Chang'an and one in Luoyang. The student populations were dominated by the aristocracy and sons of officials; the education offered was geared to taking the examinations at the various levels. The two most important examinations tested one's literary skills and one's knowledge of the classics of antiquity. A standard appointment lasted for three years, after which time one reapplied to the Ministry of Personnel. While on duty, all officials were evaluated annually by higher officials. There were nine bureaucratic ranks attached to the level and importance of a position, and movement up the ladder depended on receiving good reports, the availability of openings, and good family background. The Tang system 3

mixed aristocracy with meritocracy; the great families retained their prestige, but rising egalitarianism was creating more access to government for others. The Tang legal codes became the models for all of East Asia.

The **Tang militia system** also carried on from that of the Sui, but the Tang had professional career soldiers who tilled their own fields, a revered group in Tang times. There were 600 garrisons throughout the empire, mostly near Chang'an, Luoyang, and along the northern border. There was also a standing army, stationed in the capital, which served as an imperial bodyguard. It provided the base of the Tang fighting force into the 8th century. By 749 the militia system had effectively become defunct in the capital region, although it remained in force along the border areas; even it needed conscription, though, to keep troop strength up. Later in the dynasty, the state was compelled to rely on mercenaries hired in the regional commanderies, a background cause of both the Rebellion of An Lu-shan and the subsequent decentralization of power.

In **population**, the census of 753 (on the eve of the Rebellion of An Lu-shan) recorded a figure of 52,880,488. Eleven years later, the census of 764 (after the rebellion) gave a figure of 16,900,000. Although this figure is certainly too low, it does indicate a clear decline in population. Two-thirds of the population still lived in northern China until after the rebellion; from that point on, the population of the Yangzi Delta reached parity with the north. In the early 8th century, the 26 largest prefectures all had more than 500,000 people. Chang'an prefecture had 2 million, and Luoyang was in excess of 1 million. Chang'an in the mid-Tang was both the largest and the most cosmopolitan city in the world. There were 30 square miles within the city walls, divided into countless wards for specific uses, and boasting hundreds of temples.

Either in the late Tang or during the Five Dynasties period, the practice of **foot binding** began to spread. Young girls would be guided, usually by their mothers, to wrap their feet extremely tightly with pieces of cloth. These would then restrict the growth of the foot and keep it stylishly small and dainty, albeit at cost of great pain for the young women. The practice eventually spread to various social classes, although certain ethnic groups (such as the Hakka people) never practiced the custom.

The **equal-field land system** was in full force early in the Tang. Under this system, all families were allocated land by the state, and in return they paid a tripartite tax: a grain payment for land rent, a corvée labor assessment or payment in its stead, and payment of a set amount of cloth. This system held up through the middle of the Tang, despite inequities and favoritism, and helped the peasantry's state of affairs. Buddhist temples and monasteries acquired land without taxation. The tax reforms of 780 instituted by the official Yang Yan (727–81) aimed at saving the declining equal-field system. This created a new structure known as the **double-tax system** (paid in summer and fall): half was a household tax payable in cash, indicating the rise of monetary economy; and half was a land tax payable in grain. These measures brought stability to the national taxation system, although they did favor those with land. In fiscal administration, Liu Yan

(715–80) rebuilt and oversaw the state's monopoly on salt, which brought the state considerable revenue before the double-tax reforms.

The variety of **religions** present in the Tang period was remarkable. It was an era of great development, particularly for **Buddhism**. After 16 years spent in India, the famed pilgrim **XUANZANG** (c. 596–664) returned to China in 645 with a large quantity of original Indian texts. He chronicled his travels and later headed a commission that translated 75 books in 1335 volumes, creating a system of consistent transcription from Sanskrit. He introduced the scholastic doctrine of Vasubandhu, that the visual universe is only a mental image. The **Pure Land sect** of Buddhism enjoyed popular favor for the next 70 years. Based on texts translated earlier, it taught direct salvation through faith in Amitabha and the repeated invocation of his name. The **Chan sect** was developed by **Huineng** (638–713), the sixth patriarch. It continued to acquire followers, especially as disorder grew in the later years of the dynasty, offering refuge through introspective contemplation.

As early as 607, the Sui had ordered all Buddhist sects to pay homage to the throne and had tried to regulate entry into the Buddhist and Daoist clergy. These practices were continued by the Tang, and Buddhism flourished through the Tang until the persecution of 841–45. Earlier, the great poet and prose writer **Han Yu** (786–824) had vilified Buddhism as a foreign, non-Chinese religion, as part of an effort to revive Confucianism. The persecutions of the 840s destroyed 4600 monasteries and 40,000 temples and shrines; 260,500 monks and nuns and 150,000 lay servants were returned to the tax rolls; and huge amounts of land were likewise returned to the tax registers. The attacks were not so much inspired by anti-Buddhist sentiments as they were an effort to regain state control in that sector, and they reveal that even at a time when there was an allegedly weak center, the state had the capacity to carry out such a repression.

**Daoism** also prospered in the Tang. It was, in many ways, reorganized on the Buddhist model, gaining imperial patronage. It was argued that since Laozi was said to have been surnamed Li and so was the Tang imperial house, he must have been the ancestor of the Tang emperors. A large compendium of Daoist writings, the *Daozang*, was prepared along Buddhist lines.

In **historical scholarship**, **Liu Zhiji** (661–721) composed the *Shitong (Generalities on History)*, the world's first work explicitly in the field of historiography. **Du You** (735–812) devoted 36 years (766–801) to the compilation of the *Tongdian (Comprehensive Canon)*, a historical encyclopedia with 200 sections, covering a panoply of topics from high antiquity through the year 755. In literature, **fiction** began to develop, especially toward the end of the Tang, in the form of the *chuanji* (strange tales), short stories that appeared in numerous anthologies. They were composed in the literary language, and only later appeared in the colloquial. Han Yu urged a return to a simple “ancient style,” and he spawned a movement that produced much *chuanji* writing. The Tang was the golden age for Chinese poetry. The *Quan Tang shi (Complete Tang*

8

9

10

11

*Poems*) includes 48,900 poems written by 2300 authors, mostly officials or candidates (and hence intellectuals). Regulated verse, prose poems, songs, and other forms flourished. During the Xuanzong reign lived three of the greatest poets: **Wang Wei** (699–759), **Li Bo** (701–62), and **Du Fu** (712–70). In the 9th century, in addition to Han Yu, **Bo Juyi** (772–846) was a high official and a brilliant poet and essayist.

In the field of art, **Wu Daoyuan** (c. 700–60) painted murals in temples and monasteries and was also a fine figure painter. **Li Sixun** (651–716) and the poet Wang Wei created two of the first and most influential landscape styles. Tang-period pottery was resplendent with new colors in soft lead glazes, applied with new technical versatility. The first true porcelain with high-fired feldspathic glaze probably dates from about this time. 12

Yixing (c. 725), a Buddhist astronomer, invented the first known clock escapement. The Buddhists also enlarged the seal and produced wood blocks for **printing on paper**, although the oldest extant datable text is from 8th-century Korea. During the Five Dynasties era, **a complete, 130-volume set of the classics was first printed** (932–53), with commentaries, from wood blocks—a cheap substitute for stone engraving. The volumes were printed in the Later Tang capital of Luoyang by **Feng Dao** (882–954), who had seen the process in Sichuan. The text used was that of the stone inscription of 836–41. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [China, 960–1521](#)

### a. [Periodization and Events](#)

The period from 960 through 1521 covers two great Chinese dynasties, the Song and the first part of the Ming, and the first complete conquest of China by the Mongols. <sup>1</sup>

#### 960–1279

The **SONG DYNASTY** marked a shift away from the earlier aristocratic traditions toward a more open, meritocratic state and society. Reflections of this development can be found in scholarship, literature, thought, and art. Some have identified the Song with the advent of modernity or early modernity; others have seen it as a Chinese counterpart to the European Renaissance; still others have seen fit not to name it as such. It was an age marked by humanism and a turning inward, an age of less cosmopolitanism than in the Tang, an age that saw Confucianism eclipse Buddhism and Daoism. The Song was the only major dynasty in Chinese history not to be overthrown by rebellion from within. The first half of the dynasty is usually distinguished as the **Northern Song** (960–1127), when the capital was at Kaifeng, then called Bianjing or Bianliang. <sup>2</sup>

#### 960–76

The **reign of Zhao Kuangyin** (b. 927), or (Song) Taizu, who founded the Song dynasty, brought a measure of order and unity to the empire. Zhao had been a general in the Later Zhou state, the last of the Five Dynasties. Zhao and the Song were immediately beset by problems on the Song state's borders: from the Khitan Liao to the northeast; the Tangut kingdom of **Xixia**, a confederation of Tibetan tribes in the northwest; and separatist kingdoms in the south. Through expansion of the civil service examination system, Zhao began a process of increasing civil control over the military and of ensuring that all civil officials were beholden to the center. This also served to centralize the authority of the <sup>3</sup>

imperial institution.

### 963–75

Through continued campaigns against various regimes in the south, the Song brought those peoples under Chinese control. Exceptions were An-nam, which secured its independence, and the Nanzhao kingdom and Wuyue, which were not attacked. 4

### 976–97

The **reign of Taizong** (b. 939) completed the program of reunifying the empire (979), except for the 16 northern prefectures that were seized earlier by the Khitan and held despite several attacks against them (979, 986). 5

### 1004

An invasion by the Khitan reached the Yellow River area near Kaifeng. The invaders were appeased with an annual tribute payment in silver and silk, which was increased in 1042. 6

### 1006

Granaries for emergency relief were established in every prefecture. 7

### 1040–44

War was begun by the Xixia, but there was no discernible victor. To gain peace, the Song agreed to pay an annual tribute of silver and silk. Subsequent efforts (1069, 1081–82) by the Chinese failed to halt continued trouble from the Xixia. 8

By the year 1100, the **population** of China probably neared 100 million, having surpassed the Tang's highest figure of 60 million some time in the middle of the 11th century. The introduction of new seeds from Southeast Asia and advances in technology for both industry and agriculture helped fuel this growth. The **cities** of Song China became complex urban networks, and **commerce** flourished as it had never before. The 9



spread of printing served to bring literacy and education to a much wider segment of the populace than had earlier been the case, and the old Chinese aristocracy effectively lost all hold on Chinese politics, education, and government. The military, from the Taizu and Taizong reigns forward, was permanently placed at a social level beneath civil positions.

### 1043–44

**Fan Zhongyan** (989–1052) proposed a ten-point program of reform. Abuses through the course of the prosperous 11th century, especially in the countryside, brought rural misery and the depletion of the central treasury. Fan sought to bring better men into government and to concentrate on local government. <sup>10</sup>

### 1069–73

**WANG ANSHI** (1021–86) attempted to implement a program of radical reforms, his famous **New Laws** (Xinfa), with the full confidence of **Emperor Shenzong** (r. 1068–85) and in the face of the bitter opposition of more conservative statesmen. These reforms included the following. Through a **financial bureau** (1069), he cut the budget by 40 percent and raised salaries, in an effort to make honesty feasible for ordinary officials. To avoid excessive transport costs and to control prices, he empowered the chief transport officer to accept taxes in cash or kind, to sell from the granaries, and to buy from the cheapest markets. To protect poor farmers further against usurers and monopolists, loans of cash or grain were offered in the spring against crop estimates to be repaid in the fall with an interest of 2 percent monthly (moderate for China at the time). Ambitious officials forced these loans on merchants and others who did not want them. Objections to both the principles and the administration of these measures, which were accompanied by a considerable centralization of power and credit in state hands and by disregard for precedent, led to numerous resignations and the transfer of many of the best officials, whose help might have made them successful. **Conscript militia** were organized (1070) and trained for police purposes and national defense. The standing army of well over a million less-than-efficient men was gradually cut in half. By 1076 the militia, volunteer guards, and border bowmen numbered more than 7 million men. **Cash assessments** graded in proportion to property were substituted (1071) for compulsory public services, such as corvée. The exemption for officials, clergy, and small families was reduced by half. **State banking** and barter offices were opened (1072), first at the capital and later in every prefecture, with the object of controlling prices for popular benefit. Among those most fervently opposed to Wang were the brilliant writer **Ouyang Xiu** (1007–72), the great historian **Sima Guang** (1019–86), and <sup>11</sup>

the most famous poet of the day, **Su Shi, or Su Dongpo** (1037–1101).

## 1074–85

Wang's reform program was continued, despite claims of excessive cash levies and other abuses, until the death of Shenzong. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Political, Social, and Cultural Patterns**

The Tang-Song transition in Chinese **government** was marked by two seemingly contradictory trends, rising absolutism in the imperial institution and growing, institutionalized meritocracy through regularization of the civil service examination system. In earlier eras, the emperor had ruled on behalf of a collegial body of aristocrats, among whom his family might not even have been the highest ranking. With the disappearance of the aristocracy, the Song needed able men to staff its bureaucracy, and it turned to the male population at large. Thus status in the civil service became a function of knowledge, acquired through long hours of rigorous study of the Confucian canon. Concomitant with the centralizing trend in imperial authority was the trend to consolidate as much power as possible in fewer and fewer hands directly answerable to the emperor. 1

In **military affairs**, the Song seems to have learned an important lesson from the experience of the Tang and earlier states. Centralization of authority in all military matters served to eliminate regional military power. Civil authority came to gain control over the military. With this trend came a sharp decline in the prestige of military careers. 2

**Local society** in the Song, below the level of centrally appointed local officials, remained largely in the hands of local leaders. All the normal functions of government—taxation, jurisprudence, social order, and the like—were the responsibility of local elites. Even as the population grew, though, the number of local political units—counties and prefectures—remained roughly the same; they were simply much more heavily populated. In addition there was rapid **commercialization** and **urbanization** as Song cities grew and new ones came into existence. After the Jurchens conquered the north, the Southern Song's population was roughly 60 million. Approximately 2 million people lived within the walls of the Southern Song capital of Hangzhou, which **Marco Polo** (1254–1324) visited and described shortly after the fall of the Song. 3

**Printing**, invented earlier, developed rapidly in the Song into a vibrant industry. The entire Buddhist canon, or *Tripitaka* (*Three Baskets*), was printed (972–83), a collection of 1521 texts on 130,000 pages, and it was reprinted many times thereafter. 4

Chinese **agriculture** from the late Tang through the Northern Song underwent a major transformation. As a larger percentage of the population moved into the south, the production of rice rapidly grew in importance. It required new kinds of irrigation techniques and intensive labor. Introduced from Champa in Southeast Asia was a strain of rice that ripened more quickly and thus enabled Chinese farmers to plant a second crop after their rice was harvested. In some areas, three crops could be grown and harvested in one season. 5

The **world of thought** in the Song period witnessed the decline of Buddhism and the rise of Neo-Confucianism. This occurred in tandem with the wide extension and regularization of the examination system, the education that was necessary to pass the exams, and the explosion in printing. Following the model of the Buddhist *Tripitaka*, the *Daozang*, a Daoist *Tripitaka*, was published (1019). The major Buddhist sects that remained vital after the Song were the Pure Land and Chan sects, the latter splitting into a number of subdivisions of its own. 6

**Neo-Confucianism**, although datable to trends in the late Tang, took off as a movement in the Northern Song. It was an attempt to go back to the original sources of Chinese tradition, before the coming of Buddhism, to create a Chinese tradition with answers to the metaphysical and cosmic questions that until then only Buddhism and Daoism had been able to answer. It reinterpreted many of the texts thought to date from the Zhou period in new ways that could present secular counterparts to a range of ideas to which Buddhism appealed. It was closely tied to state service through its great stress on education and on making officials as sagacious as possible. 7

The principal figures in what became known as the Cheng-Zhu school of Neo-Confucianism were: **Zhou Dunyi** (1017–73), who worked extensively on explicating the “Supreme Ultimate” (from the *Yijing*), describing a “diagram” of it that linked man to nature and the cosmos; **Shao Yong** (1011–77) who studied the *Yijing* as well; **Zhang Zai** (1020–77), who is often seen as an early materialist because of his belief in the omnipresence in the universe of *qi* (ether, or material stuff); and the Cheng brothers, **Cheng Hao** (1032–85), who worked further in the field of metaphysics, and **Cheng Yi** (1033–1108), who was principally responsible for identifying four texts—*Mencius*, *The Great Learning*, *The Doctrine of the Mean*, and *The Analects of Confucius*—as the most essential and which became the basis of Neo-Confucian education thereafter. The final synthesis of the Cheng-Zhu system (also known as *lixue*, or the learning of principle) was the work of **ZHU XI** (1130–1200). Zhu was a great polymath who wrote on education, philosophy, the family, and the state, and commentaries on all the classics. The **Four Books** identified by Cheng Yi were later almost always published with Zhu's interlinear commentaries. Although Zhu was not overly successful in his lifetime and his work was subject to imperial ban shortly before his death, his posthumous influence would be unmatched from his time forward. His major work, *Jinsi lu* (*Reflections on Things at Hand*), was compiled in 1175–76 and was intended as a guide to Cheng-Zhu 8

doctrines and the classics.

The principal opponent of the Cheng-Zhu school in the Song period was **Lu Jiuyuan** (1139–93), who argued that human nature was a function of one's mind or heart. Hence, the school he spawned was known as *xinxue*, or learning of the mind-and-heart. Zhu Xi had not denied the mind as much as Lu Jiuyuan did deny the importance of principle. Lu's school was developed much further by more influential and prolific scholars during the Ming dynasty.

**Historical scholarship** similarly made great advances in the Song era. The “rediscovery” of the ancient classical texts required extensive explanations and commentaries of those works. **Ouyang Xiu** (1007–72) was a prominent statesman and an advocate of composition in the ancient style of writing; he prepared the *New History of the Tang Dynasty* and was famed for his prose style. **Sima Guang** (1019–86), well known for his political opposition to Wang Anshi, spent 19 years compiling his comprehensive history of China from 404 B.C.E. into the first reign of the Song dynasty, the *Zizhi tongjian* (*Comprehensive Mirror for Aid in Government*), which was presented to the emperor in 1084. Other forms of historical writing also prospered in the Southern Song, among them local histories and gazetteers. Several major encyclopedias were also completed in the Song, including *Wenxian tongkao*, by Ma Duanlin (c. 1250–1325); *Taiping yulan* (983); *Cefu yuangui* (1013); and *Yuhai*, by Wang Yinglin (1223–96).

**Poetry** was produced in great quantity by Song writers, but not of a quality as great as that of the Tang. There were exceptions, like the poems of the great Su Shi, who was also a master **calligrapher**. Another exceptional poet was **Lu You** (1125–1209), an author of patriotic poetry.

**Painting** developed dramatically in the Song. Emperor Huizong, himself an able painter, was an active patron of the arts. He founded the Imperial Academy of Painting. The Northern Song was a golden age for **landscape painting**, with compositions of immense size and great detail rendered in monochrome and color on long rolls or broad panels of silk. **Guo Xi** (1020–90?) not only painted landscapes but also wrote on the theory of painting. **Mi Fei**, or **Mi Fu** (1051–1107), scarcely used lines in his work, building mountains and forests from graded accumulations of ink; he was also a master calligrapher, as was **Huang Tingjian** (1045–1105). All considered themselves “amateur” or “literati” painters rather than specialized artists. In the Southern Song, painters most often reproduced the misty landscapes of the Hangzhou area. **Ma Yuan** (1190–1224), **Xia Gui** (c. 1180–1230), and their school placed special emphasis on economy of line and the representation of mists and clouds. Religious painters continued to produce work as well; **Chen Rong** (c. 1235–55) ranks as China's greatest painter of dragons.

During the Song period, **ceramics** became objects of both art and everyday use in the household. Local areas became known for their pottery, usually in conjunction with state-sponsored kilns. Song ceramicists mastered the technique of high-fired glazes.

Although tea was cited as early as the 3rd century as a substitute for wine, **tea drinking** became prominent in the Northern Song. 14

Exactly when the **principle of magnetic polarity**, known to the Chinese at least from the 1st century C.E., was first employed in the invention of the mariner's compass with the floating needle has not been firmly established. However, Chinese ships were outfitted with them in the Song period. The compass is mentioned by Chinese writers in the 12th century. The volume of **maritime commerce** swelled greatly as Arabs in the 9th and 10th centuries entered into competition with Persians at Guangzhou (Canton) and Quanzhou, and later at Hangzhou as well. 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. The Mongol Period



THE MONGOL EMPIRE (MAP)



THE SUCCESSORS OF CHINGGIS KHAN (1227-1336)

#### 1190s

**THE MONGOLS** in central Asia formed a new empire under **Temujin** (1167–1227),<sup>1</sup> who rapidly expanded the empire by use of strategy and his military machine, employing discipline, extraordinary mobility (especially on horseback), espionage, terror, and superior siege material.

#### 1194

The **Yellow River** shifted direction and flowed south of the Shandong Peninsula until 1853.<sup>2</sup>

#### 1206

**Temujin was proclaimed CHINGGIS KHAN** “ruler of the world”) at the Mongolian capital of Karakorum.<sup>3</sup>

## 1210

The Mongols under Chinggis Khan first attacked the northern border of the Jin, seizing Beijing in 1215 and the Xixia state two years later. The Jin were driven south to the Yellow River (1211–22).

4

## 1215

**Yelü Chucai** (1189–1243), Sinified descendant of the royal Khitan house, became an adviser to Chinggis. He allegedly convinced his lord that it might not be a wise idea to depopulate northern China and make it into a grazing land for the migrating herds; instead he taught the Mongols how to collect agricultural taxes by time-tested Chinese methods.

5

## 1219–21

Mongol armies conquered the Turkish empire of Khwarazm (See [1220–23](#)).

6

## 1227

The Xixia was finally destroyed with a massacre at Ningxia. At the end of his life, Chinggis divided his massive empire into four khanates and bequeathed them to his immediate descendants: the Kipchak khanate (Golden Horde) to **Batu** (1207–55); the Chaghadai khanate (the former Kara-Khitai empire) to Chaghadai (d. 1242); the Great Khan to Ögödei (1186–1241); and the Persian khanate (the Ilkhanids) to Tului (1192–1232).

7

## 1232

Using the same policy ill-advisedly used with the Jurchens against the Liao, the Song allied with the Mongols to defeat the Jin. Kaifeng was taken. Within two years, the Jin were overwhelmed, but in 1235 the Mongols began to attack the Song, taking Sichuan in 1236–38.

8



## 1241

After stunning Mongol military successes in Russia in the late 1230s, two Mongol armies entered central Europe and the Balkans and were poised to attack Western Christendom. Mongol horsemen were outside the walls of Vienna when news arrived that the Great Khan had died. As per Mongol custom, the armies withdrew to Karakorum so that the generals could participate in the election of a new Great Khan, Chinggis's son Ögödei.

9

## 1251–59

After discord and several short-reigning Great Khans, **Möngke** (1208–59) was elected by the Mongolian diet. His brother **Khubilai** (1214–94) led armies on attacks to the south and west, defeating Nanzhao (1252–53). Khubilai's forces laid siege to the city of Wuhan (1259), but again news of the death of the Great Khan forced the Mongols to withdraw to Karakorum.

10

## 1254

Möngke, the son of a Nestorian woman and Tului, told William of Rubruck (c. 1220–c. 1293), envoy of Louis IX of France, that religions were like the fingers of one hand.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### d. [The Early Ming](#)

The **MING DYNASTY** was founded by **ZHU YUANZHANG** (b. 1328, r. 1368–98),<sup>1</sup> who reigned as Taizu, the second time a peasant had risen all the way to emperor. Owing to poverty, Taizu had become a Buddhist monk, but later he turned to rebellion against the Mongols, leading a huge band of followers in south China to conquer the north, the first time the country was reunited through conquest from the south (the only other time was by the Chinese Communists). He first took Nanjing (1356) and set up a government there, and then he expanded to force the Mongols out of Beijing (1368), Manchuria (1387), and Xinjiang (1388), as well as through western and southwestern China. He kept Nanjing as his capital. He changed the practice of reign titles, so that there would be only one per reign, his being **Hongwu**. He furthered the two earlier trends toward the centralization of power and the opening of the avenues of access to bureaucratic advancement. The early Ming launched expansion drives on the borders and overseas, while working to minimize contacts between Chinese and foreigners; these restrictions abated by the mid-15th century.

#### 1402–24

After a short second reign, Taizu's son **Chengzu**, or **Yongle** (b. 1360), seized the throne.<sup>2</sup> He proceeded to have Beijing rebuilt and to have the Grand Canal refurbished to handle traffic in supplies and foodstuffs, and he then ordered the capital moved to Beijing (1421). He began the process of building up the Grand Secretariat. Yongle led a series of military missions into Mongolia (1410, 1414, 1422–24); he sent expeditions south against Dai Viet and annexed it (1406); and he tried to quell the coastal raiders known as “Japanese pirates,” forcing Japan to accept tributary status.

#### 1405

The death of **Timur I-Lang** (known in the West as Tamerlane, b. 1336) (See [Major Interregional Expansions](#)) brought to an end an imminent military threat to the Ming from the east. Having risen to power in 1369, Timur had taken over the Chaghadai khanate, conquered the Kipchak khanate, and, with his capital in Samarkand, was in the process of rebuilding the Mongolian Empire. 3

### 1405–33

**Zheng He** (1371–1433), the eunuch Muslim admiral, was sent on a **series of seven naval expeditions to the Indian Ocean**, going as far as the east coast of Africa and bringing a number of regimes en route into vassalage status with respect to the Ming. The expeditions were discontinued for reasons still not well understood, although they never were seen in the same light as later European explorations to other continents. The voyages were extremely expensive, and the goods obtained in trade were ultimately not that dearly desired back in China. 4

### 1449

**Emperor Yingzong** (b. 1427, r. 1435–49, 1457–64) was captured in battle by the chief of the Oirat, a new Mongol confederation of four tribes. He was released the next year and recovered the throne seven years later. 5

### 1520–21

The Portuguese, who under Albuquerque (1453–1515) had seized Malacca (1511), sent Thomé Pires to Beijing. The Portuguese established a permanent settlement at Macao (1557). 6

### 1521

Death of the Chengde emperor Wu-tsung (r. 1506–21). The Jiajing emperor (r. 1522–66) assumed the throne the following year. (See [The Remainder of the Ming Dynasty](#)) 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Geography](#))

### 3. [Korea, 540–918](#)

This period began with Korea divided into three contending kingdoms at war with one another: Silla, Paekche, and Koguryŏ. When the Sui dynasty reunified China (589), it attempted to incorporate Korea militarily into the new empire, but was unsuccessful. The Silla state eventually reunited the kingdoms into a single state on the Korean Peninsula (668), and this lasted for two and a half centuries before breaking up again. The major Sinitic schools of thought and religion continued to penetrate Korean society and culture, and many Koreans actually traveled to China to study with great teachers at the source, returning home to sponsor new schools, reform programs, doctrines, and the like. <sup>1</sup>

#### 540–76

During the **reign of King Chinhŏng**, Silla's expansion progressed. Silla launched an attack, together with Paekche (551), and took the entire Han River Basin area. The Paekche king **Sŏng** (r. 523–54) moved the capital from Ungjin to Sabi and then attacked Silla, thus ending an alliance of 121 years. Silla won, thus opening a window for sea contact with southern China across the Yellow Sea. <sup>2</sup>

#### 562

The small Kaya kingdom at the southern tip of the Korean Peninsula was finished off by Silla. <sup>3</sup>

#### 589

The Sui reunified China and confronted the Tujue from the northern steppe (See [589](#)). Kogurye allied with the Tujue against the Sui; Paekche, Kogurye's erstwhile ally, linked up with the Wa state in Japan; Silla joined forces with the Sui.

4

## 598

Kogurye attacked across the Liao River. Wendi of the Sui responded militarily but was beaten back.

5

## 612

Yangdi of the Sui sent a huge force of more than one million against Kogurye, but was defeated and suffered many casualties.

6

## 618

The Sui fell after several more attempts to conquer Kogurye, which then prepared for Tang invasions.

7

Chinese political institutions, Buddhism, Confucianism, and the Chinese writing system were imported to all three of the principal Korean kingdoms, in spite of changing conditions of war and peace with various Chinese states.

8

The **Three Kingdoms period** was an age of **strong, centralized aristocracy** in all three states. The best known was Silla's "bone-rank" system, which implied a hereditary bloodline; it had a detailed differentiation of social strata, with stratified privileges. Bureaucratic administrations were also uniformly structured around the aristocracies in all three kingdoms. The highest aristocrats controlled politics, often in collegial bodies such as Silla's Council of Nobles. Although the states were each subdivided into administrative units (districts), centralized authority remained in the capitals. The military was also organized under each state's king.

9

Gradually the idea emerged that the king owned all the **land**, even though aristocrats held immense landed estates; others were given land for meritorious deeds. The states theoretically had control over the farming populace, which paid **taxes** and performed **corvée labor**.

10

In **culture**, the Three Kingdoms witnessed a wide usage of Chinese writing, with various

11

adaptations attempting to accommodate the Korean language, which is radically different in structure from Chinese. The first **historical compilations** in, respectively, Koguryŏ, Paekche, and Silla were: *Sinjip (New Compilation)* by Yi Mun-jin (600); *Sŏnggi (Documentary Records)* by Kohŏng (mid-4th century); and *Kuksa (History of the Nation)* by Kŏch'ilbu (545). None of these is now extant, but they were said to have later been used by **Kim Pu-sik** (1075–1171) in his magnum opus, *Samguk sagi (History of the Three Kingdoms)*. All three states pushed Confucianism as a way to preserve the aristocratic orders.

Buddhism was adopted in all three states as a part of the Chinese cultural package. It was probably seen by the elite as supportive of the aristocratic state structure. High monks acquired political clout as royal advisers.

12

### 640s

Paekche attacked Silla (early 640s), and Silla sought out Chinese help. Two Tang expeditions against Koguryŏ (645–47) ended in defeat for the Chinese.

13

### 654

**King Muymul** (r. 654–61) seized the throne, commencing a trend toward a more autocratic Silla royal institution, at the expense of the aristocracy.

14

### 660

Tang armies attacked Paekche, took the capital at Sabi, forced the surrender of King **ija** (r. 641–60), and destroyed the state of Paekche.

15

### 667

Tang and Silla joined forces to attack Koguryŏ, already weakened by war and internecine dissension. Koguryŏ was defeated the following year.

16

## 668–918

**Unified Silla** reunited the Korean Peninsula. The Tang wanted to retain control over the terrain of the former Koguryŏ and set up commanderies there, some headed by Koreans. Silla became apprehensive about Tang objectives. Silla took Sabi from the Chinese (671), and with it control over Paekche. After 676 the Tang dynasty accepted Silla as master over the peninsula, though much of the Manchurian territory under former Koguryŏ control did not fall into the hands of Unified Silla. The capital was placed at Kyŏngju, where the Silla aristocracy settled. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## 4. [Korea, 918–1392](#)

### a. [Major Events](#)

#### 918–1392

The **KORYŬ STATE** was founded by **Wang Kŏn** (b. 877, r. 918–43), who through military and civil capacities had become king of Later Koguryŭ (Later Three Kingdoms era). He renamed it Koryŭ.

#### 934–36

Koryŭ began the process of reunification of the Later Three Kingdoms by defeating Later Paekche. Silla surrendered in 935. Wang Kŏn became **King T'aejo**. He treated the former Silla aristocrats well, and many of them became Koryŭ bureaucrats, even as he set out to dismantle the bone-rank system. He established good relations with the castle lords in the local areas.

#### 942

King T'aejo responded to peaceful overtures from the Khitans by snubbing them, as he considered them barbarians.

#### 949–75

During the **reign of King Kwangjong**, order was revived in the face of the rebellions following T'aejo's death. Kwangjong began a military push toward the Yalu River, in the Khitans' direction.

4

## 958

Kwangjong implemented a **civil service examination** to bring Confucian-minded men into civil office and to build a new bureaucratic apparatus.

5

## 981–97

During **S[!]**ngjong's reign, efforts continued to create a new aristocratic order with aristocrats drawn from many different great families, not just high-born royal clans. They came to control the politics and government under Kory[!], with its capital at Kaes[!]. Measures were adopted to guarantee that social status would be hereditary, though there were many cases of social mobility in civil and military realms.

6

## 983–1076

Kory[!] governmental administration took shape, with three principal agencies and six boards modeled after those of Tang China.

7

## 992

A **National University** was established in the capital under S[!]ngjong, who was particularly attentive to spreading education among the larger populace.

8

## 993

The Khitans crossed the Yalu and invaded Kory[!] (993), but were talked into withdrawing by an adept Kory[!] diplomat. A second invasion early in the 11th century

9

led to the occupation of Kaes<sup>!</sup>ng, but the Khitans again withdrew when their supply lines grew dangerously stretched. The third and final Khitan attack (1018) was vigorously repulsed at the great loss of Khitan life.

## 1087

Printing of the *Kory<sup>!</sup> Tripitaka*, an edition of the Buddhist canon printed from wood blocks, was completed. It was begun early in the century in supplication to forestall the Khitan attacks.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Political, Social, and Cultural Patterns

In **military** matters, Koryŏ achieved power through military conquest of the other Later Three Kingdoms and was confronted with problems from the Khitans soon after taking power. However, the rise of aristocratic rule was premised on the superiority of civil to military affairs, and thus military men were given lower social and economic status in Koryŏ. Denigration of the military grew severe under King **ijong**. Military officers rebelled (1170), deposed **ijong**, placed a puppet king on the throne, and wiped out numerous civil officials. Bloody infighting ensued.

**Land** was granted by quality and allocated (998) in accordance with an official's bureaucratic rank, thus providing said official's salary. When the official died, his land reverted to the state, following the theory that all land belonged to the king. The state managed the land and collected rents. Higher officials earned special stipends of land in addition. In fact, there was private land as well. During the 13th century, large portions of land were given to the Mongols. With the reforms at the end of Koryŏ, and the reversion of all private and public lands to state control, the powerful families found their economic underpinnings demolished.

The Koryŏ **taxation system** was tripartite in structure, again much like Tang China. The peasants who worked the land paid a rent based on a percentage of crop yield, they paid a tribute tax in cloth, and all able-bodied men were obliged to serve in corvée labor annually. Below the peasantry was a slave class, some state-owned and some in private hands. To relieve the harsh lives of the farming population and prevent large-scale vacating of lands and roving bands of landless peasants, the state instituted a number of measures, such as “ever-normal granaries” (as in China).

The Koryŏ **civil service examinations** were theoretically open to all men, with several exceptions, but in fact only the elite sat for them. There were two types of examinations, one on composition and one on the Chinese classics; the latter tended to be more important. Since, unlike earlier, access to government office was opened to a wide number of elite families, the civil service examinations became the means of controlling

entrance into the bureaucracy.

**Confucianism**, in the political mold it had taken in China as working together with the Legalist state, proved desirable to Koryŏ aristocrats and thus developed rapidly in the Koryŏ era. Private academies, the primary avenue for the education of aristocrats, flourished. **Ch'oe Ch'ung** (984–1068), known as the Confucius of Korea, ran one such academy. At the same time, state schools went into decline. Under Yejong (r. 1103–22) and Injong (r. 1122–46), efforts were made to stem this tide. Confucianism stressed moral cultivation and social order. The rise of the scholar-official class in late Koryŏ went hand in glove with the rising popularity of Neo-Confucianism, especially with its stress on moral character as the foundation of the state.

**Buddhism** was not repudiated but was supplemented by Confucianism's worldly rationalism. The Ch'ont'ae (Tiantai in Chinese) sect became very popular. Tax-exempt Buddhist monasteries became exceedingly wealthy, and monks armed themselves to defend their wealth. The Chogye sect of Sŏn Buddhism, a tradition native to Korea, developed following the Ch'oe coup; it taught that sudden enlightenment must be followed by gradual cultivation of the mind.

In **painting**, little remains from the Koryŏ period, though here Chinese models seem not to have been dominant. In the late Koryŏ, a trend similar to one in Song China emerged: that of the literati (nonprofessional) painter. Calligraphy also flourished. Koryŏ **celadon** ware showed Song influence, but it is considered even better than its Chinese models.

Several major works of **historical scholarship** date from this era, including *Samguk sagi* (*History of the Three Kingdoms*) by **Kim Pu-sik** (1075–1151), a thoroughly Confucian work written in the Chinese annalistic style; and *Samguk yusa* (*Memorabilia of the Three Kingdoms*) by the Buddhist monk **Iryŏn** (1206–89), which traced Korean history back to the legendary Tan'gun. (See [Korea, 1392–1800](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)


[PREVIOUS](#)

[NEXT](#)

(See [Geography](#))

## 5. [Japan, 552–1185](#)

552

It is traditionally believed that in this year **Buddhism** was introduced to Yamato Japan from Paekche. Although there were probably Buddhist converts already in Japan at the time, at this point Buddhism began to play a major role in Japanese history and to stimulate the continued influx of mainland culture by way of Paekche. Supported by the powerful **Soga clan** and strengthened by the recent arrival of Buddhist monks from Korea, Buddhism made headway at court, but a temporary proscription of it was enacted by the Nakatomi and Mononobe clans, political rivals of the Soga. It was soon restored and embraced by Emperor Ymei (r. 587–88) shortly before his death. 1

562

Silla drove Japan out of Kaya, ending Japan's long influence over a portion of the Korean Peninsula. 2

587

The Soga crushed their rivals in a short civil war, thereby establishing their political supremacy and the right of Buddhism to an unhampered development in Japan. 3

592

**Soga Umako** (d. 626), having decided not to occupy the throne himself and enthroning children of Soga women instead, had one of them, Emperor Suchun (r. 588–92), assassinated.

4

## 593–628

Soga Umako placed his niece **Empress Suiko** on the Yamato throne, the first officially recognized empress. Suiko was served as regent by **Crown Prince Shōtoku** (574–624), who worked vigorously to import continental civilization to Japan. Under his aegis, the foundations for a Chinese-style state and Buddhist religion were laid that would last for several centuries. During this period, such famous Buddhist temples as Shintennōji (593), Hōkōji (or Asukadera, 588–96) and Hōryūji (607?) were built.

5

## 603

A “cap ranks” (*kan'i*) system of bureaucratic rankings at court was adopted by Shōtoku that closely followed comparable systems from 6th-century Koguryō and Paekche.

6

## 604

**Prince Shōtoku** issued his **Seventeen-Article Constitution** (or Seventeen Injunctions), a list of moral injunctions imbued with the spirit of Confucian ethics and mainland theories of centralized political rule. They also bore clear Buddhist influences, indicating an awareness of Buddhism's philosophical and ethical importance. In this same year, the court adopted the Chinese-style calendar.

7

## 607

**Ono no Imoko**, the first official envoy from the Yamato government, was dispatched to the Sui court, and relations with China were thus established. Another embassy followed in 608, a third in 614, and there were many more over the course of the next three centuries, with the subsequent Tang dynasty. Since Japanese students, scholars, and

8




monks accompanied the envoys to China—during the Tang, the embassies tended to be extremely large—and sometimes remained there for prolonged periods of study, these embassies were a very important factor in the importation of Chinese civilization to Japan.

## 630

The first embassy to the Tang.

9

## 643

**Prince Yamashiro no** e, heir of Prince Shtoku, was forced to commit suicide by Soga no Iruka (d. 645), son of Emishi (d. 645), the kingmaker of the period. This was the culmination of a power struggle, following the death of Shtoku in 622, between the Soga and Nakatomi clans.

10

## 645

The **Downfall of the Soga** in a coup led by Nakatomi no Kamatari (614–69) and the future Emperor Tenchi (r. 668–71); the Nakatomi were henceforth given the surname **Fujiwara**. The coup was supported by the Sinophilic elements at court who encouraged continued reforms along mainland models and continued missions to and ties with China and Korea. There were five missions between 653 and 669 alone.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

 [PREVIOUS](#)

[NEXT](#) 

---



[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **6. Japan, 1185–1493**

### **a. General Characteristics**

**1185–1333**

**The Kamakura period.** The outstanding feature of this era was the clear division between the now powerless civil and religious government of the imperial court at Kyoto and the military government (*bakufu*) of the Minamoto established at Kamakura, near the clan estates in eastern Japan and away from the enervating influence of the court nobility. The transition from civil to feudal military rule had begun with the Taira and was not completed until centuries later, but it was in the Kamakura period that the most significant changes occurred, and the political and economic institutions of the next several centuries began to take shape.




1

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## b. [Major Events](#)

### 1185–99

**Minamoto no Yoritomo**, as the effective military dictator, organized the new *bakufu* with the aid of Kyoto scholars like e Hiromoto (1148–1225). He had already created, in 1180, the Samuraidokoro (Board of Retainers) to perform police duties and to control affairs of the warrior class. In 1184 he had established an administrative board, renamed the Mandokoro in 1191. In 1184 the Monchjo (Board of Inquiry) had also been established as a final court of appeal. Impartial administration of justice characterized the rule of the Kamakura *bakufu* and was one of the chief reasons for its long duration. In 1185 Yoritomo appointed military constables (*shugo*) in some provinces and placed military stewards (*jit*) in many of the large manors. A few such appointments had been made in preceding years, but now he expanded this system to strengthen his influence in regions in which he had hitherto had no direct control. The constables were special military governors in charge of the direct vassals of the Minamoto. The stewards, representing Yoritomo on estates not otherwise under his control, levied taxes on the estates for military purposes. Thus the fiscal immunity of the estates was violated, and Kamakura retainers were scattered in key posts throughout the country. The constables and stewards rapidly grew in importance in the economic and political life of the provinces, and in time developed into the feudal lords of later centuries.

### 1189

**Yoshitsune** was killed on the orders of Yoritomo, who apparently was jealous of the fame the former had won as the brilliant general responsible for the greatest victories over the Taira. Yoritomo similarly disposed of other prominent members of the family, including his cousin Yoshinaka (1184), who as a warrior ranked next only to Yoshitsune; his uncle Yukiie (1186), who was one of the prime movers in the Minamoto uprising; and his brother Noriyori (1193), who was also one of the clan's great generals.

His cruel treatment of his own relatives contributed to the early extinction of the family.

## 1189

Yoritomo crushed the powerful Fujiwara family of northern Japan on the grounds that they had killed Yoshitsune, albeit on his own orders. The northern Fujiwara in the course of the previous century had become a great military power and had made their capital, Hiraizumi, a major center of culture. Their elimination removed a serious menace to Minamoto supremacy. 4

## 1191

**Eisai** (1141–1215) propagated the Rinzai branch of the Zen sect after his return from a second study trip to China. The Zen sect enjoyed the official patronage of the Kamakura *bakufu* and the special favor of the warrior class in general. 5

## 1192

Yoritomo had himself appointed *Sei taishōgun* (“barbarian-subduing great general”), or shogun for short. Though not the first to bear this title, he was the first of the long line of military rulers called shoguns. 6



## 1199–1219

**Transition from Minamoto to Hojō rule.** Yoritomo was succeeded as the head of the Minamoto by his eldest son, Yoriie (1182–1204), who was not appointed shogun until 1202; instead his mother, Masako (1157–1225), ruled with the aid of a council headed by her father, **Hōjō Tokimasa** (1138–1215). The latter, though a member of the Taira clan, from the start had cast his lot with Yoritomo and had exercised great influence in the Kamakura councils before Yoritomo's death. The **Hōjō**, though loyal to the military government, unscrupulously did away with Yoritomo's descendants and crushed their rivals among other Minamoto vassals. 7



## 1203

Yoriie was exiled and his younger brother, Sanetomo (1192–1219), was made shogun by Tokimasa. The following year Yoriie was murdered. 8

## 1205

Tokimasa was eliminated from government by Masako. His son, Yoshitoki (1163–1224), then became regent (*shikken*) of the shogun, a post held by successive H 9  
  leaders, who were the real rulers.







## 1219

The Minamoto line came to an end when Sanetomo was assassinated, probably with H 10  
  connivance, by his nephew, who was in turn executed.

## 1219–1333

The period of **rule by the H  ** as regents for weak shoguns of Fujiwara and imperial stock was characterized by administrative efficiency. 11

## 1221

An uprising under the leadership of retired emperor **Gotoba** (r. 1184–98) was the 12  
gravest menace the H   faced, but it was quickly crushed. Two prominent H   
 leaders were left in Kyoto as joint civil and military governors of the capital region. The estates confiscated from the defeated partisans of Gotoba gave the Kamakura much needed land with which to reward its followers, and the abortive uprising gave the H   
 a chance to extend the system of constables, stewards, and military taxes to regions hitherto unaffected by it.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 7. [Vietnam](#)

### a. [Origins to 1009](#)

Vietnam's history is intimately tied, for better or for worse, to its long relationship with China. The impact of Chinese cultural and political forms is difficult to overestimate, as is the impact of wars begun by its powerful neighbor to the north. Although the borders of what is now called Vietnam and the country's name have changed many times, a continuous history can be delineated. 1

In the early to mid-2nd millennium B.C.E., it appears that bronze implements began to be used. The **Dông-son archeological site** has unearthed particularly fine items in bronze. Legend recounts a Van Lang kingdom, supposedly a strictly hierarchical, feudal regime, that held sway from 2879 until 258 B.C.E. It was thereupon replaced by the Au Lac kingdom, which ruled in the south. In 214 B.C.E. the newly unified Qin empire of China sent a military expedition south to conquer northern Vietnam. The ruler there, fearing devastation, submitted to the Qin, and the north was divided into three commandaries, much like Korea was under the Han. With the decline of the Qin, the governor of one commandery in 208 B.C.E. conquered Au Lac and renamed the new entity under him Nam Việt. During the Han dynasty, Nam Việt became part of the Chinese tributary system. This relationship continued through the end of the 2nd century B.C.E., but in 111 B.C.E. Chinese troops attacked and captured Nam Việt on the order of Emperor Wu of the Han. The country was renamed Giao-chi (Jiaozhi in Chinese) and was incorporated into the Han empire. There it remained for more than a millennium. 2

The Han did not draw Giao-chi (Vietnam) closely into its orbit, seeing it primarily as providing access to trade routes and luxury goods from the south. Local notables were given jurisdiction in the counties and prefectures under the control of Han governors. The population census of 2 C.E. recorded more than 1 million residents in northern Vietnam. There is also evidence that farmers were already double-cropping before the Han conquest, and this too may indicate that a well-organized, centralized form of government was in place earlier. During the Wang Mang era (9–23 C.E.), a noteworthy number of elite Han families fled to Vietnam, strengthening the Chinese official stratum already there. They pushed for a more concerted program of patriarchal control of the 3

economy, rather than the bilateral kin patterns favored in Vietnam and elsewhere in Southeast Asia. In 43, the **Trung sisters** led an unsuccessful rebellion against Han rule.

From this point, Đông-sơn culture began to disappear, as Chinese-style centralized bureaucracy and tax-assessed landholdings replaced native systems. The newly emergent elite was a Han-Việt mix, due to cultural interpenetration as well as intermarriage. With the decline and collapse of the Later Han, Chinese influence in Vietnam waned. During the centuries of disunion in China, Vietnam fell under the domination of a succession of smaller states to the north. In the 540s and 550s, a number of rebellions against the Chinese erupted, and fighting continued for some time. By the end of the 6th century, Vietnam had been defeated and returned to the Chinese sphere.

When China was reunified under the Sui and Tang dynasties, Vietnam fell again under Chinese control. The Tang set up the Protectorate of An-nam (literally, the “pacified south”) in the northern part of the country in the 7th and 8th centuries, typical of Chinese regional control structures at the time. When the central control of the Tang waned in the 9th century, control in the extremities waned as well and gave rise to instability. During the Tang, the political center of what was then Vietnam became Hanoi.

## 939

After a defeat of the army of the Southern Han, **Ngô Quyền** (898–944) declared himself king, although infighting continued for the entire three decades of his and his descendants' rule.

## 968

**Dinh Bô Ling** (c. 925–79) established a stable regime, with himself as king, from Hoa-lu, near the southern rim of the Red River plain. The country was renamed Dai Việt. He sent his son (972) to China to establish contacts, and he was recognized as the king of Giao-châu, while his son became commander in chief of the An-nam Protectorate. Both were assassinated in 979.

## 980

**Lê Hoan** (950–1005) continued rule from Hoa-lu after defeating a Song expeditionary force from China, but he and his descendants, being thoroughly military men, were unable to establish the foundations of long-term political stability. What is sometimes called the Early Lê dynasty ended in 1009, when it was replaced by the **Ly dynasty**.

As Thang-long (Hanoi) became the political center of the country during Tang hegemony, Chinese-style agricultural organizations and taxation systems came to Vietnam, in part aimed at breaking up the older, entrenched great families. Thang-long was the first urban center south of the Red River, and these new systems opened up rich new farmlands that were placed in the hands of free peasants trained militarily to defend their lands against the older elites. By the end of the 8th century, the Tang's double-tax reform had fostered the emergence of a new great landlord class. Vietnam was seen by its northern master as a source of revenue and luxury items.

9

**Buddhism** probably came to Vietnam between the 4th and 5th centuries C.E., perhaps as early as the 2nd century. A number of famous Buddhist travelers passed through Vietnam en route to or from China, and by the early years of the Tang, Vietnamese monks were among those travelers. In the 7th century, **Vân-Ky** brought home Chinese-language Buddhist texts from China. The most popular and influential Chinese sect in Vietnam was the Chan (in Vietnamese, **Thiền**). An Indian traveler in China in the 6th century had proceeded to Vietnam and launched the first Thiền sect. Another took root during the Tang; by the late 10th century, the fourth patriarch of the sect was a teacher at the Lê Palace.

10

While the **status of women** in pre-China-dominated Vietnam may have been better than it became, women were never the legal or social equals of men of their same class. Nonetheless, the relatively more important roles women played throughout Vietnamese society mark a significant distinction with respect to China.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **b. 1009–1527, Independence and Its Defense**

These five centuries mark the first vibrant era of Vietnamese independence. They include rule by three major dynasties, wars with China, and three gruesome but ultimately unsuccessful invasions by Mongol armies. Despite conflicts with the rulers of China, Sinitic culture continued to make inroads into Vietnam, just as classical Chinese remained the language of the elite throughout these years. 1

### **1009–1225**

The **Ly dynasty** came to power when **Ly Công Uan** (or Ly Thai-tô, 974–1028), commander of the palace guard, seized the throne. Raised by Buddhist monks and supported by the Buddhist establishment, he worked to create a close relationship with the clergy. He was also much influenced by traditional Chinese notions of kingship. He frequently remitted taxes in an effort to create better ruler-populace relations. The country became known as Dai Việt. 2

### **1010**

Ly moved the capital to **Thang-long** (present Hanoi). 1028–54. During the **reign of Ly Phât Ma** (or Ly Thai-tông, b. 1000), an apparently brilliant leader, Ly rule was regularized. He had six reign titles in 26 years. Through his constructive interaction with officials, they came to understand the relative importance of bureaucracy and the throne in institutional development. The Buddhist clergy entered an ever closer relationship with government, and Phât Ma became a patriarch of a Thiên sect himself. 3

### **1042**

A new legal code was enacted in an effort to make the law more fair and put it in tune with the times.

4

### 1044

A naval expedition by sea was led by Phât Ma himself to Champa. Champa was defeated, and the war booty enabled the king to remit taxes.1054–72. The **reign of Ly Nhat Ton** (or Ly Thanh-tông, b. 1023) continued the policies and institutional arrangements put in place by his father. He began to adopt many of the ritual trappings of a Chinese-style emperor, which worried the Song court to the north.

5

### 1069

Nhat Ton repeated his father's expedition to Champa, this time sparing the life of the Champa king.

6

### 1072

At the time of Nhat Ton's death and the accession of **Ly Can Duc** (1066–1127), **Wang Anshi** was in the midst of implementing his New Laws in China (See [1069–73](#)). Among them was a vigorous response to border encroachments by China's neighbors, and Ly attempts at such provoked him. Vietnamese troops attacked (1075), defeating Song naval forces and sacking several sites.

7

### 1075–77

The **first examinations** for recruitment to bureaucratic office were implemented but were abandoned soon thereafter. A national college was allegedly founded (1076) for the best scholars of the land.

8

### 1076–77

The Song sent a military force south but reached no conclusive victory; after several years of talks, borders were determined.

9

## 1127

Ly Can Duc's death without an heir left the succession problematic. Maternal clansmen of the crown placed “kings” on the throne, but they tended to be little more than nominal rulers. Civil wars wracked the country for much of the 12th century. 10

**Buddhism** became an essential component of traditional Vietnamese kingship, as the throne and the clergy developed an intricate, symbiotic relationship. Confucianism, too, made inroads into elite society. Scholars wrote commentaries on the Chinese classics, and those texts became the basis for the state examinations. Native Vietnamese “deities” also became associated with the throne. 11

## 1225–1400

The **Trần dynasty** came to power in the decay and strife at the end of the Ly. The last queen of Ly was from the Trần family. Thereafter, the Trần took queens only from its own family. Collegial rule among senior Trần men, with royal abdication on the death of a predecessor, became the rule. Trần family members were given local prerogatives in political and economic control that enabled them to gain control through hegemony over the Red River plain. As with the Ly, the royal family was made up of pious Buddhists. 12

## 1230s

The Trần inaugurated an **examination system** to recruit civil servants into government service. The curriculum was Chinese classical lore. This fostered the slow emergence of a Confucian literati among scholar-officials, much as earlier in China, in tandem with the centralizing policies of the throne. Military service became compulsory for every able-bodied man; and this had a salutary effect on the fighting prowess of the Vietnamese army. 13



(See [455–472](#)) (See [476](#), Sept. 4)

## F. [Europe, 461–1500](#)

In Europe, particularly western Europe, the postclassical period is commonly called the **Middle Ages** (Lat., *Medii Aevi*), originally a pejorative term coined by the 14th-century Florentine poet Francesco Petrarch (See [1378](#)) to describe what he considered a period of cultural stagnation (c. 400–1300) between two eras of cultural brilliance, the ancient Roman and his own. Scholars often divide the Middle Ages into three time periods: an early phase, c. 500–1000; the central or High Middle Ages c. 1000–1300; and a later period, c. 1300–1500, when medieval patterns of culture began to decline. <sup>1</sup>

### 1. [Western Europe in the Early Middle Ages, 461–1000](#)

The general characteristics that made the early Middle Ages are the **collapse of the centralized state** (the Roman Empire), which had provided much of western Europe with a government of law and social order, and the assumption of power by local strongmen. The **decay of the ancient city-state** as a physical and social unit and as a way of life meant that the isolated **rural estate** became the typical form of social and economic organization; some cities survived as ecclesiastical or political centers, but not as economic or cultural ones. The **decline of long-distance trade** forced the individual to depend for all of his or her needs on locally produced goods. **Disease**, especially periodic outbreaks of bubonic plague, chronic **domestic violence**, and **assaults from outside Europe** made for drastic **population decline**. The slow, steady, but very imperfect **conversion of peoples to Christianity** led to a **shift of basic loyalty from the state to religion**; Europeans came to define themselves and their world in religious terms, and they gave a spiritual loyalty to Rome that was slowly transformed into a supranational authority independent of any secular power. <sup>2</sup>

The ancient Roman world had been a Mediterranean-based civilization whose “center of gravity” lay in the East. The subsequent consolidation of the Byzantine Empire, the expansion of Islam through the Mediterranean, and the rise of Frankish power meant that no single culture would unite the former Roman world. When the term **Europa** was first <sup>3</sup>

used around 1500, it referred to the areas over which the Frankish ruler Charlemagne had nominally held jurisdiction, a territory far smaller than that which the word “Europe” implies today.

### a. Conditions of Life

In the 3rd, 4th, and 5th centuries, the Germanic invasions led to the decline of city-states throughout the Mediterranean world; free tenant farmers abandoned their small farms, and the land was acquired by large landowners. Large, economically self-sufficient **villas** or **manors** became the dominant form of social organization, and agriculture the major occupation. Political instability and invasions (See Invaders of the West) also reduced long-distance trade. Most commerce was local. Existence for most people was rural, isolated, and limited by the borders of the province. 4

Free farmers, weak and defenseless before barbarian invaders, brigands, and greedy officials, sought protection from powerful local landowners. In return for support and protection, small landholders surrendered their lands to, and became the dependents of, the strong. The weak became bound to the soil, working their patron's lands; they lost their freedom, could not move, and became serfs. This trend toward **serfdom** continued to the 11th century. 5

Communication was difficult; roads and harbors were unused and in disrepair until about the 8th century. Building was stagnant; the art of brick-laying appears to have been lost; few stone buildings were erected in northern Europe. Metalworking was still important, although stamping was unskilled, and hence coins were crude. Precious metals were worked with enamel decorations, while silver and bronze could be cast. Unlike the light Mediterranean soils, those of northern Europe could not be pulverized for farming purposes; these heavy soils had to be sliced, broken up. This was impossible until the introduction of the iron, wheeled plowshare, with moldboard. The basic farm tools evolved during this period: rake, spade, fork, pick, balanced sickle, scythe. Development of the horse collar was very important, for an efficient draft animal relieved the small workforce. With an effective harness and stirrup (the latter depicted in a drawing c. 900), and tandem rather than fan-hitched teams of horses or oxen, men were freed of even more work. Another important source of power was water: the Roman water mill (in use 536) spread throughout Europe. 6



## **b. The Early Church**

*For a complete list of the [Roman popes](#), see [Appendix IV](#).*

1

Christianity emerged in the cities of the eastern part of the Roman Empire. The earliest Christians, because they refused to honor the Roman pagan gods, were considered atheists, and thus were subject to civil penalties, sporadic persecutions, the contempt of the Roman social establishment. The first Christians, Jesus' followers, were Jews. An urban religion, Christianity initially spread to the Gentiles through the preachings of St. Paul (See [The Rise of Christianity](#)), and it subsequently attracted converts from all social classes: senators, knights, merchants, the poor, servants. The series of decrees issued by Constantine I (See [Christians and Pagans](#)) between 312 and 330 formally tolerated Christianity, gave Christians the right to build churches, to accommodate property, to establish courts with jurisdiction over clergy; these decrees were known as the Peace of Constantine and marked the beginning of the institutional Church. Emperor Theodosius (391–94) outlawed the pagan religions and made Christianity the **official religion** of the empire. Since a profession of faith advanced one's public career, the number of followers increased, but piety was weakened.

2

In the 2nd century, the **Church** (Gr., *ecclesia*; the Christian community) consisted of widely scattered, loosely knit groups, united by their faith in New Testament teachings and sometimes divided by doctrinal disagreements. Baptism and participation in the Eucharist became the basic signs (**sacraments**) of the Christians. **Ecumenical** (general, theoretically universal) **councils** such as **Nicaea** (325), **Constantinople I** (381), **Ephesus** (431), and **Chalcedon** (451) tried to resolve conflicts and to define doctrine. These councils were called by the emperor and presided over by him in person or by legate. Local problems were dealt with in synods.

3

Christian communities of the apostolic age made no distinction between clergy and laity, but by 100 C.E. *episkopoi* (supervisors) and *presbyteroi* (elders) sat apart at religious ceremonies from the *laikoi* (the people). *Episkopoi*, or **bishops** from the 4th century onward, often descended from the Roman senatorial aristocracy or provincial officials and were elected directly by Christians of local communities on the basis of spiritual charisma and reputation for piety. They served as overseers, responsible for distribution

4



of goods to the poor, for preaching, for maintenance of gospel standards. Each town had its bishop, and his church (cathedral) possessed his throne or chair (Lat., *cathedra*), the symbol of his authority. Christians considered bishops to be successors of the apostles: just as Jesus had consecrated his apostles by laying hands on them and sending them out to teach what he had taught them, so the apostles consecrated their successors and they, further successors. This **apostolic succession** gave the bishops organizational authority and doctrinal security. **Papa** was a title applied to all bishops until c. 425; it did not take on its present meaning until the 7th century.

**The emergence of Roman primacy.** As Christian communities developed organizations, they adopted the diocesan (territorial unit) system of the Roman Empire. Just as the eastern part of the Mediterranean world contained the population and commercial centers of the Roman Empire and, after the establishment of Constantinople, the political capital, so the East held the **patriarchal** or **metropolitan** sees of Jerusalem, Antioch, Alexandria, and Constantinople, which had provincial, not just diocesan, jurisdiction; Rome was the only western metropolitan see.

In the first four centuries C.E., authority in the Church rested in: (1) the emperor, who continued to take the title *pontifex maximus* and to exercise a prominent role in religious affairs. Thus, Constantine I considered himself the equal of the apostles and called and controlled the Council of Nicaea (See [Christians and Pagans](#)); (2) the universal or ecumenical council, whose canons (decisions) held an authority second only to Scripture; (3) the Roman papacy, whose influence grew very gradually. As the seat of the empire and the site of the martyrdoms of the apostles Peter and Paul, Rome held a primacy of respect and honor throughout the Church. Moreover, according to the gospel tradition (Matt. 16:16–18, Luke 22:31–32, John 21:16–17) Jesus had assigned Peter a position of leadership among the apostles. Peter led (as bishop) the Christian community in Rome, and, in turn, transmitted “the power of the keys of the kingdom of heaven” to his successors. Popes Innocent I (401–17) and Celestine I (422–32) used this **Petrine theory** to extend the rights of Rome. The bishops of Rome slowly acquired the rights to resolve disputes in other dioceses, to define doctrine, and to exercise administration and discipline throughout the Church. Under **Pope Leo I** (440–61) the weakness of the imperial power forced the bishop of Rome to assume defensive, financial, civil, and political responsibilities for the city, because the imperial government was unable to do so. Leo I claimed to possess the *plenitudo potestatis* (fullness of power or jurisdiction) over the entire Church. This impetus to universal Roman authority, however, could not be sustained by Leo's immediate successors.

### c. 340

**MONASTICISM** originated in Egypt and Syria as an ascetic (disciplined) reaction to

the moral corruption of the late antique city-state, and was introduced into the West by Athanasius (d. 373). Monastic individuals withdrew (Lat. *anchoreo*, to withdraw) from urban society to seek God alone, through prayer in the desert (Gr., *eremos*), hence Eastern monks were called “men of the desert.” Many women were also attracted to monasticism. Hermits led a solitary life. In his *Life of St. Anthony*, Athanasius described the first (Egyptian) monk (c. 251?–350), now considered the **father of Christian monasticism**. Although monks (and nuns) led isolated lives and the monastic movement represented the antithesis of the ancient ideal of an urbane social existence, monks were soon recognized as holy people and sought out as spiritual guides. In the first half of the 4th century **Pachomius** (c. 290–346) established **cenobitic** (communal, in contrast to eremitic) monasteries for men and for women in Upper Egypt. **Basil of Caesarea** (330–79), a leading Greek theologian, attacked the eremitic life, because of the impossibility of material self-sufficiency, the excessive concern with the self, and the lack of opportunity for the exercise of charity; he espoused cenobitism, which eventually became the common form of monasticism in the West. The Egyptian monastic experience came to the West through *The Institutes* (c. 417–18) and *The Conferences* (426–29) of the monk **Cassian** (c. 360–c. 435), based on his eyewitness accounts and conversations with the Desert Fathers. **Martin of Tours** founded (c. 362) a cenobitic community of monks near Poitiers.

**The Latin Fathers of the Church** (Lat., *Patres Ecclesiae*), was a term first used in the late 4th century by the Greek writers and Sts. Basil and Gregory of Nazianzos to refer to Sts. Ambrose, Jerome, and Augustine. **Jerome** (c. 342–420), a Dalmatian, was devoted to pagan learning despite his keen ascetic convictions. The first great Western exponent of monasticism. One of the greatest scholars of the Latin Church, his translation of the Bible into Latin (the Vulgate) is still authoritative in the Roman Church today. This excellent version exerted stylistic and theological influence throughout the Middle Ages. **Ambrose** (c. 339–97) of Trier, a Roman provincial governor, was elected (374) bishop of Milan before he was baptized. His *Duties of the Clergy* (based largely on Cicero, *de Officiis*) was for centuries the standard work on ethics, and is probably the chief single source of the Stoic tradition in early Western thought. He made Milan almost the equal of Rome in prestige, and forced the Emperor Theodosius to do penance, maintaining that in ecclesiastical matters a bishop was superior to an emperor. **Augustine** (354–430) of Hippo was the greatest of the Western Fathers. Converted to Christianity after ventures into Neo-Platonism and Manichaeism, he was founder of Western theology, the link between the classical tradition and the medieval schoolmen. Through him a great stream of Platonic and Neo-Platonic thought came into the Church. For a thousand years all thought was influenced by Augustine, and theology betrays his influence to this day. He gave wide currency to the doctrines of original sin, predestination, and salvation through divine grace, and his influence was felt by Calvin and Luther. His *City of God* presents a dualism of the heavenly city (those who live according to the spirit; those who live according to the flesh) and the earthly city (Rome), and was written to prove that the

misfortunes of Rome (e.g., the sack of 410) were not due to Christianity; all history is the account of God acting in time. The *Confessions* set the fashion in spiritual autobiography.

The Latin Fathers debated matters of **sexuality and marriage**. In the ancient world, many thinkers, both Gentile and Jewish, held that sexual relations between man and woman hindered the soul's rise to higher things, but Jesus' apostles believed marriage was no sin and that celibacy was a grace not given to all. In the 2nd century, Christian writers advanced the revolutionary ethic that husbands should be as faithful to their wives as wives were expected to be to their husbands; that marriage was a free partnership of equals, with ideals of mutual respect and affection. Early Christians condemned infant exposure, abortion, and capital punishment—all widely practiced in the ancient world. With this benign attitude, however, there gradually emerged a strong current of negativism toward the body, of hostility toward sexuality. The Fathers took for granted the superiority of celibacy (total abstinence from all sexual activity) over marriage. Thus, Jerome denigrated marriage; Augustine held marriage to be “a cure for concupiscence,” with procreation the only truly moral use of, or justification for, sexuality. As in the ancient world, marriage remained a private arrangement, not the concern of civil authorities. Recent historians have disputed the early Christian attitude toward homosexuality. Some scholars argue that early Christian thinkers had a tolerant and positive position on male love and eroticism as being natural; other modern writers claim the Fathers condemned same-sex love and activity. The debate continues.

9

### 401–17

**Innocent I** asserted that the pope was custodian of the apostolic tradition and claimed universal jurisdiction for the Roman Church.

10

### 440–61

**Leo the Great**, the first great pope, a highly cultivated Roman, a vigorous foe of the Manichaean heresy. He procured an edict from Emperor Valentinian III (445) declaring that papal decisions have the force of law. Leo was probably the first pope to enunciate the theory of the mystical unity of Peter and his successors, and to attribute all their doings and sayings to Peter. The tradition of Leo's miraculous arrest of Attila's advance and his efforts to stop Gaiseric's attack (455) won the papacy tremendous prestige in later days. (See [535–54](#)) (See [The Lombards and the Popes](#))

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Invaders of the West](#)

**Origins of the invaders.** The Germanic peoples were established in Scandinavia (Denmark) and between the Elbe and Oder as early as the 2nd millennium B.C.E. Eastward lay the Balts (Letts), and the west of the Elbe were the Celts. 1

**Expansion.** The western Germans (Teutons) displaced (c. 1000 B.C.E.) the Celts, moving up the Elbe and Rhine (the Main reached c. 200 B.C.E.). South Germany was occupied (c. 100 B.C.E.); Gaul threatened (cf. Caesar's *Commentaries*). These invaders were a pastoral, agricultural folk, tending to settle down. By the time of Tacitus's (c. 55–c. 117 C.E.) *Germania* they were wholly agricultural. Later new tribal names and a new kind of federated organization appeared. The eastern Germans (Scandinavians) crossed the Baltic (c. 600–300 B.C.E.) and pushed up the Vistula to the Carpathians. The northern Germans remained in Scandinavia. 2

The Greeks and Romans invented the concept of “barbarian,” applying it to all peoples (except the Persians) living outside Greco-Roman civilization—peoples who did not share urban Mediterranean culture, who did not speak Greek or Latin. To the Romans, such peoples had no history and encountered history only when they entered the civilized Roman world. Barbarian peoples as they entered the Roman orbit had many **changing ethnic identities**; all viewed the Roman empire as the source of great wealth. 3

**GERMANIC SOCIETIES.** The basic unit was the tribe (folk), united by blood kinship and guided by unwritten customary law passed down through the generations by word of mouth. Thinking in social not political terms, the Germans had no notion of the state. Basic institutions were the kings and the war bands. The **kings, or chieftains**, were elected from male members of the strongest or physically toughest family. They led religious sacrifices to the gods. Kingship was strengthened during period of migrations; tribes that did not migrate did not develop kingships. The *comitatus*, **or war band**, the bravest young men of the tribe, was bound by loyalty to the king, fought beside him in battle, and was not supposed to leave the field without him—to do so brought social disgrace. 4

The role and status of **women** has yet to be thoroughly explored. Society was patriarchal: within each household the male head had authority over his wives (polygamy was 5

practiced by the wealthy), children, and slaves (captured in war). Women were viewed as property; marriageable daughters were sold to the highest bidder; and their subsequent status depended on their production of children, especially sons. In settled communities, women performed the heavy work of raising, grinding, preserving cereal crops; making beer and ale; weaving and spinning; caring for the children, and other domestic tasks.

**Progress of migrations.** The eastern Germans (Bastarnae, Burgundians, Gepids, Goths, Heruls, Rugians, Sciri) moved toward the Black Sea; they arrived there by 214 C.E. The division of Visigoth (West Goth) and Ostrogoth (East Goth) probably arose after their arrival at the Black Sea.

## 1. The Huns

The **Huns**, nomadic Mongols of the Ural-Altai group, probably under pressure from the Zhu-Zhu Empire in Asia, swept into Europe in the 4th century and halted for some fifty years in the valley of the Danube and Theiss.

### 445–53

Height of the Hun power under **Attila**. Honoria, sister of Valentinian III, to escape an unwelcome marriage, sent her ring to Attila and asked for aid. Attila claimed this to be an offer of marriage. About the same time, Gaiseric the Vandal was intriguing to induce Attila to attack the Visigoths. By a clever pretense of friendliness to both sides, Attila kept the Romans and Goths apart, and set out westward with a great force (451). Metz was taken and the Belgic provinces ravaged. To meet Attila, the Roman Aëtius mustered a force of Salian Franks, Ripuarians, Burgundians, Celts, and Visigoths under Theodoric I, as well as his own Gallo-Romans. Attila apparently declined battle near Orleans and turned back.

### 451

**Aëtius** overtook him at an unknown spot near Troyes, and a drawn battle was fought. Attila continued his withdrawal. Still claiming Honoria, Attila turned into Italy, razed Aquileia, ravaged the countryside (foundation of Venice), and opened the road to Rome. Pope Leo, one of a commission of three sent by the emperor, appeared before Attila. Attila retreated after plague had broken out in his force, food supplies had run low, and reinforcements arrived from the east for the Roman army. Attila's death (453) was followed by a revolt of his German vassals and the defeat of the Huns on the Nedao (in

Pannonia). The remnant of the Huns settled on the lower Danube; the Gepids set up a kingdom in Dacia; the Ostrogoths settled in Pannonia.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **d. [The Ostrogoths in Italy](#)**

On the breakup of the Hunnic Empire (after Nedao, 454), the Ostrogoths settled in Pannonia (their first settlement inside the Roman frontier) as federates of the empire. Under the Huns, the emergence of a single ruler had been impossible. Thiudareiks (“ruler of the people”), corrupted into Theodoric, had been educated as a hostage at Constantinople, was elected (471), and soon became leader of his people on a march into the Balkan Peninsula, where he forced the Emperor Leo to grant them lands in Macedonia. His ambition for imperial appointment was realized when he was made *magister militum praesentalis* (483), and *consul* (484). He quarreled with the emperor and marched on Constantinople. To get rid of him, the emperor commissioned him (informally) to expel Odovacar from Italy. Arriving in Italy (489) the Ostrogoths triumphed over Odovacar, but did not reduce Ravenna until 493. Theodoric killed Odovacar with his own hands and had his troops massacred. 1

#### **489–526**

**Theodoric the Great.** In general Theodoric continued Odovacar's policy, substituting Ostrogoths for Odovacar's Germans, and assigning one-third of the Roman estates (as Odovacar had probably done) to his own people. Theodoric's rule was officially recognized (497) by Constantinople. Together with the emperors he named the consuls in the west, but never named an Ostrogoth. Theodoric was the only member of his people who was a Roman citizen; constitutionally the others were alien soldiers in the service of the empire. No Roman was in military command, no Ostrogoth in the civil service. Imperial legislation and coinage continued. The so-called *Edictum Theodorici* was a codification of Theodoric's administrative decrees rather than a body of legislation, as none of Theodoric's “laws” were anything more than clarifications of imperial legislation. Theodoric's secretary was the learned Italian **Cassiodorus**, and the dual state was paralleled by a dual religious system. Theodoric was tolerant of the orthodox Catholics and a protector of the Jews. His chief aim was to civilize his people under the Roman environment and to keep peace. 2



Theodoric's cooperation with the other Germanic peoples was close, and he cemented his associations with marriage alliances (one daughter married Alaric II, the Visigoth, another Sigismund the Burgundian, and he himself married Clovis's sister). He intervened to protect the Alamanni from Clovis and tried to save the Visigoths. Provence was acquired from Burgundy and annexed to Italy. He was regent and protector of his grandson Amalaric after Alaric II's death, and virtually ruled the Visigothic Kingdom until his death (526)

3

To the Italians, Ostrogothic rule was alien and heretical, and they resented it. The end of Theodoric's reign was marked by growing ill feelings and suspicion. **Boethius**, the Roman philosopher and commentator on Aristotle, author of *De consolazione philosophiae* and an official of Theodoric's government, and his father-in-law, the brilliant and polished Roman **Symmachus**, were both executed (c. 524) on a charge of treasonable conspiracy.

4

## 535–54

**Reconquest of Italy by the Emperor. Justinian**, as part of his grandiose reconstitution of the Roman Empire, dispatched **Belisarius** and later **Narses**, who reduced the stubborn Ostrogoths and drove them over the Alps to an unknown end.

5

After the expulsion of the Ostrogoths, the **Exarchate of Ravenna** was established under Emperor Maurice (582–602). The exarch had military and civil powers and received full imperial honors. He exercised imperial control over the Church, including the bishopric of Rome. War and pestilence had completely ruined northern Italy; Rome, in ruins, had sunk from her imperial position to that of a provincial town.

6

Ravenna was the capital of the West (c. 402–76) and was the home of Theodoric's brilliant court. The architecture of the city offers a unique series of examples of Roman and Romano-Byzantine buildings begun under the emperors and continued by Theodoric. Theodoric's fame survives in the Middle High German epic *Nibelungelied* (c. 1200).

7

Ruined by invasion, its aqueducts cut, **Rome** was reduced in population from a half million to perhaps 50,000. Its aristocracy had fled, and medieval decay had replaced pagan grandeur. The city was not revived until the Renaissance.

8

**Progress of the papacy. Gelasius** (492–96) was the first pope to proclaim the independence of the papacy from both emperor and Church council in matters of faith. He asserted that two powers rule the world, the *sacerdotium* and the *imperium*. The *sacerdotium*, since it is the instrument of human salvation, was declared superior to the *imperium*.

9

The barbarian invasions had isolated Italy, accentuated the break with the empire, and

10

left the pope as the sole representative of ancient unity and Roman hegemony. At the same time, the Ostrogoths (half romanized as they were) did not destroy the culture, but encouraged the Church to transmit the Greco-Roman tradition (linguistic, social, cultural, administrative, and religious) in the West.

## 529

Having originated in the East in the 2nd century, **monasticism**, female as well as male, rapidly expanded in the West in the 5th and 6th centuries, but it had no structure, and had ascetic extremes on the one hand, laxness on the other. In 529 Benedict of Nursia, scandalized by conditions in Rome, withdrew to Monte Cassino between Rome and Naples, established a colony, and gave it a **Rule**, or constitution. The *Rule of St. Benedict* represents the accumulated spiritual wisdom of earlier centuries of monastic experience, drawing as it does on the writings of Cassian (See [c. 340](#)), the practice of monastic life in southern Europe, and (especially) *The Rule of the Master*, a long, detailed, exhortatory document. By classical standards, Benedict was not well educated: his *Rule* contains not one reference to an ancient Greek or Latin author. But it displays a deep knowledge of Scripture, the writings of the Church fathers, and the Egyptian monastic tradition. Modern scholars stress the major influence of the wisdom literature of the Old Testament—the Book of Proverbs, the Psalms, Sirach, and Wisdom. Benedict's *Rule* contains both theoretical principles for the monastic life and practical, everyday directives. He legislated for a community of laypersons governed benevolently by an abbot (father)—a community whose purpose was the glorification of God and the salvation of the individual. After a year's novitiate, or probation, the monk professed three vows: stability (in the monastery), the reformation of his life, and obedience. Benedictine life meant a routine lived in a spirit of silence, dedicated to prayer and work and characterized by moderation and flexibility in all things.

11

Benedict planned the **monastery as a self-sufficient socioeconomic unit**, “so constructed that within it all the necessities, such as water, mill, and garden are contained and the various crafts are practiced. Then there will be no need for the monks to roam outside, because that is not at all good for their souls” (ch. 66). Having stated that “idleness is the enemy of the soul; therefore, the brethren should be occupied at stated times in manual labor, and at other fixed times in sacred reading” (ch. 48), the *Rule* prescribes that all monks in good health should spend part of the day in manual labor. Anticipating the entrance of persons of all social classes, Benedict advised the abbot, “Let him make no distinction of persons...Let not the one of noble birth be put before him who was formerly a slave” (ch. 2). He expected that many recruits would be oblates, children offered to the monastery by their parents to be brought up and eventually professed (vowed) there (ch. 59), a system that lasted well into the 19th century; thus monasticism fulfilled an important social function in a world in which

12

career opportunities were severely limited. Each monastery was autonomous; strictly speaking, there was and is no Benedictine order. Gradually replacing other forms of monastic life in the West, and drawing both men and women, Benedictine monasticism served as the chief instrument for the reform of the Frankish Church and for the conversion and civilization of England and Germany. It was the sole form of corporate and organized religious life between the 6th and 11th century.

## 541–42

Probably more destructive of population than the Germanic invasions and the wars connected with Justinian's reconquest was the plague. In 541–42 the **bubonic plague** (identified only in 1894 by bacteriologists, who labeled the bacillus that causes the disease *Pasteurella pestis* after one scientist's teacher, Louis Pasteur) swept into Italy, southern France, the Rhine Valley, and the Iberian Peninsula, killing 20 percent of the population. Reappearing in cycles (558–61, 580–82, 588–91, 599–600), though each time with reduced intensity, it swept as far north as Sweden and as far west as Ireland. Scholars estimate that by 700 southern Europe and the Rhine Valley had lost between 50 and 60 percent of their populations. Consequences of the plague were a sharp rise in the price of labor, reduced trade, and an intensification of religious belief (that disease, suffering, and death are God's punishment for sin).

13

## 554

**Justinian's Pragmatic Sanction** restored the Italian lands taken by the Ostrogoths and made a pro forma restoration of government, but agricultural lands had been depopulated and had reverted into wilderness, and the rural proprietors were sinking into serfdom. Town decline was similar. The Roman Senate ceased to function after 603, and the local curiae disappeared at about the same time.

14

*Duces* were appointed, probably over each *civitas*, as part of the imperial administration, but they gradually became great landowners, and their military functions dominated their civil duties. A fusion of the ducal title and landownership ensued, and a new class of hereditary military proprietors emerged beside the clergy and the old nobles. The details of this process are, of course, hard to determine, because evidence is scant.

15



## e. The Frankish Kingdom



### THE MEROVINGIAN KINGS

The **Franks** first appeared as settlers on the lower Rhine in two divisions, the **Salians** (dwellers by the sea, *sal*) and the **Ripuarrians** (dwellers by the riverbank, *ripa*). By the end of the 4th century the Salians were established in the area between the Meuse and the Scheldt as federates of the Roman Empire; the Ripuarrians, in the tract between the Rhine and Meuse. They formed no permanent confederations, and, unlike the other Germanic peoples, did not migrate as a nation, but expanded. 1

### 431–751

**The Salian Franks under the Merovingians.** The dynasty descended from the semilegendary Merowech, first noted c. 430. **King Childeric** (d. 481) fought as a federate of the empire at Orleans when Aëtius defeated the Visigoths, and he later defeated the Saxons on the Loire. His tomb was found (1653) at Tournai, the “capital” of the Salians. 2

### 481–511

**Clovis** (Chlodovech), son of Childeric, in the service of Julius Nepos and Zeno. He defeated the Gallo-Roman general Syagrius at Soissons (486), expanding Salian power to the Loire. Friendly relations existed between Clovis and Bishop Remigius, who later baptized him. Sigebert, the Ripuarrian, defeated an Alamannic invasion at Tolbiac (496) with Salian support. Clovis, in the same year, defeated the Alamanni (Strasburg?) and 3

later, after election as king of the Ripuarians, emerged as master of the Franks on both sides of the Rhine.

## 496

The traditional date of the **conversion of Clovis** to Roman Catholicism is 496. He had previously married a Burgundian, Clotilda, who was of the Roman communion. The Burgundians in general were Arians, and Clovis's choice may have been deliberate. In any case his conversion won him papal support and opened the way to wide conquests from the heretic (i.e., Arian) German peoples. Burgundy was conquered (after 500); the Visigoths defeated at Vouillé (507); and their whole kingdom north of the Pyrenees (except Septimania and Provence) was soon subjugated. These conquests were supported by the Gallo-Roman clergy as a religious war. Clovis founded the Church of the Holy Apostles (Ste. Geneviève) at Paris, and shortly moved his “capital” from Soissons to Paris. He was made an honorary consul by Emperor Anastasius, a proceeding that brought the Franks technically into the empire.

**Frankish Administration.** The old Roman **civitas**, city and surrounding territory, served as the basis of Merovingian and (later) Carolingian administration. **Comites**, later called counts, royal officials of Gallo-Roman descent, presided over the civitas, collected taxes, heard lawsuits, enforced justice, and raised troops. Clovis and his descendants issued **capitulares**, legislative and administrative orders divided by chapters, that tried to reduce violence; these showed the strong influence of Roman law.

## 511–628

**Divisions of the Frankish lands** after the death of Clovis: (1) His four sons established four capitals—Metz, Orleans, Paris, Soissons. Expansion eastward continued along the upper Elbe; Burgundy was added, and the territory of the Ostrogoths north of the Alps. After a period of ruthless conflict, only **Lothair** (Chlothar) survived, and for a brief time (558–61) the Frankish lands were under one head again. (2) Lothair's division of his lands among his four sons led to a great feud from which three kingdoms emerged: **Austrasia** (capital Metz) lying to the east (Auster) and mostly Teutonic; **Neustria** (the “new land,” as the name implies; capital Soissons), Gallo-Roman in blood; and **Burgundy**, which had no king of its own but joined Neustria under a common ruler. The prince of Neustria exterminated the rival house in Austrasia, but the local chieftains preserved the kingdom's identity. Under **Lothair II** all three kingdoms were united again (613) under one ruler.

**Dagobert** (Lothair's son), the last strong ruler of the Merovingian house, made wide dynastic alliances and found wise advisers in **Bishop Arnulf** and **Pepin of Landen**. His firm rule led to a revolt. Under the *rois fainéants* (lazy, “do-nothing kings,” who were rulers in name only) following Dagobert, the **mayors of the palace** emerged from a menial position to take a dominant role in the government both in Austrasia and Neustria. 7

**Merovingian government** retained the Roman *civitas* as a unit of administration and set a count (*comes* or *graf*) over it. The source of law was not the king but local custom, administered by the *graf* with the aid of local landowners. Military leaders of large districts were the *duces*, who were over several counts. Land grants were made in lieu of pay to officials. 8

**Gregory, bishop of Tours** (c. 540–94), a Frank, wrote in Latin the *Historia Francorum*, the best single source on the history of the Merovingian period. 9

**Decline of royal power** under the last Merovingians and **feudal decentralization**. **Feudalism** implies a kind of politically decentralized society in which public power—to raise an army, to hold courts that administer some form of law or justice, to coin money, and to negotiate with outside powers—passes into private hands. Feudal decentralization was characterized by the breakdown of the old class and Germanic tribal organizations without an effective system to replace it, which led to the personal and economic dependence on private individuals; by the increasing concentration of land in the hands of a few (i.e., a landed “aristocracy” of which the mayors of the palace were representative; and perhaps by the increasing importance of the possession of a horse and the ability to fight on horseback. (This was due in part to the arrival of the stirrup, an Asian invention, that attached rider to horse, enabling him to use the force of his galloping animal to strike and cripple his enemy.) However, although Charles Martel used some cavalry in his wars against the Muslims, the **infantry** was **the typical and decisive** unit in all Carolingian warfare, and so the stirrup's importance has been downplayed. Warriors who attached themselves to strong “lords” were at first supported in the lord's own household; they were later rewarded, sometimes with land, sometimes with cash, with which they maintained themselves. In the lord's household, the wife frequently had responsibility for the dispersal of cash and goods. 10

**Emergence of the Carolingians** in Austrasia. The son of Arnulf married the daughter of **Count Pepin I** (of Landen, d. 640), mayor of the palace, founding the line later called Carolingian. 11

**Pepin II** (of Heristal), grandson of Pepin I, gained supremacy in Austrasia and Neustria <sup>12</sup> by his victory at Tertry. The kingdom was on the verge of dissolution (ducal separatism), and Pepin began an effort to reduce the landed aristocracy from which he himself had sprung.

### 714–41

**Charles Martel** (i.e., the Hammer), Pepin's son, an ally of the Lombards. <sup>13</sup>

### 716–54

Missionary activities of **St. Boniface** (Wynfrid, Wynfrith), Apostle of Germany. With the <sup>14</sup> support of Charles Martel and Pope Gregory II, Boniface worked to establish a centralized and episcopal church in Germany under Carolingian supervision. He founded dioceses, made Mainz a metropolitan see, established several monasteries, including Fulda, and encouraged the observance of the *Rule of St. Benedict* in all houses of men and women.

### 733

Martel's **victory at Tours** arrested the advance of the Muslims in the west, and was <sup>15</sup> followed by their final retreat over the Pyrenees (759).

Pepin's **conquest of the Frisians** was continued, five wars were waged against the <sup>16</sup> Saxons, and powerful decentralizing forces (notably in Burgundy and Alamannia) were broken down.

### 739

**Pope Gregory III**, threatened by the Lombards, sent an embassy to Martel, and offered <sup>17</sup> the title of consul in return for protection. Charles, an ally of the Lombard king, ignored the appeal. At the end of his life, Martel, like a true sovereign, divided the Merovingian lands between his sons, Austrasia and the German duchies going to Carloman, Neustria and Burgundy to Pepin. Carloman and Pepin ruled together, 741–47; Pepin ruled alone, 747–68. (See [The Empire of Charlemagne and Its Disintegration](#))



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

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(See [440–61](#))

### f. [The Lombards and the Popes](#)

*For a complete list of the [Roman popes](#), see [Appendix IV](#).*

1

Under Emperor Augustus, the Lombards were still established on the lower Elbe (Bardengau) and were defeated (5 C.E.) by the Romans. Their history for the next 400 years is confused. They were members of the Hunnic Empire and were probably Arians. They were given land by Justinian in Noricum and Pannonia, and they aided (553) the imperial attacks on the Ostrogoths. The Lombards took part in Belisarius's conquest, and soon they began to move south toward Italy.

2

## 568

**The Lombard conquest of Italy.** Italy, worn out by the Gothic wars, famine, and disease, offered little resistance. Constantinople was indifferent, and the conquest was easy. The Lombards, always few in number, had associated other peoples (including Saxons and some Slavs) in their invasion, but even then they were not numerous enough to occupy the whole peninsula. Rome and Naples were never held, and Ravenna only briefly. The coast was not really mastered. The Lombards did not enter into a compact with the empire, and Italian feeling against them was bitter. Pavia became the capital (Italy, until 774, always had two and usually three capitals: Rome, the papal capital; Ravenna, the Byzantine capital; and Pavia, the Lombardian capital after 573), and the peninsula was a mosaic of Byzantine, papal, and Lombardian jurisdictions.

3

**Lombard occupation** (virtually military rule at first) covered inland Liguria, inland Tuscany, inland Venetia, the duchy of Spoleto and the duchy of Benevento. **Imperial Italy** comprised Venice and the land from north of Ravenna to the south of Ancona, and included the duchy of Rome and the duchy of Naples, as well as the toe and heel of Italy. *Hospitalitas* was revived, and one third of the produce of the land (not one third of the land) was given to the Lombards. Lombards also took the lands of the dead and the exiled.

4

The Lombards took Roman titles and names, and in the end accepted Roman Catholicism. Legally there was a dual system of private law, and in Lombard territories there was a dual episcopal system (i.e., Arian and Roman).

5

### 573–84

A period of anarchy and private war under a loose federation of dukes (some 36 in number). Roman Catholic opposition and papal negotiations with the Franks alarmed the Lombards, and led to the election of **King Authari** in 584.

6

### 584–90

King Authari was endowed with half the baronial lands as royal domain. The dukedoms were gradually absorbed (the marches, like Friuli, Trent, Turin, survived longest).

7

Authari's widow, Theodolinda, a devoted Roman Catholic, bidden to choose a husband who should also be king, selected a Thuringian.

8

### 590–604

**Gregory the Great.** His family was a rich senatorial house, and Gregory was prefect of Rome (573). He founded (c. 574) six monasteries in Sicily and one at Rome (St. Andrews) into which he immediately retired as a monk. Embassy to Constantinople (c. 579–86). Elected pope (590) against his will, he began a vigorous administration. Discipline within his patriarchate was rigorous (stress on celibacy, close watch on elections, insistence on exclusive clerical jurisdiction over clerical offenders). Church revenue was divided into four shares, for the bishop, the clergy, the poor, and church buildings. His administration of the wide estates of the Church was honest, and the revenue was expanded to meet the tremendous demands on Rome for charity. The pope continued the old imperial grain doles in Rome and elsewhere, aqueducts were repaired, urban administration, especially in Rome, was reformed.

9

Outside his immediate patriarchal jurisdiction, Gregory expanded the influence and prestige of the pope, maintaining that the pope was by divine designation head of all churches. Appeals to Rome were heard even against the patriarch of Constantinople, whose claim to the title of universal bishop was denied. Without secular authority, Gregory assumed the powers of a temporal prince, counterbalancing the prestige of Constantinople. Gregory was the real leader against the Lombards, appointing governors of cities, directing the generals in war, and receiving from Constantinople pay for the

10

army.

The first monk to become pope, Gregory made a close alliance between the Benedictines and the papacy (at the expense of the bishops). The monks were given charters and protected from the bishops, the Benedictine Rule was imposed, and a great missionary campaign was begun with monastic aid: the mission to Britain (596) under **Augustine of Canterbury** and the conversion of England provided a base from which the Frankish Church was later reformed and the German people converted; and campaigns were waged against paganism in Gaul, Italy, and Sicily, and against heresy in Africa and Sicily. 11

Gregory was the last of the four great Latin Fathers, and first of the medieval prelates, a link between the classical Greco-Roman tradition and the medieval Romano-German one. Not a great scholar, he was a great popularizer, and he spread the doctrines of Augustine of Hippo throughout the West. At the same time he gave wide currency through his *Dialogues* to the popular (often originally pagan) ideas of angels, demons, devils, relic worship, miracles, the doctrine of purgatory, and the use of allegory. His *Book of Pastoral Care* remained for centuries an essential in the education of the clergy. There was a school of music at Rome, but how much Gregory had to do with it, and how much with the introduction of the Gregorian chant, is uncertain. Gregory introduced the papal style, *Servus Servorum Dei*. 12

## 590–615

**Duke Agilulf** of Turin was friendly to the Roman Church and was the true founder of the Lombard state. Gregory the Great blocked an Italian conspiracy against the Lombards. **Rothari** (636–52) became a Roman Catholic. He collected Lombard customary law in Latin and began the consolidation of Lombard power. Eventually Roman law triumphed and Lombard law survived only in the schools (e.g., Pavia). 13

The Italian bishops since 476 had been the leaders of the peaceful civilians in the cities, the protectors of the oppressed, and the dispensers of charity. Under the Lombards, a system of **episcopal immunities** emerged that made the bishops virtually local temporal sovereigns and enabled them to preserve the local spirit of municipal independence and organization (e.g., consuls, guilds). The urban population was free, and the town walls (often built by the bishops) were refuges. Milan resumed her greatness and almost equaled Rome. These developments prepared the way for the assertion of Italian town independence against Roman clerical and German feudal encroachments. **Paul the Deacon** (c. 720–c. 800), the first important medieval historian, wrote the *Historia gentis Langobardorum*. **Martianus Capella** (fl. c. 600), encyclopedist, formulated the seven arts (grammar, logic, rhetoric, geometry, astronomy, arithmetic, music), which were to guide education down to the Renaissance. 14

**Continued alienation of Italy from the East.** Arrest (653), by the exarch, of Pope Martin I (649–55), who died in exile in the East. The **Council of Constantinople** (692) reasserted the equality of the patriarchates of Constantinople and Rome. 15

**Emperor Leo III the Isaurican** (717–41) attempted to bring Italy back to obedience: heavy taxation to reduce the great landowners angered Pope Gregory II (the largest landowner in Italy) and Leo's iconoclastic decree (726) aroused all Italy. Gregory III excommunicated all Iconoclasts (731). Gregory's defeat and final humiliation weakened the pope and opened the way for the final Lombard advance. 16

## 712–44

**Destruction of the Lombard Kingdom. Liutprand**, king of the Lombards (712–44), extended his rule over the duchies of Benevento and Spoleto. Ravenna was taken temporarily. During the Iconoclastic controversy, Liutprand's sincere efforts at rapprochement with the papacy met a brief success. 17

## 749–56

**Aistulf** continued Liutprand's policy of consolidation. The pope, alarmed at Lombard progress, had already (741) made overtures to Charles Martel. Martel, busy with the Muslims, remained faithful to his alliance with the Lombards, but Aistulf's continued advance brought a visit (753) from Pope Stephen II. Stephen had already begun negotiations with Pepin III, king of the Franks, and the mutual needs of the rising papacy and the upstart Carolingian dynasty drew them into alliance. 18

## 754, 756

**Pepin**, in two expeditions, forced Aistulf to abandon the Pentapolis and Ravenna (bringing the Lombards virtually to their holdings of 681). Legally the lands involved in the **Donation of Pepin** (756) belonged to the Eastern Empire. The Donation was a tacit recognition of implicit claims of the popes to be the heirs of the empire in Italy. Most important from the papal point of view was the fact that the Church had won a powerful military ally outside Italy. Henceforth the Carolingians maintained a protectorate over the papacy in Italy. 19

## 774

**Charlemagne**, heir to the traditions of Pepin, having repudiated the daughter of the Lombard king, Desiderius, appeared in Italy to protect the pope. After a nine-month siege, Pavia was taken, Spoleto and Benevento were conquered, and Charlemagne (Charles the Great) absorbed the Lombard Kingdom into the rising Frankish Empire and assumed the crown of the Lombards. On a visit to Rome (774), Charlemagne confirmed the Donation of Pepin but made it plain that he was sovereign even in the papal lands. At no time did Charlemagne allow the pope any but a primacy in honor (in this respect, following the strict Byzantine tradition). The Donation of Pepin was the **foundation of the Papal States** and the true beginning of the temporal power of the papacy.

20

Henceforth there was neither a Lombard menace nor the overlordship of the exarch to interfere with the rising papal monarchy. In this sense the fall of the Lombard Kingdom was decisive in papal history. It was equally decisive in Italian history, for the papal victory over the Lombards terminated the last effective effort to establish unity and a centralized government until the end of the 19th century. For the Carolingian monarchy, the episode was equally significant.

Under the successors of Charlemagne, the emperors continued to participate in the papal elections and did what they could to protect Italy against the attacks of the Muslims from Africa.

21

## 827–31

**The Muslims conquered Sicily.**

22

## 837

Muslims attacked Naples, pillaged Ancona (839), and captured Bari (840).

23

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [739](#))

## **g. The Empire of Charlemagne and Its Disintegration**



### THE HOUSE OF PEPIN (640-814)

**747–68**

**Pepin the Short**, who attempted to conciliate the Church by granting and restoring lands to it. <sup>1</sup>

**752**

**Pepin was elected king** by the Frankish magnates. Both the house of Pepin and the papacy (in the process of securing independence from the emperor at Constantinople) needed each other's support. The immediate need of the popes was for protection against the expanding Lombard monarchy. **Aistulf**, king of the Lombards, had taken Ravenna (751), the seat of the exarch, besieged Rome, and exacted tribute. <sup>2</sup>

**754**

**Pope Stephen II** arrived in Gaul, anointed Pepin, and by conferring the title *Patricius Romanorum* (which could legally come only from Constantinople), designated him in a sense regent and protector of Italy. The result was to give some authority to Pepin's new title as king of the Franks. <sup>3</sup>

## 754

Pepin marched into Italy, defeated the Lombards, and required them to hand over the exarchate and Pentapolis to the pope. The Lombards failed to do so. 4

## 756

Pepin returned and, after defeating the Lombards again, made his famous Donation. The **Donation of Pepin** established the Franks, a distant, non-Italian power, as the allies and defenders of the papacy. 5

## 759

Pepin conquered Septimania, disciplined Aquitaine, and so brought effective Frankish rule to the Pyrenees. On his death his lands were given to his sons, Charles receiving Austrasia, Neustria, and northern Aquitaine; Carloman, southern Aquitaine, Burgundy, Provence, Septimania. The brothers ruled together, 768–71; Charles alone, 771–814. 6

## 771–814

**Charles the Great (Charlemagne)**, a reign of the first magnitude in European history. Charles was well over six feet tall, a superb swimmer, with an athletic frame, large expressive eyes, and a merry disposition. He understood Greek, spoke Latin, but did not learn to write. He preferred the Frankish dress. In general he continued the Frankish policies: (1) expansion of Frankish rule to include all the Germans was completed (omitting only Scandinavia and Britain); (2) a close understanding with the papacy; (3) support of Church reform (which settled the foundations of medieval Christian unity). 7

Already overlord of the Lombards, Charles married King Desiderius's daughter but soon repudiated her. 8

## 773–74



Charlemagne conquered Lombard Italy and became king of the Lombards, whose kingdom was absorbed into the Frankish Empire. Charlemagne also established his rule in Venetia, Istria, Dalmatia, and Corsica.

9

## 778

At **Roncesvalles** near Pamplona, on a pass in the western Pyrenees, the Basques destroyed the rear guard of Charlemagne's army as it was returning to France. The battle inspired the late 11th-century poem *The Song of Roland*, the most famous of the *chansons de geste*, or medieval epics. The poem celebrates Roland as the perfect chivalric knight and Charlemagne as the ideal Christian king. The poem was popular in French, Spanish, and Italian literature of the later Middle Ages; the values expressed are those of the 11th, not the 8th century.

10

## 787–88

Bavaria was incorporated; its duke, Tassilo, first made a vassal and then deposed.

11

## 785

Saxony, after a costly and bitter struggle of 30 years that involved 18 campaigns, was conquered, and Christianity was forcibly introduced despite stubborn pagan resistance. Foundation of the bishopric of Bremen (781).

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

## **h. The West Franks under the Carolingian Kings**

### **840–77**

**Charles the Bald** (emperor, 875–77). His kingdom under the **Treaty of Verdun** was roughly equivalent to modern France, with additions in the north and south and a restricted frontier on the east. Charles was effective master of Laon, but his sway over Neustria was nominal, his control sporadically maintained by war and intrigue. Charles granted three great fiefs as a buffer for his frontiers: the county of Flanders to his son-in-law, Baldwin Iron-Arm (862); Neustria to Robert the Strong as “duke between Seine and Loire”; the French duchy of Burgundy to Richard, count of Autun. Brittany (Armorica) was semi-independent under its own dukes and counts in the 9th century and continued so virtually to the end of the Middle Ages. Aquitaine, joined to Neustria for Charles (838), soon emerged as a duchy and was consistently hostile. The duchy of Gascony was joined to Aquitaine in 1052. From Neustria were carved the counties of Anjou (870) and Champagne. Septimania remained refractory. 1

### **870**

**Carloman**, Charles's son, emerged from monastic retirement and led a series of intrigues that ended when he was blinded and fled to his uncle, Louis the German. He died in 874. Charles was further weakened by his intrigues in Lorraine and Italy, and by his efforts to win the imperial crown, leaving France open to invasion, anarchy, and brigandage. 2

The crown, impotent and virtually bankrupt, commanded no respect from magnates or prelates, and the **Capitulary of Mersen** (847) shows clear evidence of the progress of essentially feudal ideas: every free man is to choose a lord; none may quit his lord; each must follow his lord in battle. It must be noted that this was purely a military measure. France was already divided into *comtés* under counts theoretically removable by the king. 3

## 875

Expedition of Charles to Italy and imperial coronation.

4

## 877

The **Capitulary of Kiersy** made honors hereditary, but lands were still granted only for life.

5

## 877–79

**Louis II** (the Stammerer), son of Charles the Bald, maintained himself with difficulty, despite the support of the Church.

6

## 884–87

**Charles the Fat**, son of Louis the German, already king of the East Franks (879) and emperor (876–87), was chosen king of the West Franks instead of Charles the Simple, the five-year-old brother of Louis and Carloman. Charles the Fat, having failed (886) to aid the gallant Odo (Eudes) against the Northmen, was deposed (887).

7

## 887–98

**Odo** (Eudes), count of Paris, marquis of Neustria (son of Count Robert the Strong), was elected king of the West Franks by one faction of magnates, to avoid a minority on the deposition (887) of Charles the Fat. Another faction chose Charles III, the Simple, son of Louis II (Carolingian).

8

## 893–923

Despite five years of civil war, **Charles III** ruled from Laon, the last Carolingian with any real authority in France. Charles, unable to expel the Northmen from the mouth of the Seine, granted (911) **Rollo** (Hrolf the Ganger, d. 931), a large part of what was later Normandy, for which Rollo did homage.

9

**Formation of Normandy.** Rollo was baptized (912) under the name **Robert**, acquired middle Normandy (the Bessin, 924) and the western part of the duchy (Cotentin and Avranché, 933). Fresh settlers from Scandinavia were recruited for the colony for the best part of a century, and it was able to retain a strong local individuality. Yet soon after 1000, the duchy was French in both speech and law. Between this period and the accession of Duke William I (the Conqueror), Norman history is fragmentary. 10

### 923–87

**The French kingship.** **Robert**, count of Paris, duke between the Seine and Loire, won the West Frankish crown with the aid of his sons-in-law, Herbert, count of Vermandois, and Rudolf, duke of Burgundy, but was killed (923), leaving a son (later Hugh the Great) too young to rule. 11

### 929–36

**Rudolf** followed Robert as the foe of Charles the Simple, and ruled with no opposition after Charles's death. **Hugh the Great**, master of Burgundy and Neustria, declined the crown, preferring to rule through the young Carolingian heir, 12

### 936–54

**Louis IV**, a son of Charles the Simple. Hugh's title, duke of the French, seems to have implied governmental functions as much as territorial sovereignty, and he held most of the northern barons under his suzerainty. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## **i. Germany under the Carolingian and Saxon Emperors**



### **CAROLINGIAN DYNASTY**



### **THE SAXON AND SALIAN EMPERORS (919-1125)**

#### **843–76**

**Louis the German.** Increasing Slavic and Norse pressure (general Norse attack on Carolingian lands, 845). Louis had three sons: Carloman (d. 880), Louis (d. 882), and Charles the Fat. Carloman was assigned Bavaria and the East Mark; Louis, Saxony and Franconia; Charles, Alamannia. Contest with Charles the Bald for Lorraine. By the **Treaty of Mersen** (870) Louis added a strip of land west of the Rhine.

1

#### **876–87**

**Charles the Fat.** He blocked Charles the Bald's advance toward the Rhine. Emergence of the kingdom of Cisjuran Burgundy (i.e., Dauphiné, Provence, part of Languedoc) under Boso (879). Expedition to Italy and coronation by John VIII (881). Negotiations (882) with the Northmen, now permanently established in Flanders. While Charles was in Italy settling a papal election, a great Norse invasion burst on France. **Deposition of Charles** by the Franconian, Saxon, Bavarian, Thuringian, and Swabian magnates at Tribur (887).

2

## 887–99

**Arnulf** (illegitimate son of Carloman, grandson of Louis the German). A certain supremacy was conceded to Arnulf by the various rulers of Germany and Italy who rendered homage to him. Victory over the Norse on the Dyle (Löwen, 891); resistance to the Slavic (Moravian) advance (893), with Magyar aid. Magyar raids after 900. Arnulf went to Italy (894), was crowned king (896), and received homage from most of the magnates. On appeal from Formosus (895), he took Rome and was crowned emperor (896).

3

## 899–911

**Louis the Child** (born 893), last of the Carolingians, elected king by the magnates at Forchheim (900). Increasing Norse, Slavic, and Magyar pressure and devastation.

4

The **weakening of the royal power** as the East Frankish kingdom of the Carolingians declined, and the survival of tribal consciousness left the way open for the emergence of the stem (Ger., *Stamm*, tribe) duchies. These duchies preserved the traditions of ancient tribal culture, and their independent development under semiroyal dukes (beginning in the 9th century) contributed to the disruption of German unity. These stem duchies were: **Franconia** (the Conradiners ultimately drove the Babenbergers into the East Mark, later Austria); **Lorraine** (not strictly a stem duchy but with a tradition of unity); **Swabia** (the early ducal history is obscure); **Bavaria** (under the Arnulfings; repulse of the Magyars, acquisition of the mark of Carinthia); **Saxony** (under the Liudolfings; repulse of the Danes and Wends, addition of Thuringia); **Frisia** (no tribal duke appeared).

5

## 911

**End of the East Frankish line** of the Carolingians with the death of Louis the Child (911); the German magnates, to avoid accepting a ruler of the West Frankish (French) line, elected Conrad, duke of Franconia.

6

## 911–18

**Conrad I.** Magyar raids and ducal rebellions in Saxony, Bavaria, and Swabia met vigorous but futile resistance from Conrad. Lorraine passed (911) temporarily under the suzerainty of the West Frankish ruler, Charles the Simple. Conrad nominated his strongest foe, Henry, duke of Saxony, as his successor, and he was elected.

7

## 919–1024

**The Saxon (or Ottonian) House.**

8

## 919–36

**King Henry I** (called the Fowler, supposedly because the messengers announcing his election found him hawking). Tolerant of the dukes, he forced recognition of his authority; cool to the Church, he avoided ecclesiastical coronation.

9

## 920–21

Reduction of the duke of Bavaria; alliance with Charles the Simple.

10

## 923–25

Lorraine restored to the German Kingdom and unified into the **duchy of Lorraine**, a center of spiritual and intellectual ferment. Henry's daughter married the duke of Lorraine (928).

11

## 924–33

**Truce** (and tribute) **with the Magyars**; fortification of the Elbe and Weser Valleys (Saxony and Thuringia); palisading of towns, villas, monasteries; establishment of garrisons (which later often became towns like Naumburg, Quedlinburg).

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **[j. Spain](#)**

### **1. The Visigothic Kingdom**

*For a complete list of the [caliphs](#), see [Appendix III](#).* 1

In the time of **Euric** (466–84) the Visigothic rule extended from the Loire to Gibraltar and from the Bay of Biscay to the Rhône. The capital was Toulouse. 2

## **507**

Clovis's victory in the **Battle of Vouillé** obliged the Visigoths to withdraw over the Pyrenees, retaining only Septimania north of the mountains. The new capital was Toledo. 3

The Visigoths in Spain were a small minority and were rapidly romanized. The conversion of King Reccared (587) from Arianism to Roman orthodoxy brought an end to their religious separateness and accelerated the process of romanization. The **Synod of Toledo** (633) assumed the right of nobles and clergy to confirm elections to the crown. After 600 the Jews were forced to accept baptism, for which reason they later on welcomed the Muslim invasion. Visigothic speech gradually disappeared, and the current vernacular was of Latin origin. Roman organization and tradition survived to a marked degree. **Isidore of Seville** (c. 560–636), a bishop, theologian, historian, man of letters, and scientist, produced in his *Etymologiae* a general reference work that remained a standard manual for 500 years and was a medium for transmitting much ancient knowledge to the medieval world. 4



## k. The British Isles

### 1. England



#### THE ANGLO-SAXON KINGS OF ENGLAND (802-1066)



#### THE DANISH KINGS OF ENGLAND (1013-66)

**Prehistoric Britain.** The prehistoric inhabitants of Britain (called Celts on the basis of their language) were apparently a fusion of Mediterranean, Alpine, and Nordic strains that included a dark Iberian and a light-haired stock. Archaeological evidence points to contacts with the Iberian Peninsula (2500 B.C.E.) and Egypt (1300 B.C.E.)

1

### 1200–600 B.C.E

The true **Celts** are represented by two stocks: Goidels (Gaels), surviving in northern Ireland and high Scotland, and Cymri and Brythons (Britons), still represented in Wales. The Brythons were close kin to the Gauls, particularly the Belgi. Their religion was dominated by a powerful, organized, priestly caste, the druids of Gaul and Britain, who monopolized religion, education, and justice.

2

### 55 B.C.E.–c. 450 C.E

**Roman occupation** began with Julius Caesar's conquests in Gaul and Britain (57–50 B.C.E.); Emperor Claudius's personal expedition and conquest (43 C.E.) were decisive in

3

the romanization of Britain. Construction of the great network of Roman roads began (eventually five systems, four centering on London). Bath emerged as a center of Romano-British fashion.

## 78–142

**Roman conquests in the north** began under Agricola (See [71–84](#)); results north of the Clyde-Forth line were not decisive. Emperor Hadrian completed the conquest of Britain in person; construction of **Hadrian's Wall** (123) from Solway Firth to Tyne mouth. Firth-Clyde rampart (c. 142).

4

## 208

**Emperor Septimius Severus** arrived (208), invaded Caledonia (Scotland), restored Roman military supremacy in the north, and fixed Hadrian's Wall as the final frontier of Roman conquest.

5

## 300–350

Height of villa construction in the plain of Britain. Chief towns: Verulamium (St. Albans), Colchester, Lincoln, Gloucester, York. Sheep raising was widespread, and the skill of the artisans and clothworkers of Britain was already famous on the Continent in the 4th century. The island south of the wall was considerably romanized. Recent archaeological investigations suggest that Christianity had made progress.

6

## 410–42

**Withdrawal of the Roman legions** and the end of the Roman administration coincided with an intensification of Nordic pressure and the influx of **Jutes, Angles, and Saxons**, which permanently altered the racial base of the island. By c. 615 the Angles and Jutes had reached the Irish Channel and were masters of what is virtually modern England. A Celtic recrudescence appeared in the highlands of the west and northwest. The history of Britain for two centuries (c. 350–597) is obscure.

7

**Seven Anglo-Saxon kingdoms**, the Heptarchy, emerged after the Teutonic conquest: Essex, Wessex, Sussex (Saxon, as the names suggest); Kent (Jutes); East Anglia, Mercia, Northumbria (Angles).

8

## 560–616

The supremacy of **Ethelbert of Kent** in the Heptarchy.

9

## 597

Ethelbert's supremacy coincided with the arrival of **Augustine the Monk** (See [590–604](#))<sup>10</sup> and the conversion of Kent to Christianity. The Frankish princess Bertha, Ethelbert's wife, who was already Christian, probably exercised a strong influence on him; she was archetypical of the role of women in evangelization. The hegemony in the Heptarchy passed eventually to **Edwin of Northumbria** (who had also been converted).

## 633

**Oswald of Northumbria** called Aidan from Iona, a monastery on an island off the west coast of Scotland. His mission began the great influence of Celtic Christianity, which for a time threatened to replace the Roman Church.<sup>11</sup>

## c. 628–89

**Benet Biscop**, a strong supporter of Benedictine monasticism. He founded the monastery of Wearmouth in Northumbria and on five trips to Italy collected books, manuscripts, and paintings that formed the intellectual milieu for the work of **Bede**.<sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## I. [Scandinavia](#)

**Origins.** References in Pytheas, Pomponius Mela, Pliny the Elder, Tacitus, Ptolemy, Procopius, Jordanes. Archaeological remains indicate Roman connections in the 3rd century after Christ, but there is no evidence for close Continental relations until the Viking period. 1

**Viking period.** Scandinavia developed in isolation during the barbarian migrations until the 2nd century C.E. The Viking expansion from Scandinavia itself prolonged the period of migrations in Europe for 400 years. The traditional participation of Scandinavia was as follows: **Norwegians** (westward): raids in Scotland, Ireland, Iceland, Greenland, east coast of North America, perhaps as far south as present-day Connecticut (Hrolf the Ganger, or “Rollo”); **Danes** (the middle passage): British Isles, France, the Low Countries; **Swedes** (eastward): across Slavdom to Byzantium (foundation of Novgorod, 862, Kiev c. 900). There never was a mass migration, and probably all shared in the various movements to some degree. **Causes:** scholars speculate that polygamy may have created population pressures for emigrations; that the practice of primogeniture forced younger sons to seek their fortunes abroad; that mercantile expansion, especially among the Frisians (people in area of modern Holland) whetted the Viking appetite for trade, and that the Viking culture encouraged the desire for adventure and plunder abroad. **Means:** shallow longboats, equipped with sails, oars, a rudder at the stern and capable of carrying 40 to 60 men, proved easily maneuverable on both rough northern waters and inland rivers, and were versatile—used for raiding and commerce. 2

**Norwegian Colonization. Ireland:** the Norwegian conquest began c. 823, and centers were established at Dublin (the kingdom endured until 1014), Waterford, and Limerick. Exodus of learned monks to Europe (**Scotus Erigena?**). Attacks by the Picts and Danes. The subsequent colonization of the Scottish Islands drew Norwegians from Ireland and accelerated the celticization of the colonists who remained there. **The Islands:** Hebrides, Man, Faroes, Orkneys, Shetlands. **Iceland:** reached by Irish monks c. 790; discovered by the Northmen (Norsemen) in 874 and colonized almost at once; establishment of a New Norway, with a high culture. **Greenland:** visited by Eric the Red of Iceland (981) and colonized at once; expeditions from Greenland to the North American continent (See [1003–6](#)). The Norse settlements in Greenland continued until the 15th century. 3

**Civilization.** Large coin hoards indicate the profits of raids and trade with the British Isles, Mediterranean, Byzantium, and Muslim Asia. Export of furs, slaves, arms (to eastern Europe), and mercenary services to rulers (e.g., bodyguards of Ethelred, Canute, Slavic princes, Byzantine emperors). Trade eastward was cut off by the Huns and Avars (5th and 6th century) but resumed after Rurik's expedition (862) reopened Russia. 4

**Runes** (from a Scandinavian root meaning to inscribe) were already ancient in the Viking period, and probably are modified Roman letters. The *Eddas*, dramatic lays (prose and verse) of the Norwegian aristocracy (especially in Iceland) dealing with gods and heroes (many in the German tradition, e.g., Sigurd and the Nibelungs), are the highest literary production of pagan Scandinavia. 5

**Scandinavian society** rested on wealth from raids and commerce and consisted of a landed aristocracy with farmer tenants who had the right and obligation to attend local courts. The only general assembly was the Allthing of Iceland (established 930), the oldest continuous parliamentary body in existence. 6

**Mythology and religion.** The Norwegians had a more complicated mythology than any other Teutonic people: giants, elves, dwarfs, serpents, succeeded by the triumph of **Odin**, his wife, **Friga**, and his son, **Thor**. 7

**Conversion to Christianity.** The first Christians (probably captives) appeared in the 6th century. The first Christian missionary was the Anglo-Saxon **Willibord** (c. 700), who accomplished little. A Carolingian mission (c. 820) was welcomed by King Bjorn of Sweden. A few years later (c. 831) the archbishopric of Hamburg was established and became at once the center for missionary work in the north. (See [Scandinavia](#)) 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [527–565](#))

## 2. [Eastern Europe, 500–1025](#)

### a. [The Byzantine Empire](#)



#### [THE BYZANTINE EMPIRE IN THE 6TH CENTURY \(MAP\)](#)



#### [THE MACEDONIAN EMPERORS \(867-1056\)](#)

For a complete list of the [Byzantine emperors](#), see *Appendix II*.

1

The **Eastern Roman Empire**, or Byzantine Empire, was a polyglot, multiethnic, polysectarian state, at the head of which was the **emperor** (*basileus*, *autokrator*), whose autonomous monarchical power rested on Hellenistic political philosophy and Christian political theory.

2

## 527–65

**Justinian.** Justinian was a man of autocratic character and grandiose conceptions. He was strongly influenced by his wife, **Theodora** (d. 548), a woman of humble origin but of iron will and unusual political judgment. Justinian's whole policy was directed toward the revival of a universal Christian Roman Empire. The entire reign was filled with wars in the east and the west, punctuated by constant incursions of the barbarians from the north.

3

**Justinian and the Church.** Peace had been made with Rome in 519 and Pope John I had visited Constantinople in 525. Justinian made a great effort to maintain the unity of the western and eastern churches, but this led him into trouble with the **Monophysites** of Syria and Egypt. He attempted to reconcile them also, but with indifferent success. The

4



cleavage between Latin and Greek Christianity became ever more marked. Justinian suppressed all heresies and paganism (closing of the Neo-Platonic Academy at Athens, 529). Extensive missionary work was carried on among the pagans and in Ethiopia. For the rest, the emperor, with a great taste for dogma, set himself up as the master of the Church and arrogated to himself the right to make binding pronouncements in even purely theological matters.

**Administration.** The emperor abolished the sale of offices, improved salaries, united the civil and military powers of provincial authorities. To hold back invaders, he built hundreds of forts along the frontiers and established a regular system of frontier forces (*limitanei*). Financially the empire suffered greatly from the extensive military operations and from the great building activities of the court. 5

**Law reform.** To clarify the law, Justinian appointed a commission headed by the jurist **Tribonian**. This commission collected and ordered all the constitutions promulgated since the time of Hadrian and published them as the *Codex Justinianus* (529). There followed the collection of opinions of the jurists, the *Digest, or Pandects* (533), and a general textbook of the law, the *Institutes*. Justinian's own legislation was collected in the *Novellae* (565). By this great work of codification Justinian assured for the Roman Law an immense prestige and far-reaching influence, but at the same time diminished its chances of further development. 6

**Building activity.** The period was one of unexampled construction, ranging from whole towns to public baths, palaces, bridges, roads, and forts, as well as countless churches and cloisters. It was a period of much free experimentation and originality in architecture, resulting in unusual variety of types, all of them, however, marked by grandeur and splendor. The **Church of St. Sophia** (constructed between 532 and 537 by Anthemois of Tralles and Isidoros of Miletus) is the greatest of the many monuments of Justinian's reign. 7

**Literature.** An age of revival. The *Anekdotia* (Secret History) of **Procopius**; the historians **Agathias** and **John of Ephesus**. Renascence of Greek classical poetry; creation of religious poetry by **Romanos**. 8

## 527–31

The **first Persian War** of Justinian (See [527–531](#)). His commander, **Belisarius**, won a victory at Dara (530), but was then defeated at **Callinicum**. The conflict ended with the **Perpetual Peace** of 532, designed to free the imperial armies for operations in the west. 9

## 532

The **Nika Insurrection** (so called from the cry of the popular parties, *nika* meaning victory). This was the last great uprising of the circus parties. Much of Constantinople was destroyed by fire. Justinian was deterred from flight only through the arguments of Theodora. Ultimately Belisarius and the forces put down the insurrection with much cruelty (30,000 slain). Therewith autocracy was reaffirmed. People started to regard the emperor as God's regent on earth, and church and state became one. Not only land ownership but also lucrative economic activities, like the silk industry, were state monopolies (Byzantium succeeded in importing silkworms directly from China and developed a silk industry of its own). Another precedent to be followed by most Byzantine emperors until the 13th century was Justinian's ambition to restore the previous Roman Empire with the entire Mediterranean under its control.

10

### 533–34

The Vandal usurper Gelimer was defeated, and the **whole of North Africa** was reincorporated into the empire.

11

### 535–54

After a series of devastating wars against the Ostrogoths, **all of Italy** was brought under imperial rule.

12

### 540

The **Huns, Bulgars** (See [584–642](#)), and other barbarian tribes crossed the Danube and raided the Balkan area as far south as the Isthmus of Corinth.

13

### 540–62

The great **Persian War against Khusru I** (Chosroes) (See [531–579](#)). The Persians invaded Syria and took Antioch. A truce was concluded in 545, but hostilities were soon resumed in the Transcaucasus region. By the 50-year **Peace of 562**, Justinian agreed to pay tribute, but Lazistan was retained for the empire.

14

### 542–46

Constantinople and the empire were affected by the first main cycle of bubonic plague, which struck the Mediterranean world throughout the 6th century and recurred periodically perhaps for the next 200–300 years. The 542–46 epidemic possibly caused the death of as many as 300,000 people in Constantinople alone. By the end of the 6th century, Byzantium saw its manpower severely debilitated. 15

## 554

The **conquest of southeastern Spain** by the imperial armies. Cordoba became the capital of the province. 16

## 559

The **Huns and Slavs**, having advanced to the very gates of Constantinople, were driven off by Belisarius. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. The First Bulgarian Empire

### 584–642

Rule of **Kubrat**, or **Kurt**, of the Dulo tribe, approximately one century after Bulgarian settlement in the Balkans (See [673–78](#)). His dominion extended from the Don to the Caucasus. In 619 he visited Constantinople to secure aid against the Avars, at which time he became converted to Christianity, though this step seems to have had no consequences for his people. 1

### 643–701

**Isperikh** (Asperuch), the son of Kurt. The old Great Bulgaria was disrupted by the attacks of Avars and Khazars, and various tribes of Bulgars moved westward into Pannonia and even into Italy. Those under Isperikh crossed the Danube (650–70) and established a capital at Pliska. In 680 they defeated a Byzantine army and occupied the territory between the Danube and the Balkan Mountains. At the same time they still held Wallachia, Moldova, and Bessarabia. 2

### 701–18

**Tervel**, to whom Emperor Justinian II paid a subsidy or tribute, but only after the imperial forces had been defeated at Anchialus (708) and after Tervel had advanced to the very gates of Constantinople (712). 3

### 718–24

Ruler unknown. 4

## 724–39

**Sevar**, during whose reign the peace with the empire was maintained. The Dulo dynasty came to an end with Sevar, whose death was followed by an obscure intertribal struggle. 5

## 739–56

**Kormisosh**, of the Ukil tribe. Until the very end of his reign he maintained peace with the empire, until further domestic disorders gave the signal for Byzantine attacks (from 755 on). 6

## 756–61

**Vinekh**, who was killed in the course of an uprising. 7

## c. 760

208,000 Slavs fled from Bulgaria, asked Byzantium for asylum, and were allowed to settle in Asia Minor. 8

## 761–64

**Telets**, of the Ugain tribe. He was defeated at Anchialus by the Byzantines (763) and put to death by the Bulgarians. 9

## 764

**Sabin**, of the family of Kormisosh. He was deposed and fled to Constantinople. 10

## 764?

**Pagan, or Boyan**, who finally concluded peace with the emperor.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Western Europe and the Age of the Cathedrals, 1000–1300**

#### **a. Overview**

This period witnessed great **agricultural expansion**, which made possible considerable **population growth**, which in turn contributed to the **rise and growth of towns**. A general **commercial revival**, especially of long-distance trade, brought Europeans, at least indirectly, into contact with many parts of the eastern Mediterranean, East Africa, East and Southeast Asia. Agricultural and commercial revivals allowed for **upward social mobility**. The period also saw remarkable intellectual creativity, with results including the uniquely European educational institution, **the university**; stunning **architectural and artistic vitality**; **technological change**, especially in the tremendous spurt in the **use of energy**, as in water and windmills and the discovery of new iron-casting techniques; and **spiritual piety**. Perhaps the best indication of all this change is the **medieval cathedral**, a symbol of local civic pride, wealth, architectural imagination, and deep religious feeling. In this rich and creative era, the Roman papacy led the way in the development of administrative techniques; England, in the formation of political institutions, including the law; and France, in the evolution of sophisticated cultural influences.

**SOCIAL INTOLERANCE**. Xenophobia (especially against Muslims) resulted from the long crusading tradition; the general systematization of civil and ecclesiastical law stressing social and religious conformity led to increasing hostility against those perceived as social outsiders, aliens. This **new intolerance** manifested itself first in the **expulsion of the Jews** (from England in 1290, France in 1306), then in **legislation against homosexuals**, enacted in Norway (1250), Castile (1250), Siena (1262), Bologna (1265), England (1275), France (1283), Florence (c. 1340); adults convicted were sentenced to death by burning. These laws remained on the books until the 1960s.

Estimates of Population Growth, c. 1000–1300

Italy (including Sicily)	from 5 million to 10 million
British Isles	2 million to 5 million
France	7 million to 16 million
Iberia	7 million to 9 million
Germany and Scandinavia	4 million to 11.5 million

**DEVELOPMENTS IN TECHNOLOGY.** The great availability of slave labor in the ancient and early medieval worlds had retarded the development of **water mills**. The 10th and 11th centuries, however, witnessed a spectacular increase in the number of water mills; for example, the Robec River near Rouen in Normandy had 2 mills in the 10th century, 4 in the 11th century, 10 in the 13th century, and 12 in the 14th century. The *Domesday Book* (See [1086](#)) recorded 5,624 water mills in England in 1086; many manors had at least one mill for grinding grain, fulling (the process of scouring, cleaning, and thickening cloth), stone cutting, and wood cutting. The **windmill** (documented from the 12th century) was more complex than that used in the East, due to the more variable winds of Europe. Cistercian monks often took the lead in establishing **mines**: iron (Furness in Lancashire, Igny in Champagne), coal (Newbattle in Scotland, Grünhain in Bohemia), salt (Wachock near Kraków in Poland, Aussee in Austria), and silver (Grünhain, Altzelle in Saxony). **Communications** improved partly because bridge and road building was considered a social duty and partly because of the more effective use of animal power. Communication by sea was improved by the **Lateen sail**, in use in Italy in the 11th century, and by the **sternpost rudder compass** and the **astrolabe**, about which Europeans learned from the Muslims. 3

Along with the increase in the construction of stone bridges came an increase in the number of **stone buildings**; between 1180 and 1270 in France alone, 80 cathedrals, 500 abbey churches, and tens of thousands of parish churches were constructed in stone; more stone was quarried for churches in medieval France than had been extracted for the Great Pyramid in ancient Egypt, which alone had consumed 40.5 million cubic feet of stone. All these churches displayed a new architectural style, which 15th-century critics called **gothic**. Europeans' greater knowledge of architectural techniques—the distribution of weight, arches—derived from Arabic contacts and sources. 4

The **textile industry** developed, making use of wool, linen, cotton, and silk. The spinning wheel dates from the 13th century and is the first example of belt-driven power transmission. **Soap** was also invented and produced on a large scale by the 12th century. 5

The most important development was in the discovery of **iron-casting techniques**; tools and weapons could be more efficiently produced. **Gunpowder**, although known in Europe in the 13th century, did not become revolutionary until the 14th century, when it was first used to propel missiles. 6



**DEVELOPMENTS IN POPULAR CULTURE.** As in earlier centuries, **women** worked <sup>7</sup> alongside men in all agricultural work, such as grain cultivation and viticulture, and in the preparation of wool and dyes in the textile industry; they dominated the production of ale and beer; they supplemented household income with poultry farming and the manufacture of cheese. Through a practical apprenticeship, women learned **midwifery**, and, until around 1400, women attended all births; beginning in the 13th century, midwives sometimes found it necessary to deliver the child by **cesarian section**, but in the 14th century doctors' guilds and medical schools restricted the performance of cesarians to licensed surgeons, while denying women entrance to medical schools. By the late 14th century, women were engaged in every urban commercial activity as helpmates to husbands and independently; in many manufacturing trades (e.g., in the Parisian silk and woolen industries), women predominated. In the 15th century many **craft guilds** (such as at Cologne) greatly restricted or entirely excluded female members.

In the 12th century, the **cult of the saints** (persons considered outstanding in holiness) <sup>8</sup> gained great popularity: resting on the customary relationship of mutual fidelity and aid, the pious offered prayers and gifts in return for support and healing. **Initiative** in creating a saint belonged to ordinary believers, in spite of papal efforts at centralization. Social structures in different parts of Europe had **different models of holiness**: Italy and Mediterranean lands chose **popolani** (non-nobles), whereas in France, Germany, and England, primarily persons of noble status tended to be selected as saints.

At the center of the new (12th-century) **sacramental system** stood the **Eucharist** of the <sup>9</sup> Mass, which Christians believed after priestly consecration became the living body and blood of Christ and a most important channel of grace. **Beginning in the 11th century**, because of her special relationship to Christ, there was a huge outpouring of **devotion to the Virgin Mary**, as a powerful intercessor with Christ. Prayers, hymns, ceremonies were created to honor her; many churches, including all Cistercian monasteries, were dedicated to her.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

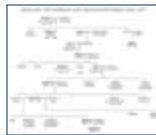
[NEXT](#)

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(See [1066](#))

## b. [The British Isles](#)

### 1. England



#### [ENGLAND: THE NORMAN AND PLANTAGENET KINGS \(1066-1377\)](#)

#### 1066–87

**William I** (the Conqueror), a man of medium height, corpulent, choleric, but majestic in person and a great soldier, governor, centralizer, legislator, innovator. <sup>1</sup>

#### 1066–72

Speedy submission or reduction of the south and east. The Confessor's bequest, acceptance by the witan, and coronation “legalized” William's title. Reduction of the southwest (1068). Reduction of the rest of England (1067–70): a series of local risings leniently dealt with; construction by forced native labor of garrison castles (Norman mounds). Great **rising of the north** (Edwin and Morca's second) with Danish aid (1069) put down by William in person. The “harrying of the north” (1069–70), a devastation (often depopulation) of a strip from York to Durham (the consequences survived to modern times), ended Scandinavian opposition in England. <sup>2</sup>

**Norman fusion, conciliation, innovation:** (1) **Feudalization** on centralized Norman lines (on the ruins of the nascent Saxon feudalism) followed military reduction and <sup>3</sup>

confiscation of the rebel lands (1066–70). Theoretically every bit of land in England belonged to the crown; in practice only the great estates changed hands and were assigned to William's followers on Norman tenures. The king retained about one-sixth of the land; less than half of the land went to Normans on feudal tenures. Except on the border, few compact holdings survived; the earldoms, reduced in size, became chiefly honorific. Some 170 great tenants-in-chief and numerous lesser tenants emerged. A direct oath (the *Oath of Salisbury*) of primary vassalage to the crown was exacted from all vassals, making them directly responsible to the crown (1086). Construction of castles (except on the borders) subject to royal license; coinage a royal monopoly; private war prohibited. (2) The **Anglo-Saxon shires** (34) and hundreds continued for local administration and local justice (bishops no longer sat in the shire courts and the earls were reduced) under the sheriffs (usually of baronial rank), retained from Anglo-Saxon days, but subject to removal by the king. The sheriffs were an essential link between the (native) local machinery and the central (Norman) government. Communities were held responsible for local good order; sporadic visitations of royal commissioners. Anglo-Saxon laws little altered. (3) Early grant of a charter to London guaranteeing local customs. (4) **Innovations of the centralizing monarch**: a royal council, the **great council**, meeting infrequently (three stated meetings annually), replaced the Anglo-Saxon witan and was of almost the same personnel: tenants-in-chief; the chancellor (introduced from Normandy by Edward the Confessor); a new official, the justiciar (in charge of justice and finance, and William's viceroy during his absences); the heads of the royal household staff. This same body, meeting frequently and including only such tenants-in-chief as happened to be on hand, constituted the **small council**, a body that tended to absorb more and more of the actual administration.

The **Church** retained its lands (perhaps a fourth of the land in England). Pope Alexander II had blessed William's conquest, and William introduced the (much-needed) Cluniac reforms (See [1012–46](#)). Archbishop Stigand and most of the bishops and great abbots were deprived or died, and were replaced by zealous Norman reformers; **Lanfranc** (an Italian lawyer, a former prior of Bec), as archbishop of Canterbury, carried through a wide reform: celibacy enforced, chapters reorganized, new discipline in the schools, numerous new monastic foundations. By royal decree, episcopal jurisdiction was separated from lay jurisdiction, and the bishops were given their own courts, a decisive step in the evolution of the canon law of the Church and the common law as separate jurisdictions. William refused an oath of fealty to Pope Gregory VII for his English conquests and (despite the papal decree of 1075) retained control of the appointment of bishops and important abbots, from whom he drew his chief administrators (thereby making the Church, in effect, pay for the administration of the state). No papal bull or brief, no papal legate might be received without royal approval, and no tenant-in-chief or royal officer could be excommunicated without royal permission. The king retained a right of veto on all decrees of local synods. The great prelates were required to attend the great council, even to do military service.

## 1086

The great **Domesday survey**. Royal commissions on circuit collected on oath (sworn inquest) from peoples of the counties and vills full information as to size, resources, and present and past ownership of every hide of land. The results, arranged by counties in the *Domesday Book*, gave a unique record as a basis for taxation and administration. Recent research on the *Domesday Book* allows tentative and **approximate population** estimates for England in 1086: slaves, 9 percent (in some western counties, such as Cornwall, 20 percent); serfs, 85 percent; burghers and townspeople, 3.5 percent; clerics (priests, monks, nuns), .5 percent; knights and nobles, 1 percent.

5

**Royal finance:** (1) nonfeudal revenues: Danegeld, shire farms, judicial fines; (2) the usual feudal revenues: relief (inheritance tax on great fiefs), scutage (paid in lieu of performance of knight's service).

6

**Military resources** of the crown: (1) (nonfeudal) the old Anglo-Saxon *fyrð* (including *ship fyrð*) was retained (i.e., a national nonfeudal militia, loyal to the crown, was used, as against the Norman rebellion of 1075); (2) (feudal) about five thousand knights' fees owing service on the usual feudal terms. The prosperity of England under Norman rule was great, and an era of extensive building (largely churches, cathedrals, and monasteries) began under the Conqueror and continued even through the anarchy of Stephen and Matilda.

7

## 1087–1100

**William II** (Rufus), a passionate, greedy ruffian, second son of the Conqueror, designated by his father on his deathbed (Robert, the eldest, received Normandy; Henry, cash). A Norman revolt (1088) was put down, largely with English aid, and William was firmly settled on the throne. Justice was venal and expensive, the administration cruel and unpopular, taxation heavy, the Church exploited. On Lanfranc's death (1089), William kept the revenues of the see of Canterbury without appointing a successor until he thought himself dying, when he named (1093) Anselm (an Italian, abbot of Bec, a most learned man, and a devoted churchman), who clashed with William over the recognition of rival popes; Anselm maintained church law to be above civil law and went into voluntary exile (1097). William, deeply hated, was assassinated (?) in the New Forest.

8

## 1100–35

**Henry I** (Beauclerc, Lion of Justice), an educated, licentious, prudent ruler, a good judge of men, won the crown by a dash to the royal treasury at Winchester and a quick appeal to the barons by his so-called *Coronation Charter*, a promise of reform by a return to the good ways of the Conqueror (a promise often broken). Anarchy in Normandy under Robert's slack rule, an invitation from the revolting Norman barons, and the victory of **Tinchebray** (1106) gave Henry Normandy (Robert remained a prisoner until his death). **Anselm**, faithful to the reforming program of the revived papacy, on his recall from exile refused homage for the archiepiscopal estates (i.e., he refused to recognize lay investiture) and refused to consecrate the bishops who had rendered such homage. Henry temporized until firmly on the throne, then seized the fiefs and exiled Anselm. Adela, Henry's sister, suggested the **Compromise of 1107**, which terminated the struggle by establishing clerical homage for fiefs held of the king, while the king allowed clerical investiture with the spiritual symbols. The crown continued to designate candidates for the great prelaties.

9

This reign was marked by a notable expansion, specialization, and differentiation of function in the royal administration (e.g., the exchequer, influenced by accounting methods from Lorraine, or Laon). Extension of the jurisdiction of royal courts: growing use of royal writs, detailing of members of the small council as judges on circuit (hitherto a sporadic, now a regular practice), who not merely did justice but took over increasingly the business formerly done by the sheriffs (e.g., assessment and negotiation of aids and other levies), and brought the curia regis into closer contact with shire and hundred courts.

10

Prosperity was general, and trade in London attracted Norman immigrants. The **Cistercians** arrived (1128) and began an extensive program of sheep farming, mill and road building, agricultural improvement, and stock breeding. Henry began the sale of charters to towns on royal domain.

11

**Influence of the conquest on English culture.** In **architecture**: wide introduction of the Norman (Romanesque) style (St. John's Chapel in the Tower of London, end of the 11th century; Durham Cathedral, c. 1096–1133). In **literature**: Anglo-Saxon, the speech of the conquered, almost ceased to have a literary history, rapidly lost its formality of inflections and terminations, and became flexible and simple, if inelegant. Norman French, the tongue of the court, the aristocracy, the schools, the lawyers and judges, drew its inspiration from the Continent until the loss of Normandy (1204). The Normans then began to learn English, and Anglo-Saxon was enriched with a second vocabulary of Norman words, ideas, and refinements.

12

**Anglo-Norman culture.** In **historical writing**: **Geoffrey of Monmouth**, *History of the Kings of Britain* (written in Latin, before 1147), created the tale of Arthur for Europe; **Walter Map** (c. 1140–c. 1200), author of Goliardic verse, welded the Grail story into the Arthurian cycle, giving it a moral and religious slant; **Wace** (c. 1124–c. 1174),

13

*Roman de Brut* and *Roman de Rou*; **Marie de France**; all three were at the court of Henry II. In **science**: **Adelard of Bath**, a student of Arabic science, in the service of Henry II, observed and experimented (e.g., studying the comparative speed of sound and light), translated Al-Khwarizmi's astronomical tables into Latin (1126) and introduced Al-Khwarizmi's trigonometric tables to the West; **Robert of Chester** translated Al-Khwarizmi's algebra into Latin (1145); **Alexander Neckham** (1157–1217), encyclopedist, wrote on botany and on the magnet. In **philosophy**: **John of Salisbury** (d. 1180), pupil of Abelard, the best classical, humanistic scholar of his day, attached to the court of Henry II and later bishop of Chartres, wrote the *Policraticus*. **Beginnings of Oxford University** (c. 1167) on the model of Paris, a center of national culture.

## 1135–54

**Stephen**. Henry's son drowned on the *White Ship* (1120), and Henry had had his daughter **Matilda** (widow of the emperor Henry V) accepted as his heir and married to Geoffrey of Anjou, as protector. Stephen of Blois (son of Henry's sister Adela) asserted and maintained his claim to the throne at the price of a dynastic war (till 1153) with Matilda, the climax of feudal anarchy, and the ruin of English prosperity. Archbishop Theobald finally negotiated a compromise (1153) whereby Matilda's son Henry should succeed to the crown on Stephen's death. The reign was remarkable for a tremendous growth of ecclesiastical influence.

14

## 1154–1399

**The house of Plantagenet** (Angevin).

15

## 1154–89

**Henry II**. Master of a hybrid “empire” (England, Normandy, Anjou, Maine and Touraine by inheritance; Poitou, Aquitaine and Gascony by marriage with Eleanor of Aquitaine (1152); Brittany (acquired 1169), and Wales, Ireland, and Scotland (on a loose bond)) without unity save in the person of the ruler. **Dynastic marriages**: daughter Eleanor to the king of Castile, Joan to the king of Sicily, Matilda to Henry the Lion. King Henry was a man of education, exhaustless energy, experience as an administrator; a realist; violent of temper.

16

**Restoration of England** to the good order of Henry I: dismissal of mercenaries, razing of unlicensed castles (1000?), reconquest of Northumberland and Cumberland from the

17

Scots, resumption of crown lands and offices alienated under Stephen. Reconstitution of the exchequer and great council. After 1155 Henry felt free to leave England, and spent less than half his reign in the realm.

## 1155–72

**Struggle to reduce clerical encroachment on the royal courts.** Under Stephen, anarchy and the theories of Roman law had favored the expansion of clerical courts, extending to all who were literate, even accused murderers, benefit of clergy—that is, trial in the ecclesiastical court, where the penalties were far milder than in the king's court. **Thomas Becket** (a close friend of Henry's at the time of his elevation to the chancellorship, 1155) resigned as chancellor when he became archbishop of Canterbury (1162), and clashed at once with Henry over the criminous clerks. The *Constitutions of Clarendon* (1164), largely a restatement of old customs (including the Conqueror's), provided (inter alia) for the indictment of clerics in royal courts, their trial in ecclesiastical courts, and their degradation, followed by their sentencing and punishment in royal courts. Becket claimed this amounted to double jeopardy, that “not even God judges twice for the same thing.” Henry argued that too many criminals were escaping justice. The *Constitutions* also extended royal jurisdiction (at the expense of clerical), and asserted royal rights of control in episcopal elections. Becket yielded, was dispensed from his oath by the pope, violated the *Constitutions*, and fled to France. Reconciled (1170) with Henry, Becket returned, excommunicated certain bishops friendly to Henry, and was murdered in the cathedral of Canterbury by four knights of Henry's court, spurred by Henry's outbreak of fury against Becket, but not by Henry's orders. Henry escaped excommunication by promising to abide by the papal judgment, and was reconciled with the papacy (1172) after swearing an oath denying all share in the crime. Henry retained the right of presentation and virtual control over episcopal elections.

18

**Judicial reforms:** (1) Increasing concentration of judicial business in the small council. (2) Designation (1178) of five professional judges from the small council as a **permanent central court**; extension of the transfer of judicial business to royal courts by the increase and specialization of royal writs (the fees a valuable source of revenue); formalization and regularization (c. 1166) of the itinerant justices (justices *in eyre*), the great source of the **common law** (a law universal in the realm). One of the judges, **Glanvil**, wrote the *Treatise on the Laws and Customs of the Kingdom of England*, the first serious book on the common law, which revealed the formal influence of Roman law but was English in substance. The itinerant judges were charged with cases dealing with crimes like murder, robbery, forgery, and arson, and with financial business as well as judicial. (3) **Expansion of the sworn inquest** (probably of Roman origin, introduced into England by the Conqueror): statements by neighbors (freeholders) under oath in the shire courts, in the form of a **jury** (12 members) of presentment in criminal cases (Assize

19



of Clarendon, 1166) later called the accusing, indicting, or **grand jury**, but guilt in criminal cases determined by ordeal by battle or hot iron or cold water, which were appeals to the supernatural; local juries used to determine rightful possession of land in civil cases.

**Reorganization of the exchequer.** Nigel, bishop of Ely (nephew of the original organizer, Roger of Salisbury), restored the exchequer to the general form of Henry I. **Innovations in the raising of revenue:** (1) **tallage**, levied by local negotiations (i.e., by the itinerant justices) with boroughs and tenants; (2) **hidage (carucage)** replaced the Danegeld; (3) **scutage**, levied by Henry I on the clergy, now extended to knights' fees in lieu of military service (due to Henry's need of nonfeudal levies across the channel); (4) **personal property taxes** (the first, 1166), Saladin tithe (1188), assessed by neighborhood juries. *The Dialogue of the Exchequer* was written by one of the officials of the exchequer.

**Extension of trade.** German merchants were well established in London by 1157; there was a large Italian business in wool; and there was extensive development of domestic trade.

**Foreign affairs.** The **Norman penetration of Wales** since the conquest bred a sporadic national resistance; Henry, with three expeditions, reduced Wales to nominal homage to the English crown. **Ireland**, despite a brilliant native culture, was in political chaos under rival tribal kinglets and was economically exhausted. Pope Adrian IV, hoping that Henry would reform the Church in Ireland, "gave" Ireland (1154) to Henry. Richard of Clare's (Strongbow) expedition (1169–70) established a harsh rule; Henry landed (1171), temporarily reduced the rigors of the baronial administration, and reformed the Irish Church (Synod of Cashel, 1172). **John Lackland** (Henry's son) was appointed lord of Ireland (1177), arrived (1185), and was soon recalled for incompetence.

Intrigues and revolts (beginning 1173) of Henry's sons, supported by their mother, Eleanor, King Louis VII, and later Philip II of France, as well as by disgruntled local barons.

The ruling class continued to speak French during this reign, but the establishment of primogeniture as applied to land inheritance ensured that younger sons would mingle with the nonaristocratic sections of society and accelerate the fusion of Norman and native elements. Manor houses began to appear in increasing numbers as domestic peace continued. Numerous Cistercian houses spread new agricultural methods and especially improved wool raising.

## 1189–99

**Richard I** (Coeur de Lion). Neither legislator, administrator, nor statesman, but the greatest of knights errant, an absentee ruler who spent less than a year of his reign in



England, he visited his realm only twice, to raise money for Continental ventures. Taxation was heavy. The government remained in the hands of ministers largely trained by Henry II, but there appeared a tendency toward a common antipathy of barons and people toward the crown. Richard (having taken the Cross, 1188) went on the Third Crusade with Frederick Barbarossa and Philip II, his most dangerous foe. On his return trip Richard was captured by Duke Leopold of Austria and turned over to Emperor Henry VI, who held him for a staggering ransom. John and Philip bid for the prisoner, but Richard finally bought his freedom (1194) with a ransom raised partly through taxation in England. The crusade gave Englishmen their first taste of Eastern adventure, but drew few except the adventurous portion of the baronage. The domestic reflection was a series of anti-Semitic outbreaks. John Lackland (despite his known character) was given charge of several counties; his plot against Richard was put down by **Hubert Walter** with the support of London. Hubert Walter, archbishop of Canterbury and justiciar (1194–98), ruled England well, maintained the king's peace, and began a clear reliance on the support of the middle class in town and shire. Charters were granted towns (London received the right to elect its mayor)—and the knights of the shire were called on to assume a share of county business as a balance to the sheriffs. Knights (elected by the local gentry) served as coroners and chose the local juries, a departure looking to the day when local election and amateur justices of the peace would be the basis of government. The first known merchant guild established in 1193.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [987](#))

## **c. France**



### GROWTH OF THE KINGDOM OF FRANCE 1180-1314 (MAP)



### FRANCE: THE CAPETIAN KINGS (987-1328)

## **987–1328**

**Direct line of the Capetian house** (the dynasty continued until 1792).

1

## **987–96**

**HUGH** (called *Capet*, for the cloak he wore as abbot of St. Martin de Tours). At Hugh's accession, the kingship was at its nadir; such power as Hugh had was feudal; the royal title meant little more than hegemony over a feudal patchwork, an ill-defined area called France, and the prestige of ancient monarchical tradition sanctified by ecclesiastical consecration. Hugh's own feudal domain consisted of the Île de France (extending from Laon to Orleans, with its center at Paris) and a few scattered holdings. The great barons of the so-called royal fiefs recognized Hugh as their suzerain, but never did homage nor rendered service. Hugh's special interest was to maintain his control over his chief resources, the archbishopric of Reims and the great bishoprics (Sens, Tours, Bourges)

2

and abbeys of the Île de France, and to wean northeastern France away from the Carolingian and imperial interest. Despite clerical pressure, he avoided submission to imperial suzerainty, a policy that facilitated the demarcation between France and Germany. In defiance of pope and emperor, he forced his own candidate into the archbishopric of Reims. Hugh crowned his son shortly after his own coronation and began a practice (cooptation) that the early Capetians continued (until Philip II no longer felt it necessary), thus ensuring the succession and weakening the principle (dear to the feudality) of elective kingship.

### 996–1031

**ROBERT II** (the Pious), an active, well-educated, polished, amiable ruler, a good soldier, supported by the duke of Normandy in constant wars against his neighbors, and by the monasteries of Burgundy in attacks on the dukes of Burgundy. The duchy of Burgundy escheated to the crown and was given to Robert, a younger son. Robert the Pious, like his father, supported the Cluniac reformers. Minor territorial additions signify the revival of royal power. 3

### 1031–60

**HENRY I**, an active, brave, indefatigable ruler whose reign nevertheless marked the lowest ebb of the Capetian fortunes. The rebellion of his brother Robert, supported by Eudes, count of Chartres and Troyes, was put down with the aid of the duke of Normandy, and Robert was pacified by the grant of the duchy of Burgundy (which continued in his family until 1361). Henry supported the duke of Normandy (1047), but led a coalition against him two years later and was defeated. The *prévôts* were introduced to administer justice and taxation in the royal lands. The kingdom of Burgundy passed (1032) to the empire. 4

### 1035–66

**Rise and expansion of Normandy. William I** became duke (1035) and until 1047 faced a series of baronial revolts. With the aid of his feudal suzerain, King Henry of France, William defeated his revolting barons (1047) and razed their castles. The union of Normandy and Maine was completed (1063) against powerful opposition from the counts of Anjou. William's alliance with Henry was broken (1053), and Henry ravaged the heart of Normandy (1058). Normandy was becoming a developed feudal state under 5

firm ducal control: military service, assessed in knights' fees, was attached to specific pieces of land; no castles could be built or maintained without ducal license; private warfare and blood feud were strictly limited. Coinage was a ducal monopoly. The legal jurisdiction of the duke was wide, local government was under the duke's representatives (the *vicomtes*), who commanded the local forces, guarded the castles, did justice, collected the revenue (a large part of which was cash). The Church had been revived with the duke supreme, naming bishops, most of the abbots, and sitting in provincial synods.

Norman **relations with England** had grown closer, and this tendency culminated (1002) <sup>6</sup> in the marriage of Duke Robert's sister Emma with King Ethelred. The son of this marriage, Edward the Confessor, educated largely at the Norman court, came to the throne of England (1042) and died without heirs (1066). The witan at once elected Harold, Earl Godwin's son. **William I** of Normandy, with a volunteer force (perhaps 5,000–6,000) collected from Normandy and the Continent, defeated Harold in the **Battle of Hastings** (Oct. 14) and was crowned king of England on Christmas Day (See [1042–66](#)) (See [1066–87](#)). The Bayeux Tapestry (actually a long 230-foot-by-20-inch strip of embroidery), made in the south of England before 1082, gives a narrative in picture and text of events surrounding the Norman Conquest; it is a primary historical source for the period.

## 1060–1108

**PHILIP I**, enormously fat but active and vigorous; excommunicated and unpopular with the clergy as the result of an adulterous marriage (1092) and because of his hostility to clerical reform. He defeated (1079) Duke William of Normandy (the Conqueror) and steadily supported **Robert Curthose**, William's son, against Anglo-Norman pressure. His reign was characterized by systematic expansion of the resources of his house and regular annexations to its domains in the face of stubborn feudal resistance. <sup>7</sup>

The growth of feudalism tended to diminish anarchy and to improve the general security of life, and ultimately led to decisive economic recovery in western Europe, a trend toward urban economy, and the emergence of a bourgeoisie that was beginning to accumulate capital. This development was a determining factor in the economic, social, and monarchical evolution of the 13th century. The **Peace of God** and the **Truce of God** (See [1012–46](#)) were promoted by the Church with Capetian support but had limited effect. <sup>8</sup>

## 1108–1328

A period in which the Capetians reduced the great feudatories north of the Loire and began the transformation of the vague ecclesiastical, judicial, and military rights derived from Carolingian tradition into royal powers.

9

## 1108–37

**LOUIS VI** (the Fat). A brave soldier of tremendous physique, intelligent, affable; liked by the peasantry, commercial class, and clergy; the first popular Capetian. Consolidation of his Norman frontier (wars with Henry I of England: 1109–12; 1116–20), and steady reduction of his lesser vassals as far as the Loire. His charters to colonizers (*hôtes*) of waste lands, and frequent if inconsistent support of the communes, especially on the lands of the Church and the baronage, began the long alliance of the Capetians with bourgeois interests; Louis's **charter of Lorris**, widely copied in town charters, was a significant sign of the great **urban development** setting in all over Europe in this period. As protector of the Church, Louis gained a foothold in the lands of his vassals. Careers at court were opened to talented clergy and bourgeois. Louis's compromise with the Church over feudal patronage and investiture initiated the king of France's effective role as **eldest son of the Church**. He was the first Capetian to intervene effectively outside his own feudal lands. He defeated the alliance of Henry I of England with the Emperor Henry V, and stopped a German invasion (1124). The marriage (1137) of his son Louis to Eleanor, heiress of William X of Aquitaine (i.e., Guienne (*Aquitania Secunda*) and Gascony), marked the Capetian effort to balance the Anglo-Norman menace in the north with additions of territory south of the Loire. The Anglo-Norman danger had appeared in aggravated form when, in 1129, Geoffrey became count of Anjou, Maine, and Touraine. He had married Matilda (daughter of Henry I of England) in 1128 and proceeded (1135) to conquer Normandy.

10

**Development of royal administration** under the early Capetians. The court of the king, usually known as the *curia regis*, consisting as it did of magnates, royal vassals, and court officials (mainly chosen from the baronage), was essentially feudal in spirit and tradition. Meeting on royal summons and relatively frequently, its early duties were undifferentiated, its functions judicial, advisory, legislative. The royal administration was in control of the great officers of the crown, whose aim was to concentrate power in their own hands, a process that culminated in a virtual monopoly of such power by the **Garlande family** early in the 12th century. Louis VI, after a struggle (1128–30), terminated their dominance, and thenceforth the Capetians relied increasingly on lesser and more docile nobles, clerics, and bourgeois men of affairs. These career men were devoted to the crown rather than to feudal ambitions, and their presence in the *curia regis* began the differentiation of its functions and its subjection to royal rather than feudal influences. Most notable of these careerists was **Suger**, Louis's old tutor, a cleric of peasant origin, who became abbot of St. Denis (1122). An able statesman, his

11

influence was decisive in the reigns of Louis and his son Louis VII. Suger began (c. 1136) the new abbey church of St. Denis, the first edifice Gothic in design.

## 1100–1400

**Rise of towns.** The economic revival of western Europe was paralleled by a resumption of town life and development throughout the west, which was most notable in France, where the movement reached its apogee in the 12th century, before the consistent advance of the Capetian monarchy began to retard its progress. Types of town development were by no means uniform, but important general categories can be distinguished. (1) The **commune** proper, a collective person endowed with legal rights and powers (e.g., financial, judicial), able to hold property. As a feudal person, the commune could have vassals, render and exact homage, establish courts for its tenants, and even declare war and make treaties. Symbols of its independence were the belfry, town hall, and seal. Typical communes of northern France and Flanders were the *communes jurées* (e.g., Beauvais, St. Quentin (chartered before 1080), Rouen (chartered 1145), and Amiens (chartered in the 12th century)); in southern France the corresponding communes were called *consulates*, which enjoyed even greater rights than in the north, especially in Roussillon, Provence, Languedoc, Gascony, and Guienne. In the south the nobles took an active part in the formation of consulates and shared in their government. (2) *Villes de bourgeoisie* (or *communes surveillées*) had elements of communal powers in varying degrees, but lacked full political independence (i.e., they were privileged but unfree). They were found all over France, but especially in the center, and were the prevailing type in the royal domain. Citizens enjoyed specific privileges, but the crown retained judicial and other powers in varying degrees. (3) *Villes neuves* (characteristic of the commercial north) and *bastides* (typical of the south, and usually strongholds) were small rural creations of kings or feudal lords, given a charter from the first that established their status. (4) **Peasant associations** and village federations (influential in the north), which sought to define and guarantee the rights of their citizens. Governmentally, town development seems to have been hardly the result of conscious effort to introduce a new political dispensation. It was, rather, an attempt to establish and define the rights of nonfeudal groups, and aimed at economic prosperity and personal security. The movement constantly enjoyed royal support, but royal policy toward it was governed by immediate political or financial considerations, and the crown always strove to reduce or control town independence in the interest of its own power. Ultimately monarchy triumphed, but not before the bourgeois groups and the serfs had gained substantial advantages.

## 1137–80

**LOUIS VII** (the Young). Pious and therefore popular with the clergy. He remained under the influence of Suger until the latter's death in 1151. A papal interdict on the royal lands, resulting from Louis's insistence on his feudal rights, led to intervention by Bernard of Clairvaux.

13

## 1147

Louis inspired the **Second Crusade** (See [1147–49](#)). He induced the German king, Conrad III, and Bernard of Clairvaux to join him, and, leaving the kingdom in the hands of Suger, he set out for the east. He returned (1149) beaten, humiliated, and estranged from his wife, Eleanor, who had accompanied him. The marriage was annulled (1152), probably due to lack of a male heir. This step cost the Capetians the territories of Poitou, Guienne, and Gascony, for Eleanor at once married Henry, duke of Normandy, who in 1151 had succeeded his father as count of Anjou, Maine, and Touraine. The acquisition of Eleanor's domains made Henry master of more than half of France and put him in a position to bring pressure on the holdings of the king of France both from the north and the south. When Henry in 1154 became king of England, the so-called Angevin Empire extended roughly from the Tweed to the Pyrenees.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1006–7](#))

## d. [Germany](#)



### [THE WELF AND HOHENSTAUFEN FAMILIES](#)

#### 1024–1125

**The Franconian** (or Salian) **house**. Dawn of the great imperial age.

1

#### 1024–39

**Conrad II** (the Salian). He continued the general policy of Henry: personally interested only in the churches of Limburg and Speyer, he was firm in his dealings with the Church in general and relied on the lesser nobles to balance the clergy and magnates. The *ministeriales*, laymen of servile origin, were used to replace the clergy in many administrative posts; regalian rights were retained and exploited. Dukedoms were not regranted as they fell vacant, but were assigned to Conrad's son Henry, who, on his accession to the crown, held all but the duchies of Lorraine and Saxony. By encouraging the making of fiefs heritable, Conrad weakened the dukes and got the support of the lesser nobles but ensured the ultimate feudalization of Germany. Conrad's brilliant imperial coronation (1027), in Rome, was witnessed by two kings, Canute the Great and Rudolf III of Burgundy. Burgundy, willed to Conrad by Rudolf III and guardian of one road to Italy, was reincorporated (1033) in the empire on the death of Rudolf. Failure of an expedition (1030) against Stephen of Hungary; successful disciplinary expedition (1031) against the Poles; recovery of Lusatia; payment of homage by the Poles.

2



## 1039–56

**Henry III** (the Black). Imperial authority at its height. A period of great town prosperity, due to development of trade. His wife, Agnes of Poitou, was an ardent devotee of Cluny; Henry, an honest reformer, abandoned simony and purified the court along Cluniac lines, but retained a firm hold on the Church. Strongest of the German emperors, he asserted his mastery in parts of Poland, Bohemia, and Hungary; Saxony was the only duchy to keep a trace of its original independence; resumption of the dangerous practice of granting duchies outside the royal house made Germany a feudal volcano; use of the *ministeriales* in administration, but retention of the bishops as principal advisers and administrators. Henry's reforms alienated the bishops, the magnates, and the nobles.

3

## 1043

Henry proclaimed the **Day of Indulgence**, forgiving all his foes and exhorting his subjects to do likewise; Br[un]o of Cologne forced (1041) to do homage; pagan reaction in Hungary put down (1044); final peace in Hungary (1052), which became a fief of the German crown. Homage of Denmark, repudiated soon after.

4

## 1046

**Synods of Sutri and Rome.** Deposition, at Henry's instigation, of three rival popes, and election of his nominee, Clement II, the first of a series (Clement, Leo IX, and Nicholas II) of reforming German popes; reaffirmation of the imperial right of nomination to the papacy.

5

## 1047

**Godfrey the Bearded**, duke of Upper Lorraine, joined Baldwin of Flanders in a revolt at first supported by Henry of France (1047); he married (1054) Beatrice, widow of Boniface, marquis of Tuscany, one of the most powerful Italian supporters of the popes.

6

## 1050–1400

While France and England witnessed the slow beginnings of centralized national states through royal efforts to check or reduce powers of independent feudal barons, Germany experienced the development of **territorial lordships**. German emperors consciously supported princely territorial power and legal jurisdictions.

7

## 1056–1106

**Henry IV.** (Age six at his accession; nine-year regency of his pious mother, Agnes.) During the regency, lay and clerical magnates appropriated royal resources and sovereign rights with impunity, and dealt a serious blow to the monarchy.

8

## 1062

**Anno**, archbishop of Cologne, kidnaped the young king and, with **Adalbert**, archbishop of Hamburg-Bremen, governed in his name; they divided the monasteries (one of the chief resources of the crown) between themselves.

9

## 1066

The **Diet of Tribur**, thanks to the reaction of the clergy and nobles against Adalbert, freed Henry from Adalbert, and his personal government began.

10

Henry was a remarkable but undisciplined man, intelligent, resolute, headstrong, with the odds against him from the start; under papal pressure he was reconciled (1069) with his wife, Bertha, reformed his personal life, and began a vigorous rule. His policy was a return to the Ottonian habit of using the Church as a major source of revenue; simony was open, and the reforming party appealed to Rome against Henry. Henry began the recapture, reorganization, and consolidation of royal lands and revenues, especially in Saxony, and probably planned to consolidate the monarchy in the Capetian manner, around a compact core of royal domain in the Harz-Goslar region.

11

## 1073

A great **conspiracy of the leading princes** led to a rising of virtually all of Saxony. Henry came to terms with the pope, played one faction off against the other, won the South German baronage, and finally defeated the rebels (1075).

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Scandinavia](#))

## e. [Scandinavia](#)

### 1. Denmark

#### c. 950–85

**Harald II** (Bluetooth), whose reign saw a steady advance of Christianity and expansion of Danish power over Schleswig, the Oder mouth, and Norway. <sup>1</sup>

#### 985–1014

The kingship was of little importance until the reign of **Sven I** (Forked Beard). He defeated the Norwegians, Swedes, and Wends and conquered England (1013). <sup>2</sup>

#### 1014–35

**Canute II, the Great** (Knut), Sven's son, was king of Denmark, Norway (1028), and England (1016–35), the first “northern empire.” Canute's conversion meant the conversion of his people. He imported priests, architects, and artisans from his English realm, and new influences spread from Denmark to Norway and Sweden. On his death, Norway broke away; England passed to Edward the Confessor. By the late 12th century, Arhurs and Copenhagen were sizable trading centers, exporting great amounts of fish, especially herring. <sup>3</sup>

#### 1157–82

Under **Waldemar I, the Great**, the founder of the **Waldemarian dynasty**, a great expansion eastward took place at the expense of the Wends; Copenhagen was established as the capital. 4

### 1182–1202

**Canute VI** made conquests in (Slavonic) Mecklenburg and Pomerania. 5

### 1202–41

**Waldemar II** (the Conqueror) led crusading expeditions into Livonia and Estonia (Reval founded), and penetrated the Gulf of Finland, making the southern Baltic a Danish lake (the second “northern empire”). This empire collapsed in 1223, and the advance was in fact more in the nature of a crusade than a permanent imperial expansion. The monarchy was now dominant, the nobles largely feudalized, the clergy (with royal grants) powerful, the bourgeoisie vigorous (fisheries and cattle raising), the yeoman class strong and independent. 6

### 1241–50

**Eric IV** (Plowpenny), whose reign was taken up with civil war against his brothers Christopher and Abel. 7

### 1250–52

**ABEL** was supported by his brother-in-law, the count of Holstein, and also by the Swedes and the city of Lübeck. 8

### 1252–59

**Christopher I.** His effort to tax the Church opened a struggle that lasted nearly a century. 9

### 1259–86

**Eric V** (Glipping). He was forced by the nobility to sign a charter, the **Danish Magna Carta** (1282), recognizing the national assembly and initiating the subordination of the king to the law. He continued the contest with the clergy, fought against dynastic rivals, planned expansion in Mecklenburg and Pomerania, and lost Scania and North Halland to Sweden. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [892–98](#))

## f. [The Papacy and Italy](#)

*For a complete list of the [Roman popes](#), see [Appendix IV](#).* 1

The papacy, frequently in immoral hands and the political football of Roman families until c. 1048, initially exercised no broad religious influence; the Italian Peninsula was without effective political leadership. 2

### 888–924

**Berengar I**, last of the phantom “emperors” (vacancy in the empire, 924–62), was the grandson of Louis the Pious. **Raids of Saracens** (c. 889) and **Magyars** (c. 898) into Lombardy; a Saracen stronghold at Freinet controlled the Alpine passes; Saracen settlements in southern Italy, and the **Muslim conquest (827) of Sicily**; Italian urban life had become almost extinct; the invasions were checked not by the shadowy monarchs, but by the rise of feudal defenders. 3

### 914–63

The **nadir of the papacy** (the “pornocracy”): the landed aristocracy of Rome, under the leadership of the senator Theophylact, his wife, Theodora, and his daughter Marozia (mistress of Pope Sergius III and mother of Sergius's son John, later Pope John XI), dominated the curia. 4

### 928

**Marozia**, having imprisoned Pope John XI, took control of Rome. 5

## 932–54

**Alberic II**, Marozia's son, assumed power. The *Patrimonium Petri* was a plaything of the **Crescentii** (Marozia's family), who maintained an intermittent supremacy in Rome during the 10th century. The papacy was without political power or spiritual prestige, and the western Church for all practical purposes became a loose organism under its bishops, who gave “national churches” such coherence as they had, and acknowledged a vague kind of allegiance to Rome. 6

## 950–61

**Berengar II**. He imprisoned his widow, Adelheid, who appealed (according to tradition) to Otto the Great. 7

## 951–52

**Otto the Great's first expedition** to Italy. 8

## 961–64

**Otto's second expedition** to Italy, in answer to the appeal of the profligate pope, John XII, for protection against Berengar. 9

## 962

Otto's coronation at Pavia as king of Italy and his coronation by the pope as Roman emperor, marked the **revival of the Roman Empire**. Otto confirmed his predecessors' grants in the *Patrimonium Petri* (probably with additions), but carefully reserved the imperial right to sanction papal elections and treated the pope like a German bishop (i.e., subject to the state). Otto also exacted a promise from the Romans not to elect a pope without imperial consent. He established a precedent by calling a synod at Rome that deposed (963) Pope John XII for various crimes, and selected a (lay) successor, Leo VIII (963–64). This synod opened a period of about a hundred years when the papacy was dominated by the German emperors and by the counts of Tusculum, vassals of the 10



emperors, who had the title of *patricius* in Rome. In the same period, the bishops in the west lost the position they had won in the 9th century and became increasingly dependent on the kings and feudal nobility, and increasingly secular in outlook. The homage of Pandolf I for Capua and Benevento (967) and his investiture with the duchy of Spoleto mark the beginning of the long imperial effort to include southern Italy in the empire.

## 964

**Pope Leo VIII** was expelled by the Romans shortly after his election, and **Benedict V** <sup>11</sup> was elected (964) by the Romans without imperial consent.

## 966–72

**Otto's third expedition to Italy.** Otto held a synod that deposed Benedict. **Pope John XIII** <sup>12</sup> (elected with imperial cooperation) was soon expelled by the Romans, and Otto, after a terrible vengeance on Rome, restored him. Imperial coronation of the future Otto II (967) by John XIII.

## 980–83

**Otto II's expedition to Italy.** Otto crushed Crescentius I, duke of the Romans, restored Pope Benedict VII (981), and was utterly defeated in his effort to expel the Saracens from southern Italy by a Greco-Muslim alliance (982). Otto dominated **Pope John XIV** <sup>13</sup> (983–84).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1035–65](#))

## **g. The Iberian Peninsula**

### **1. Muslim Spain**

**1037–86**

**The Muluk al-Tawa'if** (Party Kings). These were petty dynasties founded on the ruins of the Umayyad caliphate: the Hammudids of Malaga (from 1016 onward) and of Algeciras (1039–); the Abbadids of Sevilla (1031–); the Zayrids of Granada (1012–); the Jahwarids of Córdoba (1031–); the Dhul-Nunids of Toledo (1035–); the Amirids of Valencia (1021–); the Tojibids and Hudids of Saragossa (1019– and 1031–). Most of these dynasties were absorbed by the most distinguished of them, the **Abbadids**, who summoned the Almoravids from Africa to aid them against Alfonso VI of Castile. This lack of Muslim unity encouraged expansion of northern Christian kingdoms southward.

**1056–1147**

The **Almoravids**, a Puritanical Berber sect founded by the Berber prophet **Abdullah ibn Tashfin**. They conquered Morocco and part of Algeria and were called into Spain by the Abbadids to help in the defense against the Christians. They defeated Alfonso of Castile at **Zallaka** (1086) and proceeded to annex Moorish Spain, with the exception of Toledo and Saragossa.

**1130–1269**

The **Almohades**, a dynasty founded by the Berber prophet **Muhammad ibn Tumart**. His successor, Abdul-Mu'min, annihilated the Almoravid army (1144), after which Morocco was conquered (1146). 3

## 1145–50

The Almohades invaded and conquered Moorish Spain, after which they conquered Algeria (1152) and Tunis (1158). 4

## 1212, July 16

The Almohades were finally defeated by an alliance of the Christian kings Peter II of Aragon and Alfonso VIII of Castile, in the **Battle of Las Navas de Tolosa**, which was followed by their expulsion from Spain. Thereafter only local Muslim dynasties remained, of which the **Nasrids of Granada** (1232–1492) alone offered much resistance to the Christians. 5

The height of **Muslim learning** was reached by **Averroës** (ibn-Rushd, c. 1126–98), philosopher, physician, and commentator on Plato and Aristotle, master of the Christian schoolmen. 6

In the 10th through the 15th century, Christian kingdoms in the north, propelled by demographic pressure, land hunger, nobles' demands for estates, advances in military technology, and the appetites of transhumant sheep, pushed southward. In the 14th century, clerical propagandists labeled this movement the **Reconquista (Reconquest)**: a sacred crusading struggle to wrest the country from alien Muslim hands and to restore Christian control. This religious myth subsequently became part of Spanish political history and the Spanish “national” psychology. 7

## 1238

The Nasrid rulers began reconstructing an old fortress, **the Alhambra** in Granada, a monumental and magnificent complex of buildings combining fortress, palace, and small city. Completed in the 14th century, these buildings and gardens survive as the finest example of Muslim culture in Europe. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 4. [Eastern Europe, 1000–1300](#)

### a. [The Slavs](#)

The Slavs, an eastern branch of the Indo-European family, were known to the Roman and Greek writers of the 1st and 2nd centuries C.E., under the name of **Venedi**, as inhabiting the region beyond the Vistula. The majority of modern scholars agree that the “original home” of the Slavs was the territory to the southeast of the Vistula and to the northeast of the Carpathian Mountains, in the upper basins of the Western Bug, the Pripet, and the Dniester. In the course of the early centuries of our era, the Slavs expanded in all directions, and by the 6th century, when they were known to Gothic and Byzantine writers as **Slaveni**, they were apparently already separated into three main divisions: (1) the western Slavs (the present-day Poles, Czechs, Slovaks, and Moravians); (2) the southern Slavs (the Bulgarians, Serbs, Croats, and Slovenes); (3) the eastern Slavs (the Russians, subsequently subdivided into the Great Russians, the Little Russians or the Ukrainians, and the Belorussians, Russian for “White Russians”). <sup>1</sup>

The Slavs emerged as a distinct people after mingling with the Goths and Huns. Those not affected by the invasions of the Goths and Huns constituted another branch of Indo-European people, namely the **Balts** (Lithuanians, Latvians, and the early Prussians). These peoples inhabited the southeastern coast of the Baltic Sea, between the present Klaipėda (Memel) and Estonia. <sup>2</sup>

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## b. [Bohemia and Moravia](#)

### c. 623–58

The earliest recorded attempt at the construction of a Slavic kingdom was that made by **Samo**, who appears to have been a Frankish tradesman traveling in central Europe. Probably taking advantage of the defeat of the Avars by the Greeks in 626, he managed to unite the Czechs and some of the Wends, and succeeded in repulsing not only the Avars, but also the Franks under King Dagobert (631). But on the death of Samo, the union of the tribes disintegrated. 1

### 833–36

**Mojmir**, founder of the Moravian state, maintained himself against pressure from the East Franks. 2

### 846–69

**Rastislav**, prince of Moravia, made an alliance (862) with **Michael III**, the Byzantine emperor, to counteract the close relationship between the East Franks and the Bulgarians. 3

### 863

**Conversion of the Moravians by Cyril** (Constantine, 826–69) and **Methodius** (815–85), two monks from Salonika (Thessalonica) sent at Rastislav's request (See [863–85](#)). Beginning of Slavic church language and liturgy. **Glagolitic alphabet**. 4

## 869

Rastislav captured and blinded by Carloman.

5

## 870–94

**Sviatopluk**, a Moravian prince, succeeded in uniting under his authority Moravia, Bohemia, and present-day Slovakia, and managed to maintain his position as against the Germans. During his reign, the western Slavs were converted to Christianity by Cyril and Methodius, but in the last years of the century, the German clergy redoubled its efforts and won Bohemia and Moravia for the Latin Church, thus establishing the ecclesiastical dependence of the western Slavs on Rome.

6

## 906

The **kingdom of Moravia** was dissolved as the result of a great defeat by the Hungarians.

7

## c. 907–29

**St. Wenceslaus** (in Czech, Vaclav), duke of the Premysl house from c. 922. Educated by his grandmother, **St. Ludmilla**, a devout Christian. He worked for the cultural improvement of his people, and seeking broader Christian contacts, maintained friendly relations with the German king Henry I (the Fowler) (See [919–36](#)). This policy, combined with a pagan reaction against a determined Christian king, led to Wenceslaus's murder by his brother Boleslav I. Prague soon became the center of a Wenceslaus cult; by 1100 he was recognized as Bohemia's patron saint, and his crown has served as the symbol of Czech independence.

8

## 929–67

**BOLESLAV I**. He seems to have carried on constant warfare against the encroaching Germans, until forced (950) to accept German suzerainty. To the east he conquered Moravia, part of Slovakia, part of Silesia, and even Kraków. Furthermore, he appears to have established a fairly strong royal power over the old tribal chiefs.

9

## 967–99

**BOLESLAV II.** He apparently continued the policies of his father and saw to the final victory of the Christian faith (foundation of the bishopric of Prague, 973). Missionaries from Bohemia took an active part in the conversion of Hungary and Poland. 10

The entire 11th and 12th centuries were filled with chronic dynastic conflicts between members of the Premysl family and the various claimants appealing to Poland and more particularly to the German emperors for support. The result was the gradual integration of Bohemia with Germany, and the extension of feudalism to the Czech lands. 11

## 999–1000

**Boleslav the Brave** of Poland took advantage of the anarchy in Bohemia to conquer Silesia, Moravia, and Kraków. In 1003 he became duke of Bohemia, but he was driven out in the next year by a German army. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### c. [Poland](#)

The Polish kingdom emerged in the 10th century, the result of the unification of some six tribes under the **Polani**, who were ruled by the members of the semimythical **family of Piast**. From the outset the Poles were obliged to fight against the encroachment of the Germans from the west, the Prussians from the north, the Bohemians from the south, and the Hungarians, also from the south. <sup>1</sup>

#### c. 960–92

**MIESZKO I**, of the house of Piast, the first ruler for whom written evidence survives. He conquered the territory between the Oder and the Warthe Rivers, but was defeated by Markgraf Gero and obliged to recognize German suzerainty (973). <sup>2</sup>

#### 966

Mieszko was converted to Christianity by Bohemian missionaries, probably for political reasons, to deprive the Germans of any further excuse for aggression. The acceptance of Latin Christianity meant the connection of Poland, like Bohemia and Hungary, with Roman-European culture. <sup>3</sup>

#### 992–1025

**BOLESLAV I** (Chrobry, the Brave). He ascended the throne at 25 and was the real organizer of the Polish state. An energetic but at times treacherous and cruel ruler, he built up an efficient military machine, laid the basis for an administrative system (*comitescastellaniBurggrafen*, with civil and military powers), organized the Church (establishment of Benedictine monasteries). Politically his aim appears to have been the <sup>4</sup>

union of all western Slavs under his rule. He conquered eastern Pomerania and gained access to the Baltic (992–94), added Silesia, Moravia, and Kraków to his domain (999), and induced Otto III to erect an independent archbishopric of Gnesen (1000). On the death of Otto, he took advantage of the confusion in Germany to occupy Lusatia and Meissen, and in 1003 made himself duke of Bohemia. The new emperor, Henry II, carried on long wars against Boleslav and ultimately forced the abandonment of Bohemia and Lusatia (1005). But in the **Treaty of Bautzen** (1018), Boleslav was given Lusatia as an imperial fief, and just before his death he was able to make himself king of Poland (1025).

## 1025–34

**MIESZKO II**, whose reign marked the culmination of feudal separatism. The Poles, like the other Slavs, divided their domain among the various sons of a deceased king, thus creating endless dynastic conflict and ample opportunity for intervention by neighboring rulers. During Mieszko's reign, most of the territorial gains of Boleslav were lost: St. Stephen of Hungary conquered Slovakia (1027); B[!]<sup>o</sup>etislav of Bohemia took Moravia (1031); Yaroslav of Russia acquired Ruthenia (1031); Canute of Denmark took Pomerania (1031). In 1032 the Emperor Conrad actually divided Poland between Mieszko and two of his relatives.

5

## 1034–40

A period of violent dynastic struggle and general insurrection, including a pagan reaction (burning of monasteries, massacre of the clergy) and a peasant uprising against the landlords. Meanwhile B[!]<sup>o</sup>etislav of Bohemia seized Silesia (1038).

6

## 1038–58

**CASIMIR I** (the Restorer), who succeeded, with the aid of the Emperor Henry III, in reconquering his domain, reestablishing Christianity, and restoring order. Silesia was recovered (1054). In return Casimir was obliged to give up the royal title (becoming merely a **grand duke**) and to make numerous concessions to the nobility and clergy, thus initiating a baneful practice.

7

## 1058–79

**BOLESLAV II** (the Bold), one of the great medieval Polish rulers. In the great struggle between the emperor and the pope, he consistently supported the latter, as a counterweight to German influence. At the same time, he did his utmost to throw off the pressure of the nobility. In his countless campaigns, he reconquered upper Slovakia (1061–63) and marched as far as Kiev to put his relative on the Russian throne (1069). In 1076 he reassumed the royal crown, with the pope's approval. But his entire policy estranged the nobility, which ultimately drove him from his throne.

8

### 1079–1102

**Vladislav I** (Ladislav), an indolent and unwarlike ruler, brother of Boleslav. He resigned the royal title and attempted to secure peace by supporting the Emperor Henry IV, as well as by courting the nobility and clergy.

9

### 1102–38

**BOLESLAV III** (Wry-mouth), who acquired the throne after a violent struggle with his brother Zbigniew. He was one of the greatest Polish kings; he defeated the Pomeranians (**battle of Naklo**, 1109) and, by the incorporation of Pomerania (1119–23), reestablished access to the sea. At the same time, he defeated the Emperor Henry V (1109, **battle of Hunsfeld**, near Breslau, now Wrocław) and checked the German advance, but his campaigns in Hungary (1132–35) had no permanent results.

10

Boleslav completed the organization of the state, in which the great landlords (*nobiles*, or magnates) and gentry (*milites*, knights, or *szlachta*) had become well-defined social classes, the peasantry having steadily lost ground in the periods of confusion. The Church was reorganized under the archbishop of Gnesen, by the papal legate Walo. To avoid dispute, Boleslav fixed the royal succession by seniority. Poland was divided into **five principalities** (Silesia, Great Poland, Masovia, Sandomir, Kraków) for his sons; Kraków was established as the capital, and was to go, with the title of grand duke, to the eldest member of the house of Piast. In actual fact, this arrangement by no means eliminated the dynastic competition but introduced a long period of disruption, during which the nobility and clergy waxed ever more powerful and the ducal or royal power became insignificant. Only the weakness of the neighboring states saved Poland from destruction.

11

### 1146–73

**Boleslav IV**, an ineffectual ruler, during whose reign the Germans, under Albert the Bear and Henry the Lion, supported by Waldemar of Denmark, drove back the Poles from the entire territory along the Baltic and west of the Vistula (1147). Emperor Frederick Barbarossa intervened and forced the submission of Boleslav (1157).

12

## 1173–77

**Mieszko III**, a brutal and despotic prince who antagonized the nobility and was soon driven out by them.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### d. [Kievan Russia](#)



##### [GRAND PRINCES OF KIEV \(862-1212\)](#)

The **eastern Slavs** settled on the territory of present-day European Russia from the 5th to the 8th century A.D. In the 8th century some of the eastern Slavs were under the protectorate of the **Khazars**, an Altaic people who established a strong and prosperous state along the lower Volga. After the end of the 8th century, the northern part of Russia began to be penetrated by the Scandinavian Vikings, called in the old Russian chronicles **Varangians** or **Rus** (hence the name of **Russia**). In the course of the 9th century, the Varangians constantly moved southward along the main waterway leading from the Baltic to the Black Sea, gradually establishing domination over the Slav communities. According to tradition, the Scandinavian chieftain **Rurik** ruled in Novgorod in the 860s. Later he was recognized as the founder of the Russian princely dynasty. <sup>1</sup>

#### 860

The first recorded appearance of the Russians (Varangians) at Constantinople. This was a raid not unlike those of the Norsemen on Britain and France in the same period. <sup>2</sup>

#### 879–912

**Prince Oleg**, who transferred his residence to Kiev on the Dnieper River. Kiev remained the capital of **Kievan Russia**, a loose federation of territories, until 1169. Oleg also united the eastern Slavs, freed them from Khazar control, and signed a commercial treaty with the Byzantine Empire. <sup>3</sup>

## 907

The Russians again appeared at Constantinople and extracted trade privileges from the Byzantine emperor. Trade became a leading occupation of the Russian princes, who, with their followers (*druzhina*), protected the merchant ships. On the other hand, private property appears to have been less developed among the eastern Slavs than in the West.

4

## 945

Further trade agreements with the Greek Empire testify to ever closer economic connections and no doubt to an increasing cultural contact.

5

## 957

The Russian princess **Olga** visited Constantinople and was converted to the Christian faith. This was, however, a personal conversion and may in fact have been Olga's second.

6

## 964–72

**SVIATOSLAV**, the son of Olga. He was the first of the great conquering princes. In 965 he defeated the Khazars on the lower Volga and proceeded to establish a Russian state in place of the Khazar Empire. Called to the Balkans to aid the Greek emperor against the powerful Bulgars, he carried on a successful campaign (967) and decided to establish himself on the lower Danube. At this time his power extended from Novgorod in the north to the Danube in the southwest and to the lower Volga in the southeast. He was forced to abandon Bulgaria in order to resist the **Patzinaks** (Pechenegs), who had entered southern Russia from the east and were threatening Kiev. Having repulsed them (968), Sviatoslav returned to Bulgaria, but he was no more welcome to the Greeks than were the Bulgars. In 971 he was defeated and driven out by the Emperor John Tzimiscēs (See [969–72](#)). Sviatoslav was defeated and killed by the Patzinaks on his way back to Kiev (972).

7

## 972–80

With Sviatoslav's death began a dynastic struggle between his sons.

8

### 980–1015

The battle ended with the victory of **Vladimir the Saint**, in whose reign (c. 990) the Russians were converted en masse to Christianity in the Orthodox (Byzantine) form. The Russian church was organized on the Greek pattern and was considered to be under the canonical authority of the patriarch of Constantinople. From this time on, the cultural relations between Constantinople and Kiev were very close.

9

### 1015–19

Dynastic conflict between the sons of Vladimir.

10

### 1019–54

**YAROSLAV** (the Wise), the greatest ruler of Russia in the Kievan period. He was successful in the struggle with his brother Sviatopolk, but was obliged to leave to another brother, Mstislav, that part of the principality that lay east of the Dnieper River, until Mstislav's death in 1036. Yaroslav was then supreme ruler of all Russia. Extensive building activity at Kiev (Cathedral of St. Sophia). Religious activity (Metropolitan Hilarion and the Monastery of the Caves). Promotion of education. Revision of the **Russian Law** (the earliest known Russian law code), under Byzantine influence. Dynastic alliances with western states (Yaroslav's daughter, Anna, married Henry I of France).

11

The period following the death of Yaroslav the Great was one of disintegration and decline. Technically the primacy of Kiev continued and the power remained concentrated in the family of Yaroslav. Actually, however, Kiev continued to decline in importance, and authority came to be divided between members of the princely family according to a system of seniority and rotation, which led of necessity to much dynastic rivalry and countless combinations, sometimes with Poles and Hungarians.

12

At the same time the Kievan state was subjected to ever greater pressure from the nomads (Patzinaks and Cumans) moving into southern Russia from the east. The period also witnessed a shifting of the older trade routes, due to the decline of the Baghdad Caliphate and the conquest of Constantinople (1204) by the Latin crusaders.

13

**Emergence of new political centers:** Galicia and Volynia in the southwest, principalities characterized by a strongly aristocratic form of government; Novgorod the Great, in the north, controlling territory to the east to the Urals. In Novgorod the assembly of freemen (**Vieche**) reached its fullest development; Suzdal-Vladimir in central Russia, the precursor of the grand duchy of Moscow. In this region the princely power was dominant, and private property was the least developed.

14

## 1113–25

**VLADIMIR MONOMAKH**, prince of Kiev. His reign marked the last period of brilliance at Kiev.

15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## e. [Hungary](#)



### [THE ARPAD DYNASTY OF HUNGARY \(907-1301\) AND THE PREMYSLID KINGS OF BOHEMIA \(1198-1378\)](#)

#### 896

The Hungarians, or Magyars, organized in a number of tribes, occupied the valley of the middle Danube and Theiss (Tisza). Under **Arpad** (d. 907) they had come from southern Russia by way of Moldova, driven on by the Patzinaks (Pechenegs) and other Asian peoples. The Hungarians were themselves nomads of the Finno-Ugrian family. For more than half a century after their occupation of Hungary, they continued their raids, both toward the east and toward the west. <sup>1</sup>

#### 906

The Hungarians destroyed the rising Slavic kingdom of Moravia. <sup>2</sup>

#### 955

**Battle of Lechfeld** (See [955](#)), in which Emperor Otto I decisively defeated the raiding Hungarians. From this time on, the Hungarians began to settle down and establish a frontier. <sup>3</sup>

## 972–97

**Geza**, the organizer of the princely power. He began to reduce the tribal leaders and invited Christian missionaries from Germany (Pilgrin of Passau, 974; **St. Adalbert of Prague**, 993). Christianization had already begun from the east, and was furthered by large numbers of war prisoners.

4

## 997–1038

**St. Stephen** (I), greatest ruler of the Arpad dynasty. He suppressed eastern Christianity by force and crusaded against paganism, which was still favored by the tribal chiefs. Stephen allied with the west, married a Bavarian princess, called in Roman churchmen and monks, and endowed them with huge tracts of land. With the help of the clergy, he broke the power of the tribal chieftains, took over their land as royal domain, administered through counts (*főispán*) placed over counties (*vármegyék*). The counts and high churchmen formed a royal council. Every encouragement was given to agriculture and trade, and a methodical system of frontier defense was built up (large belt of swamps and forests, wholly uninhabited and protected by regular frontier guards; as time went on this frontier was gradually extended).

5

## 1001

**Stephen was crowned** with a crown sent by the pope. He was canonized in 1083.

6

## 1002

Stephen defeated an anti-Christian insurrection in Transylvania.

7

## 1030

Attacks of the Germans under Conrad II.

8

## 1038–77

A period of dynastic struggles over the succession, every member of the Arpad family claiming a share of the power and sometimes calling in the Germans for support. 9

## 1038–46

**Peter Urseolo**, son of Stephen's sister and the doge of Venice, succeeded to the throne. 10

## 1046

Peter was overthrown in the course of a great **pagan rising** of the tribal chiefs, who massacred the Christians and destroyed the churches. This was the last serious revolt. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [Serbia](#)

### 650

Approximate date of the completion of the Slav occupation of the Balkan area. Part of the Slav people extended as far west as Carniola and Carinthia, but these (the Slovenes) were conquered by the Franks in the early 9th century and were thenceforth part of the German Empire. 1

### 818

The **Croats**, who had also been conquered by the Franks, revolted but were again subdued. 2

### 924

**Tomislav** became king of Croatia, accepting his crown from the pope. He ruled over latter-day Croatia and over the territory as far south as Montenegro, though the coastal towns were mostly under Byzantine control. 3

### 960

**Death of Cheslav**, who had made the first effort to unite the Serbs. The Serbs, inhabiting a mountainous area, were divided into tribes and clans, under headmen or *zupans*. The grand zupan held an honorary preeminence. Technically the territory was under Byzantine suzerainty, which, when the Eastern Empire was strong, was effectively exercised. By the end of the 10th century the inhabitants of present Serbia and eastern Bosnia had for the most part accepted Eastern Christianity, while western Bosnia and Croatia leaned toward Roman Catholicism. However, both socially and culturally, the 4

Serbs seemed to be one of the most westernized Eastern Orthodox peoples.

### 1077

**Mikhail of Serbia** was crowned by a papal legate.

5

### 1081–1101

**Bodin** established a Serbian state in Zeta (i.e., Montenegro).

6

### 1102

**Croatia** was joined with Hungary in a dynastic union, after the defeat of the last ruler, Petar, by King Ladislas. This involved the definitive victory of the western orientation in Croatia and separation from the other southern Slavs.

7

### 1168–96

**STEPHEN NEMANYA**, founder of the Nemanjid dynasty in the Raska (i.e., Rascia, or Serbia proper). Though only grand zupan, Stephen appears to have made considerable progress in uniting the various clans. He definitely adopted the Eastern Orthodox faith and persecuted the **Bogomils**, who were forced across the frontier into Bosnia, which at that time was ruled by a strong prince, Kulin (d. 1204). The death of Manuel I Comnenus (1180) and the subsequent decline of the Eastern Empire gave Stephen an opportunity to establish his independence from Constantinople and to conquer extensive territories to the south. In 1196 he retired to a monastery on Mt. Athos that had been founded by his son, **St. Sava**. Stephen died in 1200.

8

### 1196–1223

**STEPHEN NEMANYA II**, the son of the preceding. The beginning of his reign was marked by a struggle with his elder brother, Vukan, to whom Montenegro had been assigned. The Hungarians, who became an ever greater menace to Serbia, supported Vukan, and Stephen was forced to flee to the Bulgarian court. He returned with an army of Cumans supplied by **Kaloyan** (see below), who appropriated for himself most of

9

eastern Serbia, including Belgrade and Nish. Stephen's brother St. Sava finally mediated between the two contestants, and Stephen became ruler of Serbia proper.

## 1217

Stephen was crowned king by a papal legate (hence Stephen the First-Crowned).

10

## 1219

St. Sava, fearful of the Roman influence, visited Nicaea and induced the Greek patriarch to recognize him as archbishop of all Serbia and as head of an autocephalous (independent) church.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1016–18](#))

### **g. [The Second Bulgarian Empire](#)**

Following the collapse of the First Bulgarian Empire in 1018, Bulgaria was, for 168 years, an integral part of the Byzantine Empire. The replacement of taxation in kind with taxation in cash, and other grievances, led to a serious revolt in 1040, led by **Peter Delyan**, a son of Gabriel Radomir, that was confined to the northwest and western parts of the former empire. Delyan had himself proclaimed tsar, but the movement suffered from his rivalry with Alusian, son of John Vladislav. In 1041 Delyan was defeated and captured by the imperial troops. Another uprising, led by **George Voitech** in 1072–73, was suppressed without much difficulty. During the Byzantine period, the country was constantly exposed to raids by the Patzinaks (1048–54), many of whom settled in northeastern Bulgaria. The **Bogomil heresy** (a dualistic sect) continued to spread, despite persecution by the government (1110 ff.).

#### **1185**

**Rising of Asen and Peter**, two Bulgarian lords from the vicinity of Tirnovo. Defeated by the Emperor Isaac II Angelus (1186), they fled to the Cumans and returned with an army. After raiding into Thrace, they accepted a truce that left them in possession of Bulgaria north of the Balkan Mountains.

#### **1189**

Asen attempted to effect an alliance with Frederick Barbarossa and the leaders of the Third Crusade, against the Greeks. This came to nothing, but the Bulgarians resumed their raids into Thrace and Macedonia. An imperial army under Isaac Angelus was completely defeated in a **battle near Berrhoe**.

## 1196

Peter succeeded to leadership of the movement after the murder of Asen by boyar (i.e., noble) conspirators. 4

## 1197

Peter himself fell a victim to his boyar rivals. 5

## 1197–1207

**KALOJAN**, the younger brother of Asen and Peter. He made peace with the Greeks (1201) and then engaged (1202) in campaigns against the Serbs (taking of Nish) and the Hungarians, whom he drove back over the Danube. 6

## 1204

The **collapse of the Byzantine Empire** gave Kalojan an excellent opportunity to reaffirm his dominion. By recognizing the primacy of the pope, he succeeded in securing the appointment of a primate for Bulgaria and in getting himself crowned king by the papal legate. At the same time, he took over the whole of western Macedonia. 7

## 1205

Supported by the Cumans and the local Greeks, Kalojan completely defeated the Frankish crusaders near Adrianople and captured the Emperor Baldwin I. 8

## 1207

Kalojan was murdered while besieging Salonika (Thessalonica). 9

## 1207–18



**Boril**, the nephew of Kalojan. By this time the Bulgars had adopted the Byzantine social structures, including the **appanage system**: the tsar was considered supreme owner of the state, the land, and even the official and Church language; only members of the tsar's family had the privilege of possessing large estates as **appanage**, where the same system of ownership was reproduced on a local level. Hence, unlike in the West, separatism did not lead to the emergence of self-governing cities, but resulted only in an overall weakening of the state. Boril's position was not recognized by most of the other members of Asens family, some of whom attempted to set up independent principalities. 10

## 1208

Boril was completely defeated by the Franks and ultimately (1213) was obliged to make peace. 11

## 1217

**Ivan (John) Asen**, son of Asen, supported by Galicia, began a revolt in northern Bulgaria. He besieged and took Tirnovo. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1020](#))

## 5. [Christian States in the Eastern Mediterranean, 1000–1300](#)

### a. [The Byzantine Empire](#)



#### [THE COMNENI AND ANGELI \(1057-1204\)](#)

*For a complete list of the [Byzantine emperors](#), see [Appendix II](#).*

1

The period of the later Macedonian emperors (to 1055) and the succeeding century was marked by barbarian invasions in the Balkans, advances of the Normans on the remaining Byzantine possessions in Italy, pressure from the Seljuk Turks on the eastern frontier, popular hostility to mercantile privileges granted to Pisan and Venetian businessmen, and political disputes between the clerical bureaucratic nobility in the capital and the military baronage in the countryside.

2

#### 1025–28

**CONSTANTINE VIII**, the younger brother of Basil II.

3

#### 1027

The **Patzinaks**, who had invaded the Balkans, were finally driven back over the Danube by General Constantine Diogenes.

4

#### 1028–50

**ZOË**, empress. She was the third daughter of Constantine and, though 48 years old at her accession, married three times, associating her husbands: Romanos, Michael, and Constantine IX *seriatum* in the imperial office. 5

### 1028–34

**ROMANUS III** (Argyropolus), an official 60 years old, first husband of Zoë. He made great efforts to gain popularity by catering to the populace, the nobility, and especially the Church. The patriarchate was permitted to persecute the Monophysites of Syria, thousands of whom fled to Muslim territory. The hatred engendered by this policy helps to explain the Seljuk advance in subsequent years. 6

### 1030

Romanus suffered a severe defeat in a campaign against the Muslim emirs who attacked Syria. 7

### 1031

The situation was saved by the victories of **Georgios Maniakes**, greatest imperial general of the period. 8

### 1032

A combined Byzantine-Ragusan fleet defeated the Saracen pirates in the Adriatic. 9

### 1034–41

**MICHAEL IV** (the Paphlagonian), second husband of Zoë. He was a man of lowly origin who promptly established his brothers (mostly men of energy and ability) in high office. 10

## 1034–35

The Byzantine fleets, manned by the Norseman Harald Haardraade and Scandinavian mercenaries, repeatedly defeated the Saracen pirates off the Anatolian coast and ravaged the coasts of North Africa. 11

## 1038

Maniakes and Haardraade, with Scandinavian and Italian mercenaries and with the support of the Byzantine fleets, stormed Messina and defeated the Sicilian Saracens, first at **Rametta** (1038), then at **Dragina** (1040). 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [The Crusades](#)



### [KINGS OF JERUSALEM \(1099-1489\)](#)

**Definition.** In the 11th and 12th centuries, the Crusades were military expeditions sponsored by the papacy, charged with recovering Christian holy places in the Middle East from the Muslim Arabs and Seljuk Turks (See [1079–95](#)). In the 13th century, crusading impulses were often directed against groups within Europe perceived as being social or political enemies, such as the Albigensian heretics (See [1208–13](#)). By the 15th and 16th centuries, crusading had become an old European tradition. Thus explorers and adventurers, such as Christopher Columbus and Hernán Cortés (See [1451, between Aug. 26 and Oct. 31](#)) (See [1518–19](#)), in South and North America, Africa, and Asia, explained their goals in religious and crusading terms—they were for the conversion of the Muslims, Indians, or Asian and African peoples.

The **origins** of the medieval Crusades lie in the Christian tradition of penitential **pilgrimages** to the sites of Jesus' life and death in Palestine, dating to that of Helena, Constantine's mother (4th century); the long tradition of Christian wars of **reconquest** against the Muslims in Spain beginning in the 8th century and encouraged by the popes Alexander II and Gregory VII in the 11th century; the hostilities created by Muslim attacks on southern Europe in the 9th and 10th centuries. In 1071, Turkish soldiers, financed by Muslims, defeated a Greek army at **Manzikert** in Armenia; in 1076 the Turks captured Jerusalem, although they subsequently showed no special animosity against Christians. The Byzantine emperor appealed to the West at the Synod of Piacenza (March 1095) for help against Muslim-Turkish expansion.

**1095, Nov**

**Council of Clermont.** Pope Urban, a Cluniac and a Frenchman, speaking to Frenchmen, recited the glorious deeds of the French and tales of Muslim atrocities, made open allusions to the chances for profit and advancement, attacked feudal violence at home, and brought the audience to a state of wild enthusiasm; he himself distributed crosses. Urban's propaganda journeys and the preaching of **Peter the Hermit** and others stirred the West, but had the greatest effect in France and Lorraine, the area most under Cluniac influence. The great rulers were all at odds with the papacy or busy at home; the rest of Europe was indifferent. The Crusades began as they continued, largely under French auspices. 3

The **motives** that inspired Europeans to embark on the Crusades varied with the time, the place, and the individual, but on the first expeditions, to the religious goal of the recapture of the holy places and their restoration to Christian jurisdiction, the reunion of the Greek and Roman churches, and the spiritual advantages of the popes' crusading indulgence, the following secular or material objects should be added. **Political:** to acquire land, fiefs, power in the Middle East; for a ruler, to rid his country or territory of troublesome and rebellious knights. **Social:** to seek adventure, excitement, the novelty of travel in an exotic world; to gain the respect, prestige, and status that Crusaders earned. **Economic:** to gain the loot and booty taken by victorious armies; for European townspeople and bankers, the opportunity to profit from the sale of armor, equipment, horseshoes, fodder; for innkeepers along the crusading routes and prostitutes who accompanied or followed crusading armies, business and profit. 4

## 1096–99

**The First Crusade.** Best recorded and most successful of the Crusades. Five popular, aimless mass migrations (1096) that emptied whole villages; two (perhaps 7000 under Peter the Hermit and perhaps 5000 under Walter the Penniless) reached Asia Minor and were annihilated. The Norman-French baronage flocked to the Cross and converged in three divisions on Constantinople: the Lorrainers under **Godfrey of Bouillon** and his brother Baldwin, via Hungary; the Provençals under **Count Raymond of Toulouse** and the papal legate, Adhemar of Puy, via Illyria; the Normans under **Bohemund of Otranto** (the most effective leader) via Durazzo by sea and land. Perhaps they were 30,000 in all. 5

The **Muslim opposition:** the Seljuks had merely garrisoned Syria and were not popular with the native population. Muslim unity in Asia Minor ended with the death of Malik Shah (1092), and Syria was divided politically, racially, and theologically (Sunni(s) versus Shi'ite; the Fatimid capture of Jerusalem (1098) from the Sunnis). 6

## 1096, Spring

Violent crusader assaults on Jewish communities led to terrible massacres in Speyer, Mainz, Cologne, and other Rhineland cities.

7

## 1097

**Nicaea** (Iznik) (See [1097–98](#)), the Seljuk capital in Asia Minor, taken by the combined Greek and crusading force; defeat of the Muslim field army at Dorylaeum; excursion of Baldwin and Tancred, and rivalry in Cilicia; Bohemund established himself in the Antioch area. Siege and capture (by treachery) of Antioch (1097–98); countersiege of the Christians in Antioch by the emir of Mosul; election of Bohemund as leader. Baldwin's conquest of Edessa (1097); Christian divisions: rivalry of Norman and Provençal.

8

## 1099

**March to Jerusalem** (Genoese convoy and food supply); siege, capture, and horrors of the sack. The death of the papal legate left the organization of the government of Jerusalem to feudal laymen. **Godfrey of Bouillon**, elected king, assumed the title of Defender of the Holy Sepulcher (for pious reasons). The main body of the Crusaders soon streamed back home. The Norman effort to dominate the government through their patriarch Dagobert led to his deposition by the anti-Norman party, and Jerusalem became a feudal kingdom. The government (as revealed by the *Assizes of Jerusalem*, the most complete feudal code extant) was narrowly feudal, with the king a feudal suzerain, not a sovereign, the tenants-in-chief dominant. Besides the feudal organization there were burgher and ecclesiastical organizations, with their own courts.

9

Continued divisions among the Muslims and the weakness of the Greeks favored the progress of the Latin states: the **kingdom of Jerusalem**, in close commercial alliance with the Italian towns (Genoa, Pisa, and, later, Venice), profited by the commerce through its ports and extended south to tap the Red Sea trade. The other states: the **county of Edessa** (established by Baldwin), the **principality of Antioch** (established by Bohemund), and the **county of Tripoli** (set up by Raymond of Toulouse) were fiefs of Jerusalem (divided into four great baronies and into lesser fiefs).

10

Muslim unification in Syria was completed by the Atabegs of Mosul and signaled by the capture of Edessa (1144). Mosul soon mastered Egypt; Saladin emerged supreme in Egypt (1171), quickly reduced Damascus and Aleppo, and brought Syria and Egypt under a single efficient rule.

11

## 1147–49

**The Second Crusade.** **Bernard of Clairvaux**, persuaded by Pope Eugenius III, preached (1145) the Second Crusade. Conrad III and King Louis VII of France took the Cross. To avoid conflicts, the two monarchs went by separate routes; there never was coherent direction or unity of command. The Norman Roger of Sicily took advantage of the Second Crusade to seize the Greek islands and to attack Athens, Thebes, and Corinth. Nothing of importance was achieved by the Second Crusade, and the movement was discredited throughout Europe.

12

## 1184

Saladin's steady advance led to a great appeal to the West; King Philip II of France and Henry II of England declined the crown of Jerusalem but levied a **Saladin tithe** (1188) to finance a Crusade. Christian attack on a caravan (said to be escorting Saladin's sister) provoked Saladin's holy war (1187–89): **capture of Jerusalem** (1187) without a sack and reduction of the Latin states to the cities of Antioch, Tyre, Tripoli, and a small area around each. Crusader control of Jerusalem, without heavy European support, was doomed from the start.

13

## 1189–92

**The Third Crusade.** Precipitated by the fall of Jerusalem, the Third Crusade was a completely lay and royal affair, despite the efforts of the papacy to regain control. It was supported partly by the Saladin tithe, and was led by the three greatest monarchs of the day: (1) **Frederick Barbarossa** (a veteran of the Second Crusade) as emperor, the traditional and theoretical military leader of Christendom, headed a well-organized and disciplined German contingent starting from Regensburg (1189) that marched via Hungary, entered Asia Minor, and disintegrated after Frederick was drowned (1190); (2) **King Richard I of England**; and (3) **King Philip II of France**, who went by sea. Already political rivals, they quarreled in winter quarters in Sicily (1190–91); Richard turned aside in the spring and took Cyprus, which he sold to Guy de Lusignan. The quarrels of Philip and Richard continued in the Holy Land, and Philip returned to France after the capture of Acre (1191). Richard's negotiations with Saladin (Richard proposed a marriage of his sister Joan to Saladin's brother, who was to be invested with Jerusalem) resulted (1192) in a three-year truce allowing the Christians a coastal strip between Jaffa

14



and Acre and access to Jerusalem. Captivity of Richard (1192–94) and heavy ransom to the Emperor Henry VI. The Third Crusade ended the golden age of the Crusades.

### 1199, Aug. 15

Pope Innocent III (See [1198–1216](#)), determined to regain papal direction of the Crusades <sup>15</sup> and to reunite the Greek and Latin churches, proclaimed a new crusade, the **FOURTH CRUSADE** (1202–4).

### 1201, Lent

Crusade envoys, including Geoffroy de Villehardouin (major chronicler of the events) <sup>16</sup> and **Doge Enrico Dandolo**, reached agreement in the **Treaty of Venice**: Venice was to transport 33,500 men and 4,500 horses, in return for payment of 85,000 marks. The fleet was to sail June 29, 1202, for Egypt, thought to be a strategically better site for recovery of Holy Land.

### June

Assembly of Crusaders at Soissons elected **Boniface of Montferrat**, a famous soldier <sup>17</sup> from a distinguished Lombard family, to lead the crusade.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [April 12](#))

### c. [Latin and Greek States in the Middle East](#)



#### [LATIN EMPERORS OF CONSTANTINOPLE \(1204-1373\)](#)

**Division of the Eastern Empire** after the fall of Constantinople: A council, composed equally of Crusaders and Venetians, decided to award the imperial crown to **Count Baldwin of Flanders**, while a Venetian (Pier Morosini) was made patriarch of Constantinople. **Boniface of Montferrat** was made king of Salonika (Thessalonica) and the remaining parts of the empire were assigned to various barons as vassals of the emperor. In Anatolia the Crusaders were never able to establish themselves except in a part of Bithynia near the Bosphorus. In Europe they were constantly exposed to the attacks of the Bulgarians. The kingdom of Thessalonica at first extended over part of Thrace, Macedonia, and Thessaly, but to the west the Greek **Michael Angelus Comnenus** set himself up as despot of Epirus and soon began to expand his dominion eastward. Attica and the Peloponnesus were conquered by crusading barons in a short time, and these territories were organized on a feudal basis as the **lordship of Athens** (Otto de la Roche, 1205–25; Guy I, 1225–63; John I, 1263–80), and the **principality of Achaea** (conquered by Guillaume de Champlitte and Geoffroy de Villehardouin in 1205). Achaea was in turn divided into 12 feudal baronies, an example of the French feudal pattern. Under the Villehardouin family (Geoffroy I, 1209–18; Geoffroy II, 1218–46; Guillaume, 1246–78) it was well governed and popular with the Greco-Slavic population, which was considerately treated.

The **Venetians** took as their share of the empire most of the islands and other important strategic or commercial posts. They kept for themselves part of Constantinople, Gallipoli, Euboea, Crete, the southwestern tip of the Peloponnesus (Coron and Modon), Durazzo, and other posts on the Epiran coast, as well as the islands of the Ionian and Aegean Seas. For the most part these possessions were granted as fiefs to the leading Venetian families (e.g., triarchies of Euboea, duchy of the Archipelago).

## 1204–5

**BALDWIN I**, Latin emperor.

3

## 1204–14

**Michael Angelus Comnenus**, despot of Epirus.

4

## 1204

**Theodore Lascaris**, son-in-law of Alexius III, with some of the Byzantine leaders, established himself in Bithynia; Alexius and David Comnenus organized a state on the north coast of Anatolia, with David at Sinope and Alexius at Trebizond, thus founding the **empire of Trebizond**, which lasted until Ottoman conquest in 1461.

5

## 1204–22

**Theodore I** (Lascaris) became founder of the Nicaean Empire. In 1204 he made an alliance with the (Turkish) sultan of Rum to resist the advance of the Crusaders into Anatolia, but was defeated by the latter under Peter of Bracheuil.

6

## 1205

The **Bulgars**, under Kaloyan, defeated Emperor Baldwin and Doge Dandolo in a **battle near Adrianople**. Baldwin was captured and died in captivity. The Bulgars then overran much of Thrace and Macedonia, exterminating a large part of the Greek population.

7

## 1205–16

**HENRY I**, Latin emperor, the brother of Baldwin, and the ablest of the Latin emperors.

8

## 1207

Kaloyan and the Bulgarians besieged Thessalonica, but in vain. Kaloyan died suddenly, probably murdered. <sup>9</sup>

## 1207

Theodore Lascaris, allied with the Seljuks of Rum, defeated David Comnenus and drove him back to Sinope. Theodore then concluded a truce with Emperor Henry, in order to oppose the advance of Alexius of Trebizond, who was now allied with the Seljuks. <sup>10</sup>

## 1209

Theodore repulsed a second attempt by Peter of Bracheuil and the Crusaders to conquer Bithynia. <sup>11</sup>

## 1211

Theodore Lascaris defeated Alexius of Trebizond and the sultan of Rum, both of whom were captured. As a result, a large part of the Anatolian coast was added to the Empire of Nicaea. <sup>12</sup>

## 1212

Henry I defeated Theodore at Luparcos and began the invasion of Anatolia. Theodore made peace, abandoning to the Latin Empire part of Mysia and Bithynia. <sup>13</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1305](#)) (See [1245–79](#))

## 6. [Western Europe, 1300–1500](#)

### a. [Overview](#)

The period began with significant **ecological changes**: the end of the optimal hydrological and thermal conditions that had produced large harvests between c. 1000 and 1250. Bad weather led to poor harvests, while sheep murrain (disease) in England reduced the size of flocks and the volume of wool exported, severely hurting Flemish and Italian weavers. The result was **general agricultural and commercial weakness**, economic distress for which weak and **incompetent governments** had no solution. 1

**Social consequences**: Poor harvests and famine led to great increase in number of vagabonds or homeless people; the abandonment of entire villages (as in parts of the Low Countries and on the Scottish-English border); great increase in the mortgaging, subleasing, and the sale of land, which in turn contributed to a volatile land market; postponement of marriage and the reduction of population; blame thrown on creditors, the rich, and the Jews, which led to attacks and pogroms. Government remedies: the French and English crowns set price controls and forbade the export of grain. Grain exported from Castile and the Baltic seized by pirates and sold on the black market. 2

A weak, undernourished, and overcrowded population proved ill prepared for the **bubonic plague** (Black Death) that swept Europe periodically (1347–1450), causing psychological pessimism, spiritual malaise, and **huge population loss** (see below). The disease may have adjusted population to food supply; it also produced a temporary labor shortage and inflation. High death tolls from the plague broke continuity in record keeping and prevented landlords from proving servile status; those factors plus the widespread destruction of records during **peasant uprisings**, and the purchases of freedom and the continued flight from rural to urban communities accelerated the **decline of serfdom**, which had begun in the 13th century. 3

The Christian Church, centered first at Avignon, not Rome, and then divided by **schism**, provided little spiritual consolation and few strong moral examples; **papal prestige** 4

**declined.** The series of conflicts known as the **Hundred Years' War** (1337–1453), in which England and France became deadlocked, involved the **Burgundian struggle** for control of the French crown, **aristocratic resurgence**, **civil war**, peasant and urban revolts in both countries. The long wars promoted the development of **national consciousness**, as reflected in the growth of **vernacular languages**.

Meanwhile, the steady accumulation of wealth in the Italian cities made possible a great cultural efflorescence, which the 16th-century art historian Vasari (1511–74) first labeled **the Renaissance** (It., *renascita*). In the 15th century this movement spread to France, England, Germany, and Spain. 5

Estimates of population decline c. 1300–1500:

Italy fell from 10 million to 7.5 million

British Isles fell from 5 million to 3 million

France fell from 17.5 million to 12.5 million

Iberia fell from 9 million to 7 million

Germany and Scandinavia fell from 11.5 million to 7 million.

**Fourteenth-century records**, the earliest available for structural study of **marriage and the family** in medieval Europe, indicate that the **nuclear family** (father, mother, and their children) was becoming an increasingly common pattern in all parts of western Europe, as opposed to extended-family arrangements. The average age at first marriage was 16 for women, 26 for men. Because of the relatively late marriage age for men, and in an attempt to reduce the potential for male violence, municipal authorities in many sizable towns (e.g., Toulouse, Montpellier, Paris, Venice, Florence, Rome, Hamburg, London, Sandwich) established brothels for the regulation of **female prostitution**. These cities had large numbers of unmarried young men and transient merchants, and a culture resting on a cash exchange. Medieval prostitution was an urban phenomenon and a social issue. (Research on male prostitution continues.) (See [The Byzantine Empire](#)) 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1305](#))

## **b. The British Isles**

### **1. England**



#### **THE HOUSES OF LANCASTER AND YORK (1377-1485)**

#### **1307–27**

**EDWARD II.** Married to Isabelle, daughter of Philip IV of France. A weak ruler and the tool of ambitious favorites, Edward was dominated first by the Gascon Piers Gaveston (d. 1312), probably his lover. The Scottish war was continued in desultory fashion. The baronage, angered by Gaveston, followed the leadership of Edward's nephew, Thomas, duke of Lancaster, an ambitious, incompetent person. They forced Edward to accept a committee of reform, the 21 **Lords Ordainers** (1310), whose reform ordinances, suggestive of the Provisions of Oxford, were confirmed by parliament (1311). The ordinances required a baronial consent to royal appointments, to a declaration of war, and to the departure of the king from the realm, this consent to be given through parliament. Gaveston was captured and slain (1312). <sup>1</sup>

#### **1313–14**

**The Scottish War.** By 1313 only the castle of Stirling remained in the hands of the English. Edward set out (1314) to relieve the castle, but at **Bannockburn** (1314) he was overwhelmingly defeated, and Scottish independence was won. <sup>2</sup>

In Gascony the French kings began a policy of egging Edward's vassals on to resistance, a process that culminated in the French conquest of Gascony and its retention by the French with the consent (1327) of the regents who ruled after Edward's abdication. 3

### 1314–22

Supremacy of Lancaster, who offered no resistance to the Scottish raids nor to the civil disorders that broke out in England. In 1322 Edward defeated him at Boroughbridge, beheaded him, and had the ordinances of 1311 repealed at the parliament of York. 4

### 1322–26

Rule of the Despensers, father and son: Scottish truce (1323); decline of the popularity of the Despensers; alienation of Queen Isabelle. Isabelle went to France (1325), arranged the marriage of her son, the future Edward III, to Philippa of Hainault, and returned (1326) with Mortimer and foreign troops. Supported by the barons, Isabelle gained London, the Despensers were hanged, and the **parliament of Westminster** (1327), dominated by Isabelle and by Edward's enemies, forced an abdication that was tantamount to deposition. Edward was brutally murdered in prison eight months later. 5  
Burgesses and knights sat in the parliaments of 1311, 1322, and 1327. 6

### 1327–77

**EDWARD III** (age 15 at his accession). Council of regency and rule (1327–30) under Mortimer, Isabelle's paramour; Bruce's invasion of England forced the acknowledgment of Scottish independence (1328). Edward led the baronial opposition to Mortimer (hanged, 1330) and opened his personal rule (1330). 7

### 1338

Outbreak of the **Hundred Years' War**. Edward did homage (1329) for his French lands and renewed the homage (1331). French support of Scottish aggression continued, and Edward, profiting by civil war in Scotland, supported Baliol; after a series of expeditions, he avenged Bannockburn at **Halidon Hill** (1333). French intrigues to alienate Aquitaine continued. The economic interdependence, due to the wool trade, of England and the Flemish cities made an English alliance with them likely. Philip 8



continued his advance into the English lands south of the Loire (1337), and open hostilities broke out (1338). Edward ravaged northern and eastern France without a decisive battle. Urged on by the Flemings, Edward proclaimed himself king of France (in right of his mother, Isabelle), and enabled the Flanders towns under Jan van Arteveldt to support him without violating their oaths.

## 1340

The **naval victory of Sluys** transferred the mastery of the Channel from France to England (until 1372). Intermittent truces (1340–45) were followed by Edward's invasion of France. 9

## 1346, Aug. 26

Great victory at **CRÉCY**, near Ponthieu in northern France, where English longbowmen, supported by dismounted horsemen, routed the undisciplined cavalry and mercenary crossbowmen of France. This tactical innovation, the result of English experiences in Wales and Scotland, began the joint participation of the yeomanry and the aristocracy in war, and gave the English a unique military power and new social orientation. 10

## 1346

The invasion of Philip's Scottish allies was halted at **Neville's Cross**, and the king of Scotland captured. 11

## 1347

**Calais was taken** after a long siege in which artillery was used, and it remained an English military and commercial outpost in France until 1558. 12



(See [1312](#))

## c. [France](#)

### 1314–16

**LOUIS X** (the Quarrelsome). The real ruler was Louis's uncle, Charles of Valois. A reaction against the monarchy forced concessions from the king. 1

### 1316

Louis was succeeded by his posthumous son, John I, who lived only a few days. Louis's daughter by his first wife, Jeanne, was also an infant. A great national council awarded the crown to Louis's brother. 2

### 1316–22

**PHILIP V** (the Tall). There were frequent meetings of assemblies that included burghers. Philip, in an enormous number of royal ordinances, gave definitive form to the Capetian government. He left no male heir. 3

### 1322–28

**CHARLES IV** (the Fair), the last Capetian of the direct line, succeeded his brother Philip, to the exclusion of Edward III of England, grandson of Philip IV. This established the principle, later called the **Salic Law**, that the throne could pass only through males. On Charles's death, an assembly of barons declared that “no woman nor 4

her son could succeed to the monarchy.”

## 1328–50



### THE FRENCH SUCCESSION (1328)

**PHILIP VI** (nephew of Philip IV, son of Charles of Valois), the nearest male heir. Jeanne, daughter of Louis X, became queen of Navarre. Brittany, Flanders, Guienne, and Burgundy remained outside the royal sway. The papacy was under French influence; rulers of the Capetian house of Anjou were seated on the thrones of Naples, Provence, and Hungary; Dauphiné, the first important imperial fief added to French territory, was purchased (1336). The king had become less accessible; the kingdom, regarded as a possession rather than an obligation, was left to the administration of the royal bureaucracy.

5

## 1338–1453

**The Hundred Years' War.** English commercial dominance in Flanders precipitated a political crisis. The communes made the count of Flanders, Louis of Nevers, prisoner (1325–26); Philip marched to his relief, massacred the burghers on the field of Cassel (1328), and established French administration in Flanders. Edward III retorted with an embargo on wool exports from England (1336); the weavers of Ghent, under the wealthy Jan van Arteveldt, became virtual masters of the country and made a commercial treaty with England (1338). On van Arteveldt's insistence, Edward declared himself king of France; the Flemings recognized him as their sovereign, and made a political alliance with him (1340).

6

## 1338

Philip declared Edward's French fiefs forfeited and invested Guienne. Edward was made vicar of the empire, and his title as king of France was recognized by the emperor. Thus began the **Hundred Years' War**, really a series of wars with continuous common objectives: the retention of their French “empire” by the English, the liberation of their soil by the French.

7

## 1340

Philip, by dismissing two squadrons of Levantine mercenary ships, lost his mastery of the Channel until 1372 and was overwhelmingly defeated by Edward at the **naval battle of Sluys** (June 24) on Scheldt estuary on (modern) Belgian border. This opened the Channel to the English and gave them free access to northern France. 8

## 1341–64

A dynastic contest in Brittany, in which both Edward and Philip intervened. 9

## 1341

First collection of the *gabelle* (salt tax) in France; increasing war levies and mounting dissatisfaction. 10

## 1346

Edward's invasion of Normandy and overwhelming **victory at Crécy**, Aug. 26 (10,000 English defeated some 20,000 French) (See [1346, Aug. 26](#)). The French military system was outmoded, the people unaccustomed to arms, and the cavalry inefficient. **Blind King John of Bohemia** was slain. **Artillery** came into use (1335–45). Continued war levies led to open refusal (1346) of a grant by the estates of Langue d'Oil, and a demand for reforms. The king attempted some reforms. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1213–76](#))

### d. [The Iberian Peninsula](#)

**Parliamentary institutions.** As elsewhere in Western Europe (See [1360](#)), parliamentary assemblies developed in the Iberian Peninsula during the 13th to 15th centuries. In addition to the nobles and higher ecclesiastics of their courts, Spanish kings summoned representatives of those towns that were centers of trade, industry, and administration. The *cortes* (Sp. vernacular for king's court, the plural implying size and importance) emerged in Leon (1188), Aragon (1214), Catalonia (1225?), Castile-Leon (1250), and Portugal (1254). Because ordinary (feudal) revenues failed to meet the rising needs of the crown, kings had to secure consent for extraordinary levies. The initiative for summoning assemblies belonged to the king alone. As the clergy and nobles were usually exempt from taxation, the burden fell chiefly on the townspeople; the townspeople, however, often attached conditions to their grants: a royal promise of redress of grievances; a restriction to a fixed number of years; a promise that the levy would not prejudice town liberties (special privileges previously granted). Although approval of taxation was the *cortes'* most important function, they also played a role in matters of the succession (e.g., Isabella of Castile in 1474) and foreign policy. Neither Navarre nor the lands in southern Spain under Muslim control developed the *cortes*, nor did the Iberian Peninsula again experiment with one “national” assembly—because it was a collection of separate kingdoms. The disorders of the late 15th century and the trend toward absolutism in the 16th century weakened the influence of the *cortes*.<sup>1</sup>

#### 1. Castile



#### [THE HOUSE OF CASTILE \(1252-1504\)](#)

The successors of Alfonso X were not conspicuous for capacity. Frequent minorities and constant dynastic contests weakened the authority of the crown still further.<sup>2</sup>

## 1312–50

Most outstanding of the Castilian rulers in this period was **ALFONSO XI**, who decisively defeated the joint attack of the Spanish and Moroccan Muslims. His **victory at Rio Salado** (Oct. 30, 1340) ended the African menace forever and was the chief battle in the whole history of the Reconquest. 3

Throughout the **Hundred Years' War**, Castile supported France but attempted to avoid hostility with England as much as possible. 4

## 1350–69

**PETER** (Pedro, the Cruel). His reign was in fact little more than a 19-year dynastic conflict with his half-brother, the bastard **Henry of Trastamara**. Ultimately Henry defeated and killed Peter (1369). 5

## 1369–79

**Henry (Enrique) II** (Trastamara), who renewed the alliance with France. The Castilian fleet, through its victory over the English in the **Battle of La Rochelle** (1372), restored command of the Channel to the French. Peace between Castile on the one side and Portugal and Aragon on the other concluded at **Almazan** (1374). 6

## 1375

**Rapprochement of Castile and Aragon**, through the marriage of Henry's son, John, to Eleanor, daughter of Peter IV of Aragon. 7

Castilian leadership in the reconquest of Muslim Spain led to a degree of local and municipal self-government between the middle of the 12th and the middle of the 14th centuries. The *cortes* apparently originated from councils of nobles dating from Visigothic days. The Castilian rulers freely granted *fueros* (charters of self-government) to towns in the early stages of the Reconquest, and elements of local liberty appeared in municipal government in this period. 8

**Urban groups**, the *hermandades* (brotherhoods), sworn to defend the laws of the realm and the lives and property of their members, were clearly developed in the 13th century 9

(e.g., Sancho's, 1282, directed against his father, Alfonso X) and usually supported the kings in periods of crisis (minorities, succession struggles, baronial assaults). The decline of the *hermandades* is associated with the municipal decline and the appearance of the royal *corregidores* (mayors) in the towns (14th century), but it is not clear whether the crown hastened the decay of the towns and the brotherhoods or sought to stave it off.

Despite all this support, the battle of the kings with the aristocracy, firmly entrenched during the early stages of the Reconquest, was a losing one. The nobles were exempt from taxes and from many laws; in general the same was true of the clergy, and some of the great bishops were virtual sovereigns. 10

The Jewish population of medieval Spain (See [1137](#)) had generally prospered under first Muslim and then Christian rule. Christian kings welcomed Jews, because they represented capital investment, banking, and commercial expertise. 11

## 1391–1420

The nobility's attempt to reimpose serfdom, oppressive taxation, and general working-class frustration over poor socioeconomic conditions led to **widespread Christian attacks on the Jews** (e.g., in Barcelona and Sevilla), some spontaneous, others incited by churchmen, such as the Dominican **St. Vincent Ferrer**. Many wealthy Jews—courtiers, businessmen, scholars, rabbis—lost interest in traditional (Talmudic) Judaism, and perhaps 100,000 Jews **converted to Christianity** (c. 1425–50). The vast majority of these *conversos* were, within a generation or so, little different in religious practice and commitment from the rest of the population. 12

## 1469

**Marriage of Isabella**, half-sister and heiress of Henry IV, to **Ferdinand**, heir of the king of Aragon. 13

## 1474

**ISABELLA** succeeded to the Castilian throne. Isabella's succession was challenged by the daughter of Henry IV, supported by Afonso V of Portugal. But the *cortes* of Segovia (1475) recognized Isabella and Ferdinand and the latter defeated the Portuguese in 1476 (**Battle of Toro**). 14



## 1479

**FERDINAND (FERNANDO)** succeeded to the rule of Aragon, Catalonia, Valencia. A form of dyarchical government was set up for the united Castilian and Aragonese crowns. Rule of the **Catholic kings** (Ferdinand and Isabella). Restoration of the royal power in Castile: by revising the town charters, the towns were made centers of resistance to feudal aggression; formation of the **Santa Hermandad**, a union of Castilian towns in the interest of royal authority and order. The great feudal magnates were deprived of many of their possessions and rights, and a royal administration was gradually established. The *Libro de Montalvo* (1485), an early codification of Spanish law. 15

Christian resentment of the important economic and ecclesiastical positions attained by former Jews (See [1479–1516](#)) led to the spread of two ideas: that leadership in Iberian society required “**purity of blood,**” and that many new Christians were crypto-Jews (**Marranos**), secretly practicing their old religion. On Nov. 1, 1478, at the request of King Ferdinand (who himself had a Jewish grandmother), Pope Sixtus approved the establishment of the **Inquisition** in Spain. It became an instrument for centralizing royal power against the nobility, of whom the converted Jewish elite was a sizable minority (perhaps one third). Converted (from Judaism) bishops played a prominent role in the early work of the Inquisition. 16

## 1492, Jan

**Granada fell** to a Christian army, marking the end of the reconquest of Spain from the Muslims. On March 31, 1492, Ferdinand and Isabella issued an edict from Granada giving the Jews until July 31 to choose between accepting baptism or leaving the country. About 40,000, perhaps half the practicing Jews, left the country for Portugal, Venice, Rome, or Ottoman Turkey. 17

**Art and literature.** Castilian painting showed the influence of the school of Giotto (after c. 1380), and in the 15th century painting came under Flemish inspiration (visit of Jan van Eyck, 1428–29). In general, literature and learning followed the same foreign tendencies as architecture and painting: French influence came in early, followed later by Italian and English (notably Dante, Petrarch, Boccaccio, Gower). Introduction of printing at Valencia (c. 1474) and in Castile (c. 1475). 18

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1305–14](#))

## e. [The Papacy and Italy](#)

### 1. The Papacy

*For a complete list of the [Roman popes](#), see [Appendix IV](#).*

1

#### 1308

Clement V (1304–14), who had been residing in France, made the decision to settle at Avignon, in southeast France on the Rhône River. Although technically not in French territory—it belonged to the Angevin princes of Naples—French influence was very strong. The actual move of the papal court occurred the following year.

2

#### 1309–78

**The Avignonese papacy.** The seven popes of Avignon, all French (as were 113 of the 134 cardinals appointed during this period), removed themselves from Rome, the spiritual center of the West, and devoted their attentions to the reform of the papal bureaucracy and to the construction of the beautiful Gothic papal palace rather than to the spiritual problems of the Church and the political difficulties of Rome and Italy. The term “Babylonian captivity,” sometimes used for the same period, represents a conflation of the ideas of the 14th-century Florentine poet Francesco Petrarch and the 16th-century German reformer Martin Luther. Petrarch's career in the service of Clement VI provoked Italian resentment of the French dominance at the papal curia and hostility toward the fiscal and moral vices of the city and court. His sense of exile led him to quote the beginning of Psalm 137: “By the rivers of Babylon we sat down and wept,” the

3

Rhône being the river of the new Babylon. Martin Luther used the term Babylonian captivity to refer to the entire period of medieval Christianity, when (he believed) the doctrine of salvation by works predominated. The term became a Protestant image implying fiscal and moral corruption and should be avoided by those who do not want to imply a Protestant continuation of medieval Christianity.

### 1310–13

**Expedition of the Emperor Henry VII** to Italy (See [1310–13](#)). Henry asserted his independence of the spiritual power and claimed control of Italy. Clement V and Philip IV (opposed to him as a rival of the Angevins) combined against him.

4

### 1316–34

**JOHN XXII**, who supported the Angevins in Naples. His attempt to decide the validity of Emperor Louis IV's title led to a long struggle (1323–47). Louis was supported by the German people, who resented the Avignonese papacy, and by the Franciscans. John was unable to return to Italy because of the continued anarchy.

5

### 1342–52

**CLEMENT VI's** pontificate was marked by a revolution.

6

### 1347

**Revolution of Cola di Rienzi** at Rome. With the support of the populace, Cola overthrew the rule of the patricians, set himself up as tribune of the people, and summoned an Italian national parliament. Expelled by his opponents (1348), he returned in 1352 and was appointed senator by the pope (1354), but was in the same year slain by his baronial opponents. The lords of the Papal States resumed control and were, for all intents and purposes, independent of papal authority. Cola is considered a forerunner of Italian nationalism.

7

### 1352–62

**INNOCENT VI.** He sent the Spanish cardinal Albornoz to Italy, and the latter succeeded in reducing the powerful barons to obedience, thus making possible an eventual return of the pope.

8

**Reform of the Curia** during the Avignon period. General work of centralization and departmentalization: (1) the *camera apostolica*; (2) the chancery; (3) justice; (4) the penitentiary (dispensations). The loss of Italian revenues forced the popes to be more exacting in the levying of their spiritual income; thus the centralization of the papal curia put many clerical appointments under direct papal control through an extension of the papal rights of provision (appointment to benefices). The new efficiency in the levying and collection of taxes, combined with the appointment of Italians to offices in northern Europe, increased resentment, especially in England and the German Empire after the outbreak of the Hundred Years' War. Significant items of the budget of John XXII: war, 63.7 percent; upkeep and entertainment, 12.7 percent; alms, 7.16 percent; stables, 0.4 percent; art, 0.33 percent; library, 0.17 percent.

9

Vying with the growing magnificence of the monarchies of Europe, the Avignonese popes and cardinals became known for their pomp and luxury, and these tendencies spread to the episcopate, despite the thundering of the Franciscans and the decrees of local synods. The insubordination of outraged reformers, like the Bohemian preachers and **Wiclif**, soon penetrated to the masses.

10

Virtually every pope (notably Clement V and John XXII) made serious and honest efforts to combat these alarming developments, but the general anarchy in Europe made success impossible. There was a notable **expansion of missions to East Asia**: China (an archbishop and ten suffragans, 1312; 50 Franciscan houses, 1314; missions to Persia). Rome, the ancient spiritual center of the West, was reduced to an anarchic, poverty-stricken, provincial city, and clamored for the return of the popes.

11

## 1376, June 18

Visit of **Catherine of Siena** (1347–80) to Avignon. Caterina Beninsara, who cultivated piety and claimed from childhood to have received visions, joined the Dominican Third Order in 1363 and, with a group of followers, traveled through Italy preaching reform and ministering in hospitals and leper houses. Her reputation as a mystic and a miracle worker propelled her into a public role: anxious to see the papacy returned to Rome, she went to Avignon to urge Gregory IX to return; public opinion credited her influence as having been decisive. Catherine later supported Urban VI against the Avignonese antipope, and she died in Urban's service. Her 350 letters and mystical compositions, dictated because of her own illiteracy, survive. Canonized (1461) by the Sienese Pope Pius II, she is revered as one of the patron saints of Italy.

12

## 1370–78

**GREGORY XI** visited Rome and died before he could leave. The conclave, under 13  
threat of personal violence from the Roman mob, yielded to demands for an Italian pope.

## 1378–89

**URBAN VI** was elected. His worthy goals of reform were soon vitiated by his tactless 14  
and ill-tempered manner.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1263](#)) (See [1268](#))

## f. [The Holy Roman Empire](#)



### [THE HOUSE OF HABSBURG \(1273-1519\)](#)

#### 1273

The election fell to **Rudolf of Habsburg** (b. 1218), who ranked as a prince and wished to restore and retain in his family the duchy of Swabia. The Habsburgs or Hapsburgs (from *Habichts-Burg*, or Hawk-Castle; 10th century) of the district of Brugg (junction of the Aar and Reuss) had steadily expanded their lands in the Breisgau, Alsace, and Switzerland, emerging as one of the leading families of Swabia. <sup>1</sup>

#### 1273–91

**RUDOLF I.** Indifferent to the Roman tradition, he concentrated on the advancement of his dynasty, and founded the power of the Habsburgs on territorial expansion of the family holdings and dynastic marriages. Edicts for the abolition of private war and support of local peace compacts (*Landfrieden*). <sup>2</sup>

#### 1276–78

**Struggle with Ottokar**, king of Bohemia, over the usurped imperial fiefs of Austria, Styria, Carinthia, Carniola. Rudolf expelled Ottokar from Austria by force (1276), but allowed him to retain Bohemia and Moravia (after homage) as a buffer against Slavdom. <sup>3</sup>

Ottokar was ultimately defeated and killed (Aug. 26, 1278, **Battle of the Marchfeld**); investiture of Rudolf's sons with the imperial fiefs of Austria, Styria, and Carniola (1282) established the Habsburgs on the Danube.

Rudolf yielded the last remnants of Frederick II's great imperial fabric: confirmation of papal rights in Italy and Angevin rights in southern Italy (1275); renunciation of all imperial claims to the Papal States and Sicily (1279).

4

## 1291

Alarmed at the rapid rise of the Habsburgs to first rank, the electors passed over Rudolf's son, choosing instead **Adolf of Nassau**, in return for substantial considerations.

5

## 1291

**Revolt of the three Forest Cantons**, Uri, Schwyz, and Unterwalden, and formation of a (Swiss) confederacy (See [The Swiss Confederation](#)).

6

## 1292–98

**ADOLF**, a strong imperialist. He supported the towns and lesser nobles and entered into alliance with Edward I of England against Philip IV; the alliance came to nothing, as the German princes were indifferent. The princes, alarmed at Adolf's advance in Meissen and Thuringia, deposed him (1298), electing Rudolf's rejected son.

7

## 1298–1308

**ALBERT (ALBRECHT) I**, son of Rudolf. Firm reduction of the ecclesiastical electoral princes (aid of the French and the towns); double dynastic marriage with the Capetians; acquisition of the crown of Bohemia (on the extinction of the Premyslids, 1306); Albert supported the Angevin Carobert's acquisition of Hungary; the Rhineland was filled with Francophile clerical appointees of the pope, and the election of 1308 was dominated by French influence. Charles of Valois procured the election of Henry of Luxemburg.

8

## 1308–13



**HENRY VII** (Luxemburg), a Francophile and bent on restoring the empire. The marriage of his son John to the sister of King Wenceslas of Bohemia brought the throne of Bohemia to the house of Luxemburg (1311–1489). 9

### 1310–13

**Expedition to Italy** at the urging of Pope Clement V and the Ghibellines; order restored and Milan, Cremona, Rome reduced; imperial coronation (1312); alliance of the pope and King Philip IV of France to save Naples from Henry. 10

### 1314–47

**LOUIS IV** (Wittelsbach). A Habsburg antiking, **Frederick the Handsome**, and civil war (until 1325). Bitter papal opposition (1323–47, refusal of confirmation of Louis's title to the empire); Louis, backed by the German people, against the Avignonese pope. Violent war of propaganda: **Marsiglio of Padua** (*Defensor Pacis*, 1324) and **William of Occam**, defending the imperial position, gave wide currency to conciliar ideas; **Dante's** *De Monarchia*. 11

### 1327–30

**Louis's futile expedition to Italy** and “lay” coronation (1328); his demand for a general council welcomed by the Italian Ghibellines. 12

Effort to give the German monarchy a formal constitution. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1286–1319](#))

## **g. Scandinavia**



### SCANDINAVIAN RULERS (1263-1533)

#### **1. Denmark**

The active and on the whole successful reign of **Eric Menved** (1286–1319) was followed in Denmark by a period of weakness and decline, marked by the ascendancy of the nobility and the constant advance of German influence.

<sup>1</sup>

#### **1320–32**

**CHRISTOPHER II**, elected king after a capitulation, the first in Danish history, limiting the royal power in the interest of the nobility and clergy. The towns of the Hanseatic League, having acquired a monopoly of trade in Denmark, soon became dominant in Danish politics.

<sup>2</sup>

#### **1332–40**

A period of complete anarchy. Christopher was driven from the throne by Gerhard, count of Holstein, who parceled out the territories of the crown, established German nobles in all the important fortresses, and gave the German traders full rein. Gerhard was murdered in 1340.

<sup>3</sup>

## 1340–75

**WALDEMAR IV**, the youngest son of Christopher and one of the greatest Danish kings. At home he did his utmost to break the German influence and to restrict the power of the nobility and the clergy. The Church was subordinated to the royal power and the nobles and towns obliged to perform their military obligations. Abroad, Waldemar devoted himself to the reconquest of the territories lost by his father. In wars with Sweden, Holstein, and Schleswig he regained Zeeland (1346), most of Fünen and Jutland (1348), and Scandinavia (1360). His seizure of Gothland (1361) brought him into direct conflict with the powerful Hansa towns, which were supported by Sweden.

4

## 1361–63

**First war against the Hansa.** Copenhagen was sacked, but Waldemar defeated the Hansa fleets at **Helsingborg** (1362) and forced the Hansa to accept peace (1363), which greatly curtailed their privileges.

5

## 1368

A revolt against heavy taxation led to Waldemar's flight. His return (1370) was purchased by tremendous concessions.

6

## 1368–70

Meanwhile the **second war with the Hansa** had broken out. The German towns were supported by Sweden, Norway, Holstein, Mecklenburg, and even by some of the Danish nobles.

7

## 1370

Waldemar, badly defeated, was obliged to accept the **Peace of Stralsund**, renewing the privileges of the German Hansa, turning over the larger part of the revenues of four places, and accepting interference in the royal succession. This treaty marked the **ascendency of the Hansa** in the Baltic.

8

## 1376–87

**Olaf**, grandson of Waldemar, who, until his death, ruled with his mother, Margaret, as regent. 9

## 1387–1412

**MARGARET**, mother of Olaf, was queen, ruling, at the same time, Norway and Sweden and thus uniting Scandinavia. (See [Scandinavia](#)) 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1300–1305](#))

## 7. [Eastern Europe, 1300–1500](#)

### a. [Poland](#)

The history of Poland in this period is concerned chiefly with the efforts of the kings to reunite the various duchies and to establish the royal power. This policy was opposed, with success, by the nobility, which managed to extract countless privileges and to erect a type of oligarchical government. Externally the Poles were involved in a long struggle with the Teutonic Knights, designed to secure an outlet to the Baltic. <sup>1</sup>

#### 1305–33

**VLADISLAV IV** (Lokietek), under whom Poland regained its independence after a brief period of Bohemian domination. Vladislav was obliged to continue the struggle against Bohemia, and was not crowned until 1320. For protection he concluded dynastic alliances with Hungary (his daughter married Charles Robert of Anjou) and Lithuania (his son Casimir married the daughter of Gediminas). He did much to reunite the various duchies and established a new capital at Kraków. But he failed to secure Pomerania, which in 1309 passed from Brandenburg to the Teutonic Order. A papal decision in 1321 awarded the region to Poland, but the Knights ignored the order and continued their raids into Polish territory (1326–33). <sup>2</sup>

#### 1333–70

**CASIMIR III** (the Great). He introduced an improved administration, reduced the influence of the German town law (a new law code published), developed national defense, and promoted trade and industry (extensive privileges to the Jews, 1334). In 1364 he founded a school at Kraków, which became a university in 1400 and the chief intellectual center of eastern Europe. Here **Johannes Dlugosz** (1415–80) wrote the first <sup>3</sup>

critical history of the country. There was a printing press in Kraków as early as 1474.

In **foreign affairs**, Casimir abandoned claims to Silesia and Pomerania, turning his attention toward the southeast, where dynastic problems in the Ukraine called forth a rivalry between Poles, Lithuanians, and Hungarians. In an agreement with Hungary (1339), Casimir, who had no direct heir, promised that on his death the Polish crown would pass to Louis, the son of Charles Robert of Hungary. Louis was to reconquer the lost territories and to respect the privileges of the Polish nobility. This marks the beginning of the elective system, which gave the magnates an unequalled opportunity for extracting further rights (first real diet—colloquia—in 1367). In 1340 Casimir seized Halicz, Lemberg, and Volhynia. War ensued with Lithuania over Volhynia, and ultimately the Poles retained only the western part (1366).

4

### 1370–82

**LOUIS** (of Anjou). He paid but little attention to Poland, which he governed through regents. To secure the succession to his daughter Maria (married to Sigismund, son of Emperor Charles IV), he granted to the nobility the **Charter of Koszyce** (Kaschau), the basis for far-reaching privileges.

5

### 1382–84

Opposition to Sigismund led to the formation of the **confederation of Radom** and civil war between the factions of the nobility.

6

### 1384–99

**JADWIGA** (Hedwig), a daughter of Louis, was elected queen.

7

### 1386

**Marriage of Jadwiga to Jogaila (Jagiello)**, grand duke of Lithuania, who promised to become a Christian and to unite his duchy (three times the size of Poland) with the Polish crown. As a matter of fact, though the marriage prepared the way for union, he was obliged to recognize his cousin Vytautas (Witold) as grand duke of Lithuania, and the connection continued to be tenuous.

8

## 1386–1434

**JAGIELLO** (title **Vladislav V**). He had great difficulty in keeping his fractious nobility in order and in 1433 was obliged to grant the **Charter of Kraków**, reaffirming and extending their privileges. <sup>9</sup>

## 1410, July 15

**Battle of Tannenberg** (Grünwald), a great victory for the Poles, who used Bohemian mercenaries under John Ziska and were supported by the Russians and even the Tatars, against the Teutonic Knights. However, Jagiello was unable to keep his vassals in order. <sup>10</sup>

## 1411, Feb. 1

As a result, Jagiello concluded the **first Peace of Thorn**, which failed to secure for the Poles an access to the Baltic. <sup>11</sup>

## 1434–44

**VLADISLAV VI**, son of Jagiello, succeeded to the throne. Since he was only ten years old, the country was ruled by a regency. Vladislav's brother, Casimir, was offered the Bohemian throne by the Hussites (1438); Vladislav himself became **king of Hungary** (1440). Thenceforth he devoted himself to Hungarian affairs, leaving Poland in the hands of the magnates. Vladislav lost his life in 1444 at the **Battle of Varna** (See [1444, Nov. 10](#)) against the Ottomans. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

## b. Lithuania



### RULERS OF HUNGARY, POLAND, AND LITHUANIA (1205-1492)

Of the early history of Lithuania little is known. The numerous heathen tribes were first brought to some degree of unity by the threat of the Teutonic Knights (after 1230). <sup>1</sup>

### c. 1240–63

**Mindaugas**, one of the Lithuanian chieftains, to deprive the Knights of their crusading purpose, accepted Christianity and was given a crown by Pope Innocent IV. He later broke with the Teutonic Order (1260) and relapsed into paganism. He was killed by one of his competitors. <sup>2</sup>

### 1293–1316

**Vytenis** reestablished a Lithuanian state. <sup>3</sup>

### 1316–41

**Gediminas**, the real founder of Lithuania. Blocked by the Germans on the Baltic, he took advantage of the weakness of the Ukrainian, Belorussian, and Russian principalities to extend his control to the east and south (acquisition of Polotsk, Minsk, and the middle Dnieper region). **Vilna** became the capital of the new state. <sup>4</sup>



## 1341–77

**Algirdas**, the son of Gediminas, was the ablest of the dynasty. Defeated by the Knights (1360), he too turned eastward. Siding with Tver in the dynastic conflicts of Russia, he advanced several times to the very outskirts of Moscow. During his reign the domain of Lithuania was extended as far as the Black Sea, where Algirdas defeated the Tatars (1368).

5

## 1350

The **bubonic plague** (Black Death) swept through the Baltic region.

6

## 1377–1434

**JOGAILA (Jagiello)**, the son of Algirdas, married Jadwiga of Poland (1386) and established the **first union of Lithuania and Poland** under one king. As a result, Lithuania was converted to Roman Catholicism. However, the Polish and the Lithuanian aristocratic assemblies were preserved as separate bodies, while pagan traditions proved to be much stronger among the Lithuanians than among most of their neighbors. At the same time, Lithuanian society was somewhat less male-dominated: when she married, the woman did not lose all relations with her family, and she enjoyed the protection both of her own family and of her husband's; only the husband could ask for divorce but, on the other hand, one third of his property was to serve as a guarantee of his own fidelity.

7

## 1398

Jagiello was obliged to recognize his cousin, **Vytautas** (Witold) as grand duke of Lithuania. Vytautas hoped to reestablish the independence of the country from Poland, but his failure in a crusade against the Tatars greatly weakened him.

8

## 1447

**Casimir IV** of Poland, having been grand duke of Lithuania before his accession, once again united the grand duchy and the Polish kingdom. (See [Poland-Lithuania](#))

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1263](#))

### c. [Russia](#)



[EASTERN EUROPE C. 1430 \(MAP\)](#)



[GRAND PRINCES OF MOSCOW \(1176-1505\)](#)

The period following the death of **Alexander Nevski** (1263) was marked by the continued and repeated disruption of the Russian lands, due to the complicated and unfortunate system of succession in the princely family. Russia was under the **suzerainty of the Tatars** (Mongols), who played off one candidate against another, thus increasing the confusion and perpetuating the weakness of the country. The gradual **rise of Moscow** to prominence among the Russian principalities resulted, among other things, from a skillful policy of colonization and of loyalty to the Tatars. The Tatars often responded by supporting the Muscovite rulers against their neighbors, while nobles and peasants from the other Russian principalities were attracted by the abundance of land in a sparsely populated region. The princes of Moscow provided the nobles with land and peasants in exchange for military and administrative services, but the bulk of the peasants remained on state land (land owned directly by the prince). Moreover, the peasants were organized in village communes, and they redistributed their holdings periodically among themselves, while the nobles, unlike their counterparts in western Europe, did not have alodial estates into which to consolidate their tenures. Thus the princes of Moscow were able to restrict ever more successfully the influence of the nobility, despite some violent reactions to that policy.

## 1328–40

**IVAN I KALITA** (Moneybag), grand prince of Moscow. His was the first of a series of noteworthy reigns. Extremely cautious and parsimonious, Ivan bought immunity from Tatar interference and was ultimately entrusted by the Tatars with the collection of tribute from the other princes. 2

## 1340–53

**Simeon I** continued the policy of his predecessor and was placed, by the Tatar overlord, above all the other princes. 3

## 1350

The second cycle of plague epidemics spread to Russia. 4

## 1359–89

**DMITRI DONSKOI** (of the Don), who ascended to the princely throne at the age of nine. His reign was filled with a struggle against **Michael of Tver**, his chief rival, who was supported by Algirdas of Lithuania. At the same time, he began the conflict with the Tatars, whose power was fading but who also enjoyed the support of Lithuania. 5

## 1380, Sept. 8

**The Battle of Kulikovo.** Dmitri completely defeated the Tatar armies before the Lithuanians arrived. The victory was in no sense decisive, for the Tatars on several occasions thereafter advanced to the very gates of Moscow. But Kulikovo broke the prestige of the Tatar arms. 6

## 1389–1425

**Basil I (Vasili).** He annexed Nizhni-Novgorod and continued the struggle with the Tatars and the Lithuanians, without forcing a decision. 7

## 1425–62

**Basil II**, whose reign was distinguished by a relapse into anarchy. A long civil war with his rivals, Yuri and Shemyaka, was followed by Tatar invasion (1451, the Tatars beaten back from Moscow). Nevertheless the Moscow principality managed to maintain itself. In 1439 Basil refused to accept the union of the eastern and western churches, arranged for at the council of Florence. Thenceforth the Russian metropolitan, who had moved to Moscow in the time of Ivan Kalita, became more and more the head of an independent Russian Church.

8

## 1462–1505

**IVAN III** (the Great). Through a cautious but persistent policy, he annexed most of the rival principalities and, after a series of wars, subjected Novgorod, where the patrician elements tended to side with Lithuania. In 1471 Novgorod was obliged to renounce the alliance of Lithuania and to pay tribute. After a second war, in 1478, **Novgorod's independence was ended** and the troublesome upper classes were deported to central Russia. In 1494 Ivan drove out the German merchants and closed the Hanseatic trading station. Thus he acquired the huge territory of Novgorod, extending eastward to the Urals. The **annexation of Tver** (1485) put an end to the most formidable rival of Moscow.

9

## 1472

**Marriage of Ivan with Zoë** (Sophia), niece of the last Greek emperor of Constantinople. This was arranged by the pope, in the hope of bringing the Russians into the Roman Church, but all efforts in that direction failed. It also served to introduce into Moscow the Byzantine conception of the autocrat (Ivan took the title of tsar—i.e., caesar) and the practice of Byzantine court ceremonial.

10

## 1480

Ivan threw off the Tatar yoke after a last Tatar advance on Moscow. Ivan avoided open warfare but took advantage of the Tatars' disunion. Mengli Girai, the khan of the Crimea, joined him against the Lithuanians.

11

## 1475–95

Rebuilding of the **Kremlin** (Russian for “citadel”), including the present wall, 7,200 feet <sup>12</sup> (2,195 meters) long, and the **Uspenski** (Assumption) **Cathedral**, which was the work of the Italian architect **Aristotele Fioravanti**. The Kremlin was to be the residence of Russia's monarchs until the 18th century. The **Granovitaya Palace** (Hall of Facets), also built in the 15th century, served as an audience chamber.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1290–1301](#))

#### **d. [Hungary](#)**

At the beginning of the 14th century, Hungary was already an essentially feudal country, in which the great magnates and the bishops, richly endowed with land, ruled as virtually independent potentates (“little kings”), while the lower nobility, organized in the *Comitats* (provincial governments), had, to a large degree, control of the administration. The nobility, freed of taxation, was responsible for defense, but acted only as it saw fit. <sup>1</sup>

#### **1301–8**

The **extinction of the Arpad dynasty** led to a period of conflict, during which Czech, German, and Italian parties each attempted to put their candidates on the throne. <sup>2</sup>  
**Wenceslas (Vaclav)**, son of the king of Bohemia, 13 years old, was first elevated, but could not maintain himself, nor could **Otto of Bavaria**.

#### **1310–42**

**CHARLES I** (Charles Robert of Anjou), a grandson of Maria, the daughter of Stephen V, was elected and founded the brilliant and successful **Anjou line**. Charles established his capital at Visegrad and introduced Italian chivalry and Western influences. After 15 years of effort, he succeeded in subduing the “little kings,” of whom **Matthias of Csak** and **Ladislav of Transylvania** were the most powerful. Recognizing the hopelessness of suppressing the nobility entirely, he regulated its position and obliged it to furnish specified contingents to the army. Regulation of taxation (first direct tax); encouragement of towns and trade. <sup>3</sup>

#### **1342–82**

**LOUIS** (Lajos the Great), the son of Charles, a patron of learning who established a brilliant court at Buda. He attempted to solidify the position of his house in Naples and embarked on a successful expedition to Italy to avenge the murder of his brother Andrew (1347). In conjunction with Genoa, he carried on a long struggle with Venice, which ended in the **Peace of 1381**: Venice ceded Dalmatia and paid tribute. In the east the Hungarian power made itself felt throughout the Balkans: Serbia, Wallachia, and Moldova recognized the suzerainty of Louis; foundation of the border districts (*banats*) south of the Danube and the Sava, as protection against the Turkish advance.

4

### 1370

Louis became king of Poland but paid little attention to his new obligations. In Hungary he continued the work of his father: the *jus aviticum* (1351) restricted the freedom of the great magnates to dispose of their property.

5

### 1382–85

**Maria of Anjou**, queen. She was married to Sigismund of Luxemburg, who became guardian of the kingdom. His position was challenged by Charles of Durazzo and Naples, who had many adherents, especially in southern Hungary and Croatia.

6

### 1385–86

**Charles II** (of Naples). He was assassinated after a very brief reign, which led to a new revolt in Croatia.

7

### 1387–1437

**SIGISMUND** (of Luxemburg), who became German emperor in 1410 and king of Bohemia in 1436. His reign marked a great decline in the royal power, due to his constant absence from the country and his practice of selling royal domains to get money for his far-reaching schemes elsewhere. In general Sigismund relied on the towns and lesser nobility against the great magnates. Hence the grant of ever greater rights to the smaller nobles.

8



## 1396

The disastrous **battle of Nicopolis** against the Turks (See [1396](#)). Loss of Dalmatia to the Venetians. Hussite invasions of Hungary, resulting from Sigismund's attempts to gain the Bohemian throne. 9

## 1437–39

**Albert (Albrecht) of Habsburg**, son-in-law of Sigismund, also German emperor and king of Bohemia. He was obliged to sign far-reaching capitulations (nobles not obliged to fight beyond the frontiers). 10

## 1437

**First victory of John Hunyadi** over the Turks. Hunyadi was a powerful frontier lord and patriot. 11

## 1440–44

**Vladislav (Vlászló) I** (Vladislav VI of Poland), a weak ruler whose reign was distinguished chiefly by the continued victories of Hunyadi (1443). Crusade against the Ottomans (See [1438–44](#)). 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1254](#))

### e. [The Serbian States](#)

By the end of the 13th century, the Serbian states, like others of eastern Europe, had evolved a strong lay and clerical aristocracy, which, to a large extent, controlled even the more outstanding rulers. In view of the general uncertainty of the law regarding succession and inheritance, the tendency toward dynastic conflict and territorial disruption was very pronounced. In the western Balkans the situation was further complicated by the rivalry of the western and eastern forms of Christianity, and by the persistence of the heretical Bogomil teaching, especially in Bosnia. <sup>1</sup>

#### 1281–1321

**Milyutin** (Stephen Urosh II), the brother of Dragutin. He was a pious and yet dissolute ruler, but above all a political and religious opportunist. Taking full advantage of the growing weakness of the Byzantine Empire, he gradually extended his possessions in Macedonia, along the Adriatic, and, in the north, toward the Danube and the Save. <sup>2</sup>


#### 1321–31

**Stephen Dechanski** (Stephen Urosh III), the illegitimate son of the preceding. His reign was marked chiefly by the great victory of the Serbs over the Greeks and Bulgarians near **Küstendil** (Velbûzhd) in 1330. The Serbs now held most of the Vardar Valley. A nephew of Milyutin was imposed on the Bulgarian throne, and from 1330 to 1331 Bulgaria was under Serbian suzerainty. <sup>3</sup>

#### 1331–55

**STEPHEN DUSHAN** (Stephen Urosh IV), the ablest of the Serbian rulers in the Middle Ages. Dushan began his career by deposing his father, who was then strangled. For most of his reign he attempted to maintain friendly relations with Hungary and Ragusa (Dubrovnik), in order to have a free hand to exploit the dynastic war in the Byzantine Empire between the Palaeologi and John Cantacuzene. By 1344 he had subjected all of Macedonia, Albania, Thessaly, and Epirus. 4

### 1346

**Dushan** set up his capital at Skopje and proclaimed himself emperor (tsar) of the Serbs, Greeks, Bulgars, and Albanians. At the same time, he set up a Serbian patriarchate at Pe  (Ipek), for which he was anathematized by the Greek patriarch. Dushan established a court wholly Byzantine in character. In the years 1349–54 he drew up a law code (Zabonnik). 5

### 1353

Dushan defeated Louis of Hungary, who had been urged by the pope to lead a Catholic crusade. The Serbs acquired Belgrade. 6

### 1355

Dushan died at the age of 46, en route to Constantinople. Thus perished his hope of succeeding to the imperial throne and consolidating the Balkans in the face of the growing power of the Ottoman Turks (See [1354](#)). 7

### 1355–71

**Stephen Urosh V**, a weak ruler who was faced from the outset by the disruptive ambitions of his uncle Simeon and other powerful magnates. He was the last of the Nemanjid house. 8

### 1358

Hungary obtained most of Dalmatia, after defeating Venice. Ragusa (Dubrovnik) became a Hungarian protectorate. 9

### 1371

**Battle of the Maritza River**, in which the Turks, having settled in Thrace, defeated a combination of Serbian lords. 10

### 1371

Zeta (Montenegro) became a separate principality under the Balsha family (until 1421). 11

### 1375

The Greek patriarch finally recognized the patriarchate of Pe . 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1261](#))

## **f. [The Byzantine Empire](#)**



### **[THE PALEOLOGUS FAMILY \(1260-1453\)](#)**

After the recapture of Constantinople by the Greeks in 1261, the **empire of the Paleologi** was still a relatively small domain, consisting of the former Nicaean Empire, the city of Constantinople and its immediate surroundings, the coastal part of Thrace, Salonika (Thessalonica), and southern Macedonia with the islands of Imbros, Samothrace, Lesbos, and Rhodes. The northeastern part of Anatolia was still held by the Greek **empire of Trebizond**, which, in the course of the 13th century, had managed to hold a balance between the Seljuk Turks and the Mongols and had become the great entrepôt of the eastern trade coming to the Black Sea by way of Persia and Armenia. The city and the court reached their highest prosperity and brilliance under the Emperor **Alexius II** (1297–1330), whose reign was followed by a period of dynastic and factional struggle. The reign of **John Alexius III** (1350–90) marked a second period of splendor, but the 15th century was one of decline. The empire of Trebizond ended with the Ottoman conquest in 1461 (last ruler, **David**, 1458–61).

1

The European territories of the earlier empire were divided between the Greek despotate of Epirus and the Greek duchy of Neopatras (Thessaly, Locris), the Latin duchy of Athens, the Latin principality of Achaea, and the Venetian duchy of the Archipelago.

2

### **1259–82**

**MICHAEL VIII** (Paleologus). He was the ablest of the Paleologi, a man who devoted himself to the restoration of Byzantine authority throughout the Balkan area, persisting despite many setbacks.

3

## 1261

Michael established a foothold in the southeastern part of the Peloponnese (Morea). **Mistra** (Misithra) became the capital of a flourishing principality and one of the great centers of late-Byzantine culture.

4

## 1262

Michael II of Epirus was forced to recognize the suzerainty of the Constantinople emperor. In a series of campaigns, much of the despotate was regained for the empire (Janina taken, 1265).

5

## 1264–65

Constant raids of the Bulgars into Thrace led to a formidable campaign against them and the reconquest of part of Macedonia.

6

## 1266

**Charles of Anjou** became king of Sicily. He made an alliance with Baldwin II, the last Latin emperor, and, through the marriage of his son with the heiress of the Villehardouins, extended his authority over Achaia. He soon became the most formidable opponent of the Greeks, for by the **Treaty of Viterbo** (1267), he took over the claims of Baldwin II.

7

## 1271

**Death of Michael II of Epirus.** Charles of Anjou had already taken Corfu (1267) and now undertook the conquest of the Epiran coast, the essential base for any advance on Thessalonica and Constantinople. Durazzo was taken in 1272. **John Angelus**, driven out of Epirus, set up as lord of Neopatras (to 1295). **Nicephorus I** was the titular ruler of a much-reduced Epiran state (to 1296). Charles of Anjou proclaimed himself king of Albania and entered into alliance with the Serbs, who had begun the construction of a large state by advancing down the Vardar Valley.

8

## 1274

**The Council of Lyons.** Michael, to escape from the Angevin danger, accepted the Roman creed and the primacy of the pope, thus effecting the **reunion with Rome**. This purely political move met with vigorous resistance on the part of the Orthodox Greeks. 9

## 1274

Campaigns of Michael against the Angevins in Epirus had varying success. 10

## 1278

The death of William of Villehardouin, prince of Achaea, gave the Greeks an opportunity to expand their holding in the southeastern part. 11

## 1281

Michael VIII won a great victory over the Angevins at **Berat**. Thereupon Charles made an alliance with the papacy and with Venice, with which the Serbs and Bulgars were associated. Michael, in reply, effected a rapprochement with Peter of Aragon. 12

## 1282

**The Sicilian Vespers** (See [1268–85](#)) served to relieve the pressure on the Greek Empire. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

(See [The End of Prehistory \(1500 C.E. to Modern Times\)](#))

## **G. The Americas, 1000–1525**

### **1. Pre-Columbian South and Central America and the Caribbean, 1200–1530**

The aborigines of America developed social organizations that ranged from stateless tribes to kingdoms and imperial states. Many groups remained simple hunters and gatherers, while others built complex agricultural systems. Iron was unknown, as was the utilitarian application of the wheel. Estimates of pre-Columbian populations are highly debatable. Especially controversial are estimates that assess population at the time of the European invasion, since they have been used politically to justify or to condemn Spanish and Portuguese conquest. 1

The **Mexica (Aztecs)** were originally a minor tribe of the greater Nahua group. After the disintegration of the Toltec domination of the valley of Mexico (about 1200 C.E.), the Acolhua confederation and the Tepaneca confederation struggled for hegemony in the region. With help from the Mexica, the Tepanecas defeated the Acolhuas in 1370. The Mexica founded **Tenochtitlán** on an island in the lake of **Texcoco** during the first half of the 14th century. They organized a monarchical system, with a prince of Toltec ancestry as king, or *tatloani*. Owing to their military prowess, the Mexica gained political importance and formed the **Triple Alliance** with the chiefs of Tacuba and Texcoco, which defeated the Tepanecas (1426–28). 2

The Mexica promoted regional innovations in astronomy, agriculture, architecture, jewelry, and picture writing. Their basic **social organization** was the *calpulli*, a kinship group with access to land and resources to be distributed among its members. Each *calpulli* had its own school, temple, and company of warriors. The *calpulli* was internally stratified: the majority of members of the *calpulli* were peasants and workers (*macehualtin*), who toiled on the land and manufactured products. Slavery developed when impoverished commoners sold themselves to wealthier persons. The slaves could buy their freedom, but as the practice of human sacrifice expanded, the enslaved condition became more precarious. An elected chief governed the *calpulli* with the help of a council of elders. Warriors received prizes, and tributes were paid directly to them 3



by defeated populations, who became serfs (*mayeque*). With the consolidation of Mexica dominance, a military aristocracy displaced the traditional hierarchy in the *calpulli*. The merchant class (*popochca*) also extended its influence. After the defeat of the Tepanecas, a council of four lords monopolized the election of the king.

Mexica religion was **polytheistic**. With the increasing role of war and warriors in society, the state promoted the cult of **Huitzilopochtli, a war god**. His worship led to the practice of human sacrifice and ritual cannibalism on an unprecedented scale for the area.

War allowed the Mexicas to capture victims for sacrifices, and to compel defeated populations to pay them tribute. As the population of Tenochtitlán grew, problems of supply and famine developed. Mexica rulers pressured conquered populations to provide more resources, and there were constant rebellions against Mexica exactions. The Tlaxcalans and the Tarascans, the inhabitants of Oaxaca and Yopitzingo (in present Guerrero), maintained their independence from the Mexica. Moctezuma II (1503–19) tried to conquer these independent peoples, to consolidate the Mexica state. He centralized power in Tenochtitlán, which alienated the support of Texcoco. His attempts to limit access to the ranks of the nobility caused dissatisfaction among upwardly mobile merchants and bureaucrats. Estimated population at the eve of the conquest was 9 million.

The **Mayas** were established in the Yucatán Peninsula, Tabasco, and Chiapas; in northern, central, and eastern Guatemala; and in western Honduras (See [Teotihuacán](#)). Between 200 and 950 C.E., **religious centers** of considerable importance developed (including Tikal, Copán, Nakum, Palenque, Uxmal). Supported by masses of agriculturalists, a class of priests and warriors developed the **arts, architecture, mathematics, engineering, and astronomy**. They formulated the conception of zero, a vigesimal numerical system, and a calendar more accurate than the Julian. Picture writing was employed in codices formed for religious and astronomical purposes. The Mayas preserved orally a body of traditions, history, and religious prophecies.

During the 9th century, many Mayan centers went into **irreversible decline**. Around 925, invaders from Mexico took control of Mayan lands and brought with them Toltec influence. They promoted the cult of their mythic ancestor **Kukulcán, or Quetzalcoatl** (the feathered serpent). **Chichén Itzá** became the most important center of power. In 1200, however, the **league of Mayapán** became hegemonic in the Yucatán, and the Quiché chief gained power in Guatemala. About 1450, extensive warfare destroyed the predominance of Mayapán and the Quiché, and small chieftainships emerged as the main political units for the Mayas. The estimated population in the Yucatán was 400,000 to 500,000 at the time of the arrival of the Spaniards.

In the **circum-Caribbean**, the **Muiscas (Chibchas)**, the **Taironas**, and the **Cenú** were the predominant chiefdoms before the European invasion. They developed a long-distance system for the exchange of sumptuary goods of religious character, such as

emeralds, gold jewelry, fine textiles, and fine seashells, as well as war slaves. The populations were mostly of agriculturalists organized into kinship groups, who paid tribute and worked their lords' lands. Estimated population of this area was 3 million. In the **Caribbean islands**, the indigenous population was about 750,000, with most of the people living on the island known as Española (Santo Domingo). There were three ethnic groups in the islands: the **Ciboney** or Guanahuatebey, the **Taino Arawak**, and the **Carib**. The Ciboney were the oldest settlers, having migrated in several waves from the mainland (1000 B.C.E.–1000 C.E.). They were hunters and gatherers, organized in independent nomadic clans. The Arawak migration (1100–1450) displaced and absorbed the Ciboney. The Arawak formed chiefdoms based on agriculture. The Caribs formed a highly mobile society, being the last migrant group to enter the Caribbean. By 1500 they dominated all of the eastern Caribbean islands. They settled in places that facilitated both agriculture and fishing. Land was communally held by the extended family. The head of the family supervised productive activities, settled internal disputes, and served in military groups of the most experienced warriors in raids against surrounding populations, to seize women for the local young men. Warfare was a central activity of Carib males, and ritual cannibalism was practiced. Caribs believed in the existence of spirits, and shamans were in charge of religious activities.

The **Incas**, with their capital in Cusco, extended their control over the area from Ecuador to central Chile along the coast and inland to the eastern slopes of the Andes, including the Bolivian Plateau (See [Chimu](#)). Expansion was particularly rapid from the 14th century onward. Inca myths claimed that, previously, Andean peoples had lived in a primitive state, but that the Inca institutions were based on those developed earlier in the area. 9

In the Andes, the fundamental **social unit** was the *ayllu*, a kinship group with a common ancestor. Women were organized matrilineally and men patrilineally, with marriage being endogamous. The chief of the *ayllu* was called the *kuraka*. The *ayllu* had access to land, and the *ayllu* families cultivated assigned plots and had reciprocal duties in community activities. Leadership in war was provided by elected chiefs, called *sinchis*. 10

Frequent skirmishes among tribes in the Cusco area helped to consolidate warrior leadership among the Incas, eventually producing a **monarchial system**. Oral tradition preserved a list of 13 kings (Incas), but imperial expansion only began with **Pachacútec**, the ninth Inca king (1438–71). In 1438, the **Chancas** put Cusco under siege, but the Incas under Pachacútec defeated them completely. After Pachacútec, Túpac Inca (1471–93) and Huayna Cápac (1493–1525) continued rapid **military expansion**. Plebeians who distinguished themselves as warriors could obtain positions in the administration and a secondary nobility. 11

The Incas subjected different ethnic groups, recognizing their original chiefs (*kurakas*) and making them responsible for the fulfillment of labor corvées on Inca lands. The royal *ayllus*, called *panacas*, inherited all the properties of the dead sovereign, to 12

preserve the cult of his mummy. To secure manpower to cultivate lands of the nobility as well as the Inca and state lands, a class of perpetual **serfs** (*yanas*) was formed. The Incas displaced original populations to establish loyal settlers (*mitmaqkuna*) who would deter rebellions and expand cultivation of maize for the state. Rebellions against state exactions were constant. **Huayna Cápac** subdued uprisings in Ecuador, and Túpac Inca Yupanqui suppressed them on the Titicaca Plateau. Inca expansion confronted insurmountable obstacles in the eastern tropical lowlands and in the southern area dominated by the Araucanians (Mapuche).

**Inca religion** included a heaven god, the cult of the ancestors (especially the deceased Inca kings), and *huacas* (objects and places considered sacred). The Inca state emphasized the solar aspect of the heaven god, as the Incas claimed to be children of the sun (**Inti**). 13

After the death of Huayna Cápac, his sons **Atahualpa** and **Huáscar** warred over the kingdom. Atahualpa, son of a secondary wife, gained the nobility's support, and a civil war began (1529–30). In 1532 the war ended with the defeat of Huáscar, but by that time the Spaniards had already destroyed the Inca domination of Peru. Population at this time was estimated at 9 million. 14

The area of the Río de la Plata was occupied by several tribes who combined hunting and gathering with agriculture. In the lower Paraná resided the **Charrúas** and the **Caingang**. The more numerous of the **Guaycuru** inhabited the Chaco, and were divided into the **Abipón**, **Mocovi**, **Toba**, **Mbayá**, and **Caduveo** tribes. The **Guaraní** expanded in the Paraná basin and practiced slash-and-burn agriculture. In Patagonia and Tierra del Fuego, the **Ona** and the **Tehuelche** lived as hunters of guanacos and rhea. In the area of the Beagle Channel and on the islands, **Alacaluf**, **Yahgan**, and **Chono** tribes were migrant fishermen. In the south of Chile, the **Mapuche**, **Araucanian**, and **Huilliche** groups subsisted on llama husbandry and agriculture that combined rotating-field and slash-and-burn methods. 15

Brazil was inhabited by groups from four linguistic families: **Tupi-Guaraní**, **Gê**, **Carib**, and **Arawak**. The Tupi-Guaraní were established along the Atlantic coast, from the mouth of the Amazon River to south of present São Paulo. They were divided into many tribes and frequently engaged in war. Tupi, Arawak, and Carib tribes populated the Amazon basin. The Gê tribes lived in central Brazil. All of Brazil's native populations were organized in seminomadic communities. Hunting and gathering were important activities, complementing slash-and-burn agriculture. The estimated population in the Amazon basin was 5 million; for the rest of Brazil, 6.8 million. 16



## **2. Pre-Columbian Explorations by Europeans, 1200–1530**

### **1000**

**Leif Ericson**, returning from Norway to Greenland, was driven onto the North American coast. Settlements near L'Anse aux Meadows, at the northern tip of Newfoundland, show evidence of Norse presence and might be the Wineland (Vinland) mentioned by Ericson. <sup>1</sup>

### **1003**

**Thorfinn Karlsefni** set out from Greenland with three ships, to settle Wineland. He and his party spent three winters on the North American continent. The localities he visited have not been determined. <sup>2</sup>

The last mentioned visit to Wineland was in 1189, although it is possible Norsemen came at least as far as southern Labrador for ship timber as late as 1347. After that date, the Greenland colonies declined, though the West Colony (in southeast Greenland) continued to exist until at least the mid-15th century. <sup>3</sup>

It is possible, though there is no evidence, that Breton, Gascon, or Basque fishermen regularly visited Labrador in this period. Many theories have been advanced to demonstrate a European presence before Columbus, but most rest on hypotheses and clever deductions. After the translation of Ptolemy's *Geography* into Latin (1410), the idea that the earth was spherical (never entirely lost during the Middle Ages) spread rapidly in scientific circles and revived the goal of reaching Asia by sailing west. <sup>4</sup>



### 3. The Voyages of Columbus, 1492–1504

#### 1451, between Aug. 26 and Oct. 31

**CRISTOFORO COLOMBO** (Christopher Columbus; in Spanish, Cristóbal Colón) was born near Genoa, the son of a weaver. Almost nothing definite is known of his youth. He seems to have gone to Portugal in 1476 and to have been in England in 1477. In 1480 he married the daughter of Bartholomew Perestrello, hereditary captain of Porto Santo, near Madeira. He was familiar with the idea then popular of seeking to reach India or China by navigating westward.

1

#### 1483 or 1484

**Columbus** appealed to King John II of Portugal to finance a voyage to the West, but experts at the court rejected his project as unfeasible.

2

#### 1486

Columbus, through the mediation of some Franciscan monks, was able to submit his project to the king and queen of Spain, **Ferdinand of Aragon and Isabella of Castile**. His religious fervor and personal magnetism impressed the queen, but experts rejected his project again. In the following years, Columbus met the three Pinzón brothers, wealthy traders and expert navigators.

3

#### 1492

Columbus, again in the court, induced Queen Isabella to finance his expedition. His objective was to find a route to the Indies, rather than to discover a new world. The queen named him admiral and governor of the territories to be discovered, and gave him letters to the Great Khan.

4

### 1492–93

**The first voyage** (Aug. 3–March 15). Columbus left Palos, Spain, with three caravels, *La Pinta*, *La Niña*, and the *Santa María*. Martín Pinzón and Juan de la Cosa commanded two of them. They left the Canaries (Sept. 6) and reached land in the Bahamas (Oct. 12), naming it **San Salvador**. Columbus then discovered Cuba, which he thought was the territory of the Great Khan, and Santo Domingo (Española). He established a post, Navidad, on Santo Domingo, and set out on the return voyage (Jan. 4, 1493), touching the Azores (Feb. 15), landing at Lisbon (March 4), and finally reaching Palos (March 15). Columbus announced that he had discovered the route to the Indies, news of which quickly spread throughout Europe and caused much excitement.

5

### 1493, May 4

**The line of demarcation.** At the insistence of the Spanish rulers, who feared counterclaims by Portugal, Pope Alexander VI granted them the exclusive right to and possession of all lands to the south and west toward India not held by Christian princes on Christmas Day 1492, beyond a line drawn 100 leagues west of the Azores and the Cape Verde Islands.

6

### 1493–95

**Second voyage of Columbus** (Sept. 25, 1493 to June 11, 1495). He left with 17 caravels and 1,500 men to establish Spanish settlements. On this voyage he discovered Dominica, Puerto Rico, Jamaica, and other islands of the Antilles; explored the southern coast of Cuba; and circumnavigated Española, where he founded the town of Isabella. There he left in charge his brother Bartholomeo, who in 1496 transferred the settlement to the southern coast (Santo Domingo).

7

### 1494, June 7



**Treaty of Tordesillas**, between Spain and Portugal. The line of demarcation was moved 270 leagues farther west, Portugal to have exclusive rights to all lands to the east of the line, and Spain to have rights to the west. 8

## 1498–1500

**Third voyage of Columbus** (May 30, 1498, to Nov. 15, 1500). Discovery of Trinidad Island (July 31, 1498) and South America (Aug. 1), near the mouth of the Orinoco. Columbus explored the coast westward as far as Margarita Island. He then went to Española, where a revolt broke out against him. The Spanish government sent a judge, **Francisco de Bobadilla**, who imprisoned Columbus and his brother and sent them to Spain. Columbus was released and treated with distinction, but the queen never restored him to his former authority and monopolistic grants. Bobadilla established direct royal control in the territories. 9

## 1502–1504

**Fourth voyage of Columbus** (May 11, 1502, to Nov. 7, 1504). He reached the coast of Honduras and passed south to Panama, returning after having suffered a shipwreck in Jamaica. 10

## 1506, May 21

**Columbus died** in relative obscurity in Spain, at Valladolid. He believed to the end of his days that he had discovered outlying parts of Asia, despite the conviction of other experts since 1493 that a new world had been discovered. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 4. Post-Columbian Discoveries, 1497–1522

### 1497, May 2–Aug. 6

**Voyage of John Cabot.** Cabot was a wealthy Italian merchant who settled in England about 1495. He organized an expedition that reached land (June 24) on northern Newfoundland. Cabot was convinced he had discovered the country of the Great Khan. He intended a second voyage but failed. 1

### 1499–1500

**Voyage of Alonso de Ojeda and Amerigo Vespucci** in the service of Spain (May 1499–June 1500). They landed in what would be French Guiana, discovered the mouth of the Amazon, and proceeded as far as Cape St. Roque, after which they turned north and west along the coast as far as the Magdalena River. 2

**Voyage of Vicente Yáñez Pinzón** (Sept. 1499–Dec. 1500). He made a landfall near Cape St. Roque (Jan. 1500) and thence followed the coast northwest. At about the same time, the Spaniard **Diego de Lepe** explored the Brazilian coast from Cape St. Roque to about 10 degrees S.L. 3

### 1500, Apr. 21

The Portuguese commander **PEDRO CABRAL**, sailing to India from the Cape Verde Islands with 13 caravels, landed in **BRAZIL**. The expedition stayed only ten days, but took official possession of the country, which Cabral named **Terra da Vera Cruz**. 4

### 1500–2

**Rodrigo de Bastidas** traced the coast from Panama to Port Manzanilla.

5

## 1501–2

**Second voyage of Amerigo Vespucci** (May 1501–Sept. 1502), this time in the service of Portugal. He voyaged south along the Brazilian coast to about 32 degrees S.L. Vespucci published an account of this voyage in which he expressed the conviction that what had been found was a “New World.” On this basis, the German geographer, **Martin Waldseemüller**, proposed that this New World be called **AMERICA** (1507). The name was first applied to South America, and the use of it spread slowly until its general adoption.

6

## 1508

**Vicente Pinzón** followed the mainland from the Bay of Honduras to beyond the easternmost point of Brazil.

7

## 1512

**Juan Ponce de León**, the governor of Puerto Rico, discovered Florida.

8

## 1513, Sept. 25

**Vasco Núñez de Balboa** crossed the Isthmus of Panama and discovered the **Pacific Ocean**.

9

## 1515–16

**Juan Díaz de Solís**, chief pilot of Spain, searching for a strait to the Pacific, explored the coast of South America from the area of Rio de Janeiro to Río de la Plata, where he was slain by the indigenous inhabitants.

10

## 1517

**Francisco Hernández de Córdoba** discovered the Yucatán Peninsula.

11

## 1518

**Juan de Grijalva** followed the coast north from the Yucatán to the Panuco River.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Table of Contents

### Page 4

#### IV. The Early Modern Period, 1500–1800

##### A. Global and Comparative Dimensions

##### 1. New-Style Empires and States, 1500–1700

###### a. Gunpowder Empires

###### b. Other Emerging States

###### c. European National Monarchies

###### d. The New Context of the 18th Century

##### 2. Transformations of Major World Societies, 1500–1800

###### a. Commercialization

###### b. Worldview Reformations

##### 3. Global Interaction Networks

###### a. The Emerging World Economy

###### b. The Exchange of New Products

###### c. The Spread of Diseases

##### B. Early Modern Europe, 1479–1815

##### 1. Europe, 1479–1675

###### a. Overview

###### b. England, Scotland, and Ireland

###### c. The Netherlands

###### d. France

###### e. The Iberian Peninsula

###### f. Italy

###### g. The German Empire

###### h. Scandinavia

- [i. Russia](#)
      - [j. Poland-Lithuania](#)
      - [k. Bohemia](#)
      - [l. Hungary](#)
    - [2. Science and Learning, 1450–1700](#)
      - [a. Science](#)
      - [b. Inventions and Technology](#)
    - [3. Europe, 1648–1814](#)
      - [a. Economic and Social Changes](#)
      - [b. Intellectual Developments](#)
      - [c. Culture and Popular Culture](#)
      - [d. Science and Technology](#)
    - [4. European Diplomacy and Wars, 1648–1795](#)
    - [5. National Patterns, 1648–1815](#)
      - [a. England, Scotland, and Ireland](#)
      - [b. The Dutch Republic](#)
      - [c. France](#)
      - [d. The Iberian Peninsula](#)
      - [e. Italy and the Papacy](#)
      - [f. The Swiss Confederation](#)
      - [g. The Holy Roman Empire](#)
      - [h. Scandinavia](#)
      - [i. Poland](#)
      - [j. Russia](#)
- [C. The Middle East and North Africa, 1500–1800](#)
  - [1. Overview](#)
  - [2. The Middle East, 1501–1808](#)
    - [a. The Ottoman Empire](#)
    - [b. Iran](#)
    - [c. Afghanistan](#)
    - [d. Arabia](#)
  - [3. North Africa, 1504–1799](#)

a. Morocco

b. Algeria, Tunisia, and Libya

D. South and Southeast Asia, 1500–1800

1. India, 1500–1800

2. Southeast Asia, 1500–1800

a. The Malay Peninsula and Archipelago

b. Kedah

c. Aceh

d. Malaysia, 1509–1790

e. Maluku (Eastern Indonesia), 1500–17th Century

3. Mainland Southeast Asia, 1500–1800

a. Burma

b. Siam (Ayutthaya)

c. Cambodia

E. East Asia, c. 1500–c. 1800

1. Overview

2. China, 1522–1796

a. The Remainder of the Ming Dynasty

b. The Qing Dynasty

3. Korea, 1392–1800

4. Japan, 1542–1793

5. Vietnam, 1527–1802

F. The Pacific Region, 1513–1798

1. The Pacific Islands in Pre-European Times

2. European Exploration, 1600–1800

3. The Philippines, 1500–1800

G. Africa, 1500–1800

1. Overview

2. Regions

a. Sudanic West and Central Africa

b. Forest West Africa

c. Northeast Africa (Horn)

- d. East Africa
- e. West Central Africa
- f. Southern Africa
- g. Madagascar

#### H. Latin America, 1500–1800

1. The Spanish Conquest
2. The Caribbean and the Isthmus, 1499–1531
3. Venezuela and Nueva Granada, 1521–1549
4. Peru and the West Coast, 1522–1581
5. The Río De La Plata
6. New Spain, 1518–1574
  - a. The Conquest of Mexico
  - b. Expansion to the South
  - c. Expansion to the North and the Pacific Coast
  - d. The Gulf Coast, Florida, and the Carolinas
7. Foreign Encroachments and Territorial Changes, 1580–1800
8. The Spanish Colonial System, 1550–1800
  - a. Population Development
  - b. Administration
  - c. The Church and the Missions
  - d. Economic Conditions
  - e. Social and Cultural Evolution
  - f. Insurrections
9. Portuguese America, 1500–1815
10. The Portuguese Colonial System

#### I. North America, 1500–1789

1. Overview
2. Exploration and Settlement, 1500–1719
  - a. The French in North America
  - b. The English in North America
  - c. Dutch and Swedish Settlements
3. Colonial History, 1641–1737



- [a. New England](#)
  - [b. New York, New Jersey, and Pennsylvania](#)
  - [c. Virginia, Delaware, and Maryland](#)
  - [d. The Southern Colonies](#)
- [4. Wars of England with France and Spain, 1651–1763](#)
- [5. Reform, Resistance, and Revolution, 1763–1789](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [The Global Picture](#))

## **IV. The Early Modern Period, 1500–1800**

### **A. Global and Comparative Dimensions**

During the early modern period, the context of human affairs was changing dramatically. <sup>1</sup> Within the globalization of life, three major changes were of special significance. 1. **The development of new-style empires and large state systems that came to dominate global political and military affairs.** 2. The internal transformation of the major societies, but especially the transformation of society in western Europe. 3. **The emergence of networks of interaction that were global in their scope.** These developments reoriented the global balance of societal power. In 1500 there were four predominant traditions of civilization in the Eastern Hemisphere in a position of relative parity, but by 1800, one of these societies, the West, was in a position to assume political and military control over the whole world.

### **1. New-Style Empires and States, 1500–1700**

#### **a. Gunpowder Empires**

These empires established strong centralized control through employing the military <sup>2</sup> potential of gunpowder (naval and land-based siege cannon were particularly important). The major states of the Western Hemisphere were destroyed by European gunpowder empires while throughout the Eastern Hemisphere, regional empires developed on the basis of military power and new centralized administrations.

### **1453–1699**

**OTTOMAN EMPIRE.** The Ottoman conquest of Constantinople in 1453 brought an end <sup>3</sup> to the Byzantine Empire. The Ottomans emerged as one of the strongest empires in the world, employing artillery to support their cavalry and then creating the **Janissary**

**Corps**, an infantry using firearms. The new and expensive military was supported by the development of an effective bureaucracy. This centralized gunpowder empire rapidly expanded, conquering most of the Arab Middle East and the Balkan Peninsula. Ottoman forces laid siege to Vienna in 1529 and 1683 but did not capture this central European capital. However, in both eastern Europe and the Middle East the Ottomans remained essentially dominant until the war ending with the **Treaty of Karlowitz** (1699) (See [1699, Jan. 26](#)).

## 1492–1700

**THE IBERIAN EMPIRES.** Large maritime empires were created by the emerging monarchies on the Iberian Peninsula. European ship design enabled ships to carry cannons, giving them a military advantage over other ships in the 15th and 16th centuries. The **PORTUGUESE EMPIRE** expanded rapidly in the Indian Ocean basin but its largest stations in **Goa, Malacca, and Macao** were soon integrated into the local trade networks. Territories in **Brazil** and **southern Africa** were the only major territorial units within the Portuguese empire by the end of the 16th century. This overseas empire remained intact despite the problems of homeland, which included a forced union with **Spain** between 1580 and 1640. However, by the 17th century, the Portuguese empire had ceased to be a major world power. 4

The **SPANISH EMPIRE** expanded rapidly in the Western Hemisphere and gained control of all of Central and South America except Brazil (See [The Spanish Conquest](#)). Despite setbacks in Europe, Spain's overseas empire remained intact as the largest in the Western Hemisphere until the early 19th century. In the European context, Spain was joined with the Netherlands and Austria in the **HABSBURG EMPIRE** of **Charles V** (1519–58) (See [1519–56](#)) (See [1516–56](#)). This empire, though vast and powerful, lacked an effective central administration and geographic core, and soon divided. The **Spanish Habsburgs**, especially during the reign of **Philip II** (1556–98), were a major power on the European continent but were weakened by a long series of wars with France; the **Treaty of the Pyrennes** (1659) marked the end of Spanish dominance. The last Habsburg king of Spain died in 1700, and the long disintegration of the Spanish Empire was hastened by the **War of the Spanish Succession** (1701–14) (See [1701–14](#)). 5

## 1526–1707

**MUGHAL EMPIRE.** India was conquered by the Mughals, Muslim invaders from central Asia led by **Babur** (1483–30), a military adventurer. Small Mughal armies defeated huge Indian armies through effective use of firearms. Artillery enabled Mughal 6

rulers to control local notables, and after the conquest of all of India, significant administrative reorganization during the reign of **AKBAR** (1556–1605) established a major centralized gunpowder empire. Dynastic disputes and attempts to impose a standard form of Islam along with drastic limitations on the practice of **Hinduism** led to growing conflict, and, following the death of **Aurangzeb** (r. 1658–1707), Mughal power rapidly declined, though the empire technically lasted into the following century.

## 1501–1722

**SAFAVID EMPIRE.** In the instability following the disintegration of the empire of Timur-I Lang (See [Major Interregional Expansions](#)), various tribal and religious groups competed for power. The **Safavids**, under the leadership of **SHAH ISMAIL** (r. 1502–24), conquered most of present-day Iran and established a state whose official religion was **Shi'ite Islam**. The early state had a traditional military structure, but **SHAH ABBAS I** (r. 1587–1629) created a gunpowder-based military force that enabled him to further centralize control. However, internal conflicts arose between the imperial and traditional military forces, and under the weak leadership of Shah Abbas's successors, the Safavid state disintegrated by 1722 and was replaced by the rule of a warrior-adventurer, **Nadir Shah** (r. 1736–47), who was a successful conqueror but was unable to establish an effective centralized state (See [1737–38](#)). 7

## 1462–1725

**RUSSIAN EMPIRE.** In central Eurasia, the huge Russian Empire began to emerge in the 15th century under the leadership of the Grand Duke of Moscow, **Ivan III** (r. 1462–1505), who created an effective artillery and a centralized absolutism that enabled him and his successors to conquer the other Russian city-states and, by the end of the 16th century, free them from the old Mongol domination. By the early 18th century, the military power and centralized absolutism of the Russian Empire brought the superiority of nomadic cavalry to an end and the Eurasian steppes into the ecumene. The modernizing efforts of **PETER THE GREAT** (r. 1689–1725) brought Russian power to near parity with its European and Ottoman neighbors and superiority over the central Asian Muslim and Chinese states to the east. 8



## b. Other Emerging States

In addition to the great empires that were based on centralized administration and gunpowder weaponry, other types of states developed. These ranged from empires that continued more traditional approaches of ruling to new centralized national monarchies with potential for significant expansive power. All were departures from the standard postclassical systems. 1

### 1644–1722

**QING DYNASTY IN CHINA.** Manchus in areas northeast of China established an effective state, in the later years of the **Ming dynasty**, which combined nomadic war skills with Chinese administrative ideas. In 1644, the Manchus took control of Beijing and established the **Qing dynasty**, which ruled China until 1911. During the first century of Qing rule, when it gained control of Tibet, Xinjiang, and Outer Mongolia, the Chinese Empire became larger than it had ever been except in the greatest days of the T'ang dynasty. The Qing maintained the **examination system** and the structure of the **scholar-gentry bureaucracy**. The Manchu military was well organized but was not primarily a gunpowder-based force. However, the Qing use of artillery in crushing a major Mongol force led by **Galdan** in 1696 marked the end of serious nomadic military threats on the inner Asian frontiers. Similarly, the **Treaty of Nerchinsk** (1689) (See [1689](#)) between Russia and China essentially divided central Asia, reflecting the end of independent nomad power as a force in world history. The reign of **KANGXI** (1661–1722) (See [1661–1722](#)) marked the high point of Qing power. 2

### 1543–1853

**JAPANESE CENTRALIZED STATE.** Japan emerged from an era of political turmoil with the careers of three prominent military leaders who defeated local military nobles 3

and reestablished strong central control. Firearms, introduced into Japan in 1542 or 1543, played an important role in the unification process through the power that they gave to these three commanders. **Nobunaga** (1534–82), the first, gained control of central Honshu Island, and his successor, **TOYOTOMI HIDEYOSHI** (1537–98), destroyed the power of the last resisting local lords and tried to establish a mainland empire by invading Korea in 1592 and 1597. Although these efforts failed, Japanese unification was continued following Hideyoshi's death when a former vassal, **TOKUGAWA IEYASU** (1542–1616), defeated rival commanders in 1600. He established the **TOKUGAWA SHOGUNATE** (See [1600–1867](#)), which initiated a period of almost two and a half centuries of internal stability. Important keys to this era of peace were a policy of relatively rigid isolation (enforceable because of Japan's island location, strict limitations on foreign religions, and the maintenance of the old **Samurai** warrior-gentleman domination, which involved the imposition of strict controls on guns and a return to more traditional weaponry. The coming of the American ships commanded by **Matthew Perry** in 1853 brought a formal end to this long era.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [European National Monarchies](#)

At the beginning of the early modern era, political leaders and systems in Europe responded in many ways. Some established strong institutions of centralized control and administration, frequently with the aid of gunpowder weaponry. This process strengthened the monarchy as the most visible central institution and opened the way for expansion. Other states were unable to establish effective central control and gradually became minor elements on the continental and global scene. The turning point in many areas was the **ending of wars of religious division and national consolidation** by the second half of the 17th century. 1

**FRANCE** emerged from the One Hundred Years' War of the 15th century with an independent monarchy and substantial territory. After a period of internal and external wars, the development of a strong centralized monarchy made France the foremost continental power in Europe and a global imperial power. By creating a highly effective gunpowder-based army and a centralized bureaucracy, France represented the culmination of the age of the gunpowder empires. During the reign of **LOUIS XIV** (r. 1643–1715), the transition to centralized national monarchy and the modern state had begun (See [1643–1715](#)). 2

**ENGLAND**, under the **TUDORS**, developed a centralized monarchy with an increasingly professional administration. After the subsequent civil war, the monarchy was restored in 1660; it was not absolute in the same sense as the emerging French monarchy, but the absolute power of the central government, combining the monarchy and parliament, was established. The Puritan **New Model Army** laid the foundations for a permanent standing army for the central government. By 1700 an administratively and militarily centralized state emerged in England. 3

**SWEDEN** emerged as a unified monarchy under the **House of Vasa** in the 16th century. A centralized administration helped the monarchs reduce the power of the aristocracy. Under **GUSTAVUS II ADOLPHUS** (1611–32), Sweden became a major power and its army was in the forefront of the development of disciplined musket warfare. Sweden unsuccessfully tried to establish a North American trading colony in **Delaware** (1638–55). A long series of wars and costly efforts to create a northern European empire 4



reduced Sweden's influence and power. By the end of the **Great Northern War** (1700–1721) (See [1700–1721](#)), aristocratic and parliamentary forces had placed limits on the powers of the monarchy internally, and the rise of Russia and Prussia effectively ended Swedish expansion. The Swedish experience showed that an efficient central administration and a strong gunpowder military could provide the basis for significant power but did not inevitably result in the creation of a large empire or long-term great-power status.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **d. The New Context of the 18th Century**

Outside Europe, the older pattern of the rise and decline of major states continued, with the predominant gunpowder states entering periods of reduced effectiveness. However, in Europe, the development of the centralized monarchies opened the way for growing power at the beginning of the great socioeconomic transformations of early modernization. <sup>1</sup>

### **1700–1800**

**NON-EUROPEAN EMPIRES.** The **OTTOMAN EMPIRE** continued to be a major power but lost a series of wars and considerable territory, especially to Russia and Habsburg Austria. The administrative system and the military became increasingly ineffective as corruption and internal rivalries grew. Local governors in Egypt, North Africa, and the Balkans grew more independent, and attempts at administrative and military reform had little effect. Finally, a more comprehensive reform effort strongly influenced by European models as undertaken by **SELIM III** (1789–1807), but he was overthrown by conservative opponents of reform (See [1789–1807](#)). The **MUGHAL EMPIRE** experienced succession conflicts and the growing power of provincial governors (See [1526–1761 \(1857\)](#)). Mughal authority was seriously threatened by a revival of Hindu forces under the **Marathas** and the **Rajputs** and the emergence of the **SIKHS** as a new militant religious community (See [1500](#)). However, the expansion of European powers brought the Mughal Empire to an end. Portuguese influence declined and was replaced by the growing power of the **EAST INDIA COMPANIES** (See [1761, Jan. 14](#)) of the British, French, and Dutch. In a series of conflicts, the British ultimately defeated the Dutch (1759) and the French (1763). The **English East India Company** gained full control of Bengal and Bihar by 1764 but ruled in the name of the Mughal emperor. By the early 19th century, the British controlled nearly all of India. The formal end of the Mughal Empire followed a major revolt in many areas of northern India in 1857–58. The last Mughal was deposed, and in 1858 **THE GOVERNMENT OF INDIA ACT** by the British Parliament created direct rule by the monarch of England, ending <sup>2</sup>

government by the **East India Company** and the **Mughals**. Other major non-European empires also declined during the 18th century. The collapse of the **Safavid** state in Iran brought a period of warfare and disunity to Iran. By the end of the 18th century, the **Qing dynasty** in China exhibited the characteristics of decline. The strength of the military was reduced; the bureaucracy became increasingly corrupt and inefficient. Large-scale revolts, like that of the **White Lotus Society** (1796–1804), emphasized the growing weakness of the empire (See [1796–1804](#)).

**EMERGING GREAT POWERS.** Some states in Europe made an important transition during the 18th century to new centralized systems that could draw strength from the growing commercialization of society and the beginnings of industrialization. As a result, by the end of the century, **France, Great Britain, and Prussia**, along with the **Russian Empire**, displaced **Spain, Habsburg Austria, and Portugal** as major powers in European and global affairs. The **Dutch Republic** became a preeminent commercial power with large overseas possessions but was not a significant military presence. 3

**ROYAL ABSOLUTISM** was the primary force in developing strong central governments in some of the emerging powers. **FRANCE** was earliest, with the effective absolutism of **LOUIS XIV** (r. 1643–1715), but his successors were less effective and French monarchical absolutism came to an end with the **FRENCH REVOLUTION**, beginning in 1789 (See [Overview](#)). During the reign of **Frederick II, the Great** (1740–86), Prussian royal absolutism and great-power status were confirmed. **RUSSIA** modernization, centralization, and expansion in both Europe and Asia were strengthened by **CATHERINE THE GREAT** (r. 1762–96) as Russia became a major intercontinental power, with some overseas expansion into North America and northern Pacific islands. The **AUSTRIAN HABSBURGS** gained territories at the expense of weaker neighbors like Poland and the Ottoman Empire, but were less successful than Prussia and Russia in improving the effectiveness of their royal absolutism. The reforms and policies of **Maria Theresa** (r. 1740–80) and **Joseph II** (r. 1780–90) were not sufficient to create administrative unity among the scattered Habsburg domains. In **SPAIN** and **PORTUGAL** reform efforts by leaders like the **Marquis de Pombal** in Portugal failed to revive effective state power. In **POLAND** the state simply ceased to exist as nobles limited the ability of monarchs to institute reforms and Russia, Prussia, and Austria took control of all of Poland in three partitions (1772, 1793, 1795) (See [1794, March 24](#)). 4

**PARLIAMENTARY STATES.** The centralized parliamentary state in **ENGLAND** provided the effective support for expansion. English colonial settlements in **North America** and the expansion of the **East India Company** in India created a global empire during the 18th century. After its successful revolt against Habsburg control at the beginning of the 17th century, the **DUTCH REPUBLIC** emerged as a significant commercial power. The Dutch created an overseas empire with holdings in North and South America, South Africa, and the Indian Ocean basin, especially in southeast Asia; its wealth made it an important political force in Europe. By the middle of the 18th 5

century, it had become a minor European power and its commercial preeminence was lost to Britain, although the Dutch still maintained a small but important overseas empire.

**“WORLD WARS” OF THE 18TH CENTURY.** Many of the conflicts among the European powers involved clashes beyond the European continent. They were primarily European wars fought on a global scale, with two chief lines of conflict: the struggle for continental domination in Europe and the battle for control of overseas colonies and naval access to them. In the continental struggle, **France, Prussia, and Russia** became the great powers, and in global maritime empires, **Great Britain** was the major force. The European names of the most important global wars in creating this power structure are the **War of the Spanish Succession** (1701–14) (See [1701–14](#)), which began the reduction of French power in North America; the **War of the Austrian Succession** (1740–48) (See [1740–48](#)); and the **Seven Years' War** (1756–63), which resulted in France's loss of most of its overseas empire in India and North America; finally, there were the wars of the era of the **French Revolution** and **Napoleon** (See [Overview](#)), which were fought in North America, Asia, and Africa as well as in Europe.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. Transformations of Major World Societies, 1500–1800

The major world societies experienced significant social transformations in the early modern era. The most comprehensive changes took place in the **West**, where the city-centered but agricultural societies typical of premodern civilizations were transformed by 1800 into early **industrial societies**. Important changes also altered the nature of other major world societies in this era. Two important lines of internal change involved (1) the **commercialization of societies** and (2) reorientations of worldviews in what frequently took the form of **religious reformations**. 1

### a. Commercialization

Commercialization involved changing structures of regional and national economies as well as the growing globalization of commercial networks and their increasing domination by western European organizations and states. The growth of global trade in the 16th century was part of a transformation involving increasing importance of markets and specialized production of agricultural and manufactured goods. This commercialization of economic life had significant effects on all of society. 2

**EUROPEAN TRANSFORMATION.** Western Europe experienced a **Commercial Revolution** that had a major impact during the 16th century. Growing global contacts increased demand for a variety of goods in Europe. The development of new overseas colonies in the 16th and 17th centuries provided both new products and new markets. The influx of gold and silver from the Spanish possessions in the Western Hemisphere increased the monetarization of European national economies and provided the basis for growing demand and price inflation. The development of more effective methods of managing trade and investment heightened the impact and extent of commercialization. Emerging institutions like **national banks** and **chartered companies** provided the means for expanding commercial activities. What was in effect an **AGRICULTURAL REVOLUTION** took place by the 17th and 18th centuries. New products like potatoes and maize from the Western Hemisphere and new farming techniques and technologies 3

transformed old peasant agriculture, providing more food for expanding cities and growing numbers of workers who were peasants displaced by new farming methods. Processed products like refined sugar and manufactured textiles became important for the general population. Agricultural developments in this way further strengthened the commercialization of societies. The **INDUSTRIAL REVOLUTION**, especially in Great Britain and France, transformed the means, methods, and concepts of production and gave immense economic power to those societies that industrialized in this early modern era. By 1800 much of western Europe no longer comprised basically agricultural societies with growing commercialization. Instead, the profound transformation to industrial societies had begun.

**WESTERN HEMISPHERE. European colonies in the Western Hemisphere effectively eliminated the independent indigenous societies.** Local populations decreased disastrously during the 16th century, and European immigrants and African slaves became important elements in the emerging societies. In the north, **French** and **British** settlement colonies were integrated into the larger commercial networks through trade in furs, forest products, naval stores, and similar goods. In the **Spanish** Caribbean and South American colonies and in **Portuguese** Brazil, highly commercialized plantation economies producing sugar and other popular export products made these regions an important market for African slaves and a significant element in the emerging global trade networks. The Americas provided vital raw materials but the terms of trade were established by European commercial companies, which dominated shipping and provided manufactured and luxury goods. By the 18th century, many of these colonies were nearing the ability to assert independence from the imperial center. The first to succeed were 13 of the British North American colonies in the **American Revolution** (1776–83). In 1794, **Haiti** gained its independence, and most of the rest of **Central** and **South America** followed in a series of revolutions in the early 19th century. These revolutions did not, however, represent the emergence of industrial societies, except in the new United States to a degree. Instead, both colonies and independent states in the Western Hemisphere (including the U.S. South) remained commercialized agricultural societies tied to the European economies.

**ISLAMIC SOCIETIES** experienced significant changes that also represented the increasing commercialization of economic life. In the **Ottoman Empire**, a growing monetarization of the economy occurred contemporaneously with a significant movement of peoples from rural to urban areas. Development of urban manufacturing and the increased production of cash crops like cotton changed urban and rural social institutions. During the same period, the diversion of Asian trade away from Muslim intermediaries, first as Portuguese and then as Dutch and British commercial activities expanded in the Indian Ocean, proved deleterious to Ottoman merchants, as did the price inflation resulting from the influx of American silver. The Ottoman government and ruling elite tended not to be directly involved in commercial and manufacturing activities, and these areas gradually came under the control of non-Muslim Ottoman subjects and European

commercial interests. Special exemptions, or **capitulations**, for European merchants from Ottoman law began to be granted with an agreement with France in 1536; these extraterritorial rights meant that outsiders gained increasing control of Ottoman commercial life by the end of the 18th century. In the **Safavid Empire**, the changes were similar but less significant. The Safavid ruler, Shah Abbas I (r. 1587–1629), encouraged the manufacture of luxury textiles, and Safavid shahs worked first with Portuguese and Dutch and later with British commercial interests to integrate Iran into the broader patterns of world trade. However, the Iranian economy was less commercialized, and after the fall of the Safavids in the early 18th century, instability and wars led to economic disorganization and increasing control of large-scale economic activity by Europeans. The military power of the **Mughal Empire** did not deter the expansion of Portuguese and then French and British commercial interests. The great East India Companies gradually took increasing control of Indian economic life. This process involved a significant commercialization of the society, as new agricultural products were developed for world markets and a broad, controlled internal market economy emerged. All of these changes took place in the context of the military and political developments that led to British domination of India by the end of the 18th century.

**CHINA** experienced significant changes but was the most successfully conservative of the major urban-agrarian societies. The establishment of the **Qing dynasty** in 1644 provided a strong central power that could afford to pay relatively little attention to developments elsewhere. Yet the stability of the early Qing period opened the way for expanded production of important export products like tea, silk, and porcelain. China also benefited from the influx of American silver into the world markets. In addition to the commercial growth and prosperity of the merchant classes, there was a significant growth in population and in large cities as new agricultural products increased food supplies. However, this prosperity tended to occur outside the areas of state control, and by the end of the 18th century the cultural conservatism of the Qing period had laid the foundation for the loss of control of both politics and the economy to European powers.

**AFRICAN SOCIETIES** also experienced significant transformations in the early modern era. Until the age of European expansion beginning in the 15th century, the primary interaction of African societies with other parts of the world had been with the Islamic world, along a frontier across the continent that, by the 15th century, extended from the Atlantic to the Indian Oceans just south of the Sahara and along the east African coast. East Africa, in the longer span of world history, had also participated in the broad cultural and economic exchanges of the Indian Ocean basin. **European expansion changed the orientation of movement of peoples and goods from the old north-south axis to movement toward the coastal regions.** This had already been an important direction of movement in east Africa under the influence of Muslim merchants, but it represented a dramatic transformation for much of the rest of Africa.

The most important dimension of the commercialization of African economies was the



development of the large-scale **SLAVE TRADE**, especially in the Atlantic region. The growth of the colonial plantation economies created a vast market that was filled by slaves from Africa. In the process African societies, especially along the Atlantic coasts, were transformed by political reorganization and depopulation. The importation of **firearms** gave impetus to the establishment of more centralized west African states, like the kingdoms of **Ashante** and **Dahomey** (See [c. 1575](#)) (See [c. 1630–70](#)).

Commercialization of societies had profound effects in different African regions by changing the nature of political systems and the orientation of trade.

**COMPARISONS.** In the early modern era, many societies experienced important economic transformations. In western European societies these changes led to increased strength and expansion. In other parts of the world, the results were very different. Local economies in the Western Hemisphere were destroyed by European expansion, and the new commercialized colonial economies retained a dependence on Europe despite the achievement of political independence. In the major urban societies of the Eastern Hemisphere, local economies experienced a significant reorientation by the end of the 18th century, also coming under the European influence. By 1800 the leading world economies, earlier a network of interacting but autonomous urban-centered, agrarian economies, had become a vast global network of commercialized societies dominated by the economic power of western European societies. In this transformation, western Europe had emerged as an assembly of independent industrial societies while the rest of the world entered the era of industrial society in a dependent condition.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **b. Worldview Reformations**

In the major regional civilizations in the Eastern Hemisphere, the comprehensive religious syntheses that developed in the postclassical era were challenged in a number of ways. In general terms, there were efforts to articulate the basic themes of the traditions of world religions in new ways, sometimes resulting in **reformations** and sometimes in the creation of new religions and, more dramatically, in the emergence of altogether new worldviews by the end of the 18th century in western Europe. 1

**EUROPEAN TRANSFORMATION.** In western Europe, the changes involved significant challenges to the postclassical synthesis. In the **Renaissance** of the 15th and 16th centuries, there was a rebirth of interest in and respect for classical Greek and Roman thought. The foremost challenge to the comprehensive synthesis of the **Christian scholasticism** of **Catholic Christianity** emerged with the **PROTESTANT REFORMATION** of the 16th and 17th centuries. In this, the authority of the Roman Church to define doctrine and practice was challenged in a variety of ways by Protestant leaders like **Martin Luther** and **John Calvin**. Nevertheless, all of these challenges remained within the framework of **Western Christianity** and accepted the authority of the **Bible**. By the 17th century, the beginnings of the **SCIENTIFIC REVOLUTION** marked the start of a wholly new style of cosmology and worldview that came to characterize the modern approach. This approach did not necessarily reject traditional religious beliefs but tended to see them as only indirectly relevant to understanding the natural world. In the 18th century, the beginnings of modern **secularism** sought to separate religion from other areas of life, especially the political. By the end of the 18th century, foundations were created for modern worldviews and cosmologies which transformed rather than simply reformed the religious traditions of western Europe. 2

**NON-EUROPEAN WORLDVIEWS** also experienced a variety of reformations. In the **ISLAMIC WORLD**, the establishment of **Shi'ite Islam** as the religion of the Safavid Empire brought renewed prominence to Shi'ism and a new era of Sunni-Shi'ite conflicts in the wars between the Ottoman and Safavid states. In the world of **Sunni Islam**, challenges to the postclassical synthesis assumed a number of forms by the 18th century. The tolerant missionary approaches of Sufi teachers in various regions allowed for inclusion of pre-Islamic elements in the practices of newly converted societies. By the 3

18th century, activist reform movements in a number of regions sought to bring local practices in line with stricter interpretations of the Islamic tradition. In **West Africa** a series of puritanical movements and holy wars began with the jihad of **Karamoko Alifa** (d. 1751) in the Futa Jallon region of modern Guinea and culminated with the holy war of **Usuman dan Fodio** (1754–1817) (See [1754, Dec. 15](#)) in the area of modern Nigeria. **Abd al-Ra'uf al-Sinkili** (d. after 1693) expressed a similar reforming spirit in Aceh in Sumatra. **Muhammad ibn Abd al-Wahhab** (1703–92) (See [1745](#)) established a major puritanical reform tradition in Arabia which remains the foundation for the fundamentalist Saudi state today. In India a comprehensive examination of Islamic thought and practice in light of the decline of Muslim power was undertaken by **Shah Wali Allah al-Dihlawi** (1702–62), whose ideas provide the basis for much of modern Islamic thinking in south Asia. Within the central parts of the Ottoman Empire were a variety of reformers who were more politically oriented. In general terms, important aspects of the postclassical synthesis were rearticulated in Islamic reformations, but the overall structure of faith and practice remained intact at the end of the 18th century.

**HINDUISM** developed in a number of directions as a result of internal developments and in response to the challenges of Muslim rule. One such response constituted an attempt at reformulations that could combine Islamic and Hindu elements. For instance, **Nanak** (1469–1539) (See [1500](#)) created a body of devotional literature that became the starting point for **SIKHISM**, a new religion that emerged during the 16th century. The Mughal emperor **Akbar** (1556–1605) tried unsuccessfully to establish a syncretistic court religion that could bring together the different religions of India. Within mainstream Hinduism, reform further developed in the traditions of popular devotional piety, including the special worship of **Rama** that emerged after the composition of the *Ramcaritmanas*, a retelling in the Hindi language of the story of the ancient hero Rama by the poet **Tulsi Das**, around 1575.

**NEO-CONFUCIAN SYNTHESIS** in China remained dominant throughout the later Ming and the Qing dynasties. Confucianism also gained new influence in China. The writings of Zhu Xi remained authoritative and officially sanctioned, but the thought of **Wang Yang-ming** (1472–1529) provided an idealist alternative Confucian tradition that strongly influenced reformers in the 19th and 20th centuries in both China and Japan.

**COMPARISONS.** While all of the prominent worldview traditions underwent some significant reformulation of basic positions, it was only in western Europe that, in addition to renaissance and reformation experiences, there was a major transformation of worldview. Here modern worldviews emerged as the dominant perspective by the end of the 18th century, rather than as reformed postclassical traditions.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### 3. [Global Interaction Networks](#)

In the early modern era a number of global patterns of interaction developed. These emerging networks, which created a worldwide context for human activity, involved (1) the more consciously organized commercial activities, (2) the exchange of new products, and (3) the spread of diseases. <sup>1</sup>

#### a. [The Emerging World Economy](#)

The commercialization of societies opened the way for the commercialization of global interactions. In the 16th century, local and regional networks of commercial exchange continued to be of great importance. The Mediterranean and Indian Ocean basins remained important zones of interaction, and the growth of the European-controlled oceanic trade created new regional networks in both the Atlantic Ocean and the Pacific Ocean. These large zones became increasingly interconnected and integrated with the older continental overland routes of Asia and the emerging continental systems of Russia and Europe and in the Western Hemisphere. By the end of the 18th century, maritime trade represented a European-controlled global commercial network in which products from nearly every part of the world were exchanged. <sup>2</sup>

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## **b. The Exchange of New Products**

An important part of the growing global integration of the early modern era was the exchange of many new goods and products both interregionally and globally (called the “Columbian exchange”). Agricultural goods from the Western Hemisphere had a profound impact on societies throughout the Eastern Hemisphere. The introduction of **maize** and **potatoes** aided in the rapid growth of population in China, Africa, and western Europe, and **tobacco** changed lifestyles around the globe. In the Western Hemisphere the introduction of new domesticated animals like **horses** and **cattle** transformed indigenous societies in many areas even before their conquest by Europeans. A special case of product exchange that had a major impact on global economies was the rapid increase in the available quantities of precious metals used for money, especially **SILVER** from the Spanish colonies in the Western Hemisphere. In some areas of Europe the growing money supply increased demand and encouraged productivity, thereby strengthening the economy. This was an important part of the economic growth in **England, France, and Holland** and may have played a role in the decline of **Spain**. It had a negative impact in those areas where the power of ruling elites was associated more with ownership or control of land. Outside western Europe, the influx of American silver appears to have bolstered commercial elements and to have aided the growing European economic dominance.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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### **c. The Spread of Diseases**

A tragic dimension of early modern global interactions was the exchange of diseases. Populations in the Western Hemisphere lacked established immunities to diseases that were common in the Eastern Hemisphere. As a result, epidemics of **SMALLPOX**, **measles**, and other diseases killed whole populations in some regions and more than half of the total population of the hemisphere. In global terms, the increasing levels of contact and population movements created a more uniform level of contact with diseases and immunity. Great plagues like the Black Death of postclassical times became less common, and by the end of the 18th century, pandemic diseases had less ability to destroy entire populations. (See [Global and Comparative Dimensions](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

(See [Overview](#))

## **B. Early Modern Europe, 1479–1815**

The early modern period in Europe can be said to begin around 1648. Between 1500 and 1648 dominant trends reflected intense religious conflict and colonial expansion. After 1648 the emphasis shifted to the activities of national monarchies and their mutual wars as well as the rise of science. Popular unrest receded somewhat, but profound changes in beliefs and in economic activities took shape beneath the surface. 1

Many trends in eastern Europe differed from those in the West. Eastern Europe saw a tightening of serfdom, rather than the rise of wage labor and the growth of commercial cities. Soon after 1648, however, eastern Europe began to share in many of the intellectual and political trends of the West, and a more European-wide diplomatic framework emerged. 2

### **1. Europe, 1479–1675**



EUROPE ABOUT 1520 (MAP)

#### **a. Overview**

The **reformation** of the Christian Church, launched in 1517 by the Augustinian friar **Martin Luther** (1483–1546), had profound political, social, and economic as well as religious consequences that redounded throughout the entire period. Religious beliefs became conflated with national sentiment and political ambitions, with economic goals and perceived social injustices; and religious schism, civil and international wars, and domestic revolts ensued. The Roman Catholic Church responded to calls for reform with 3

the establishment of new religious orders (notably the Society of Jesus, or **Jesuits**); with the **Holy Office**, which investigated heresy; and with the **Council of Trent** (1545–63), which defined doctrine (notably on the issue of **marriage**) for the next four centuries.

Meantime, the centuries-old European **expansion accelerated**. Overseas expansion broadened the geographical horizons of Europeans and brought them into confrontations with ancient civilizations in the Americas, Africa, and Asia. These conflicts led first to conquest, then to exploitations, and eventually to economic changes in both Europe and overseas territories. For example, gold and silver from Mexico and Peru which began to flow into Europe in 1503 caused a continent-wide inflation between 1550 and 1565 (though the peak period of Spanish bullion imports was 1580–1620). American **potatoes, tomatoes, and maize** (Indian corn) began to revolutionize Europeans' diet. By 1575 Europe participated in the first truly **global economy**, paying for Asian silks, spices, and porcelain, Persian carpets, and Ottoman Turkish kilims with South American silver.

**Furniture and house decor** testified to rising bourgeois wealth, to economic and cultural change: chairs; cupboards, dressers, and sideboards that supported gold, silver, and pewterware and held supplies of table and bed linens, laces, and brocades; canopied four-poster beds; and mirrors and paintings. Ceramic tile floors were common by the 17th century, as were, in wealthy homes, oak parquet floors often covered by Ottoman Turkish or Persian rugs. Such luxuries were depicted in the paintings of Ghirlandaio, Jan van Eyck, Holbein, and the Venetians Carpaccio and Crivelli, reflecting the close commercial ties between Venice and the Ottoman world. In the 16th century, transparent glass **windowpanes** spread so rapidly that by the 1560s prosperous peasant homes had them, although in eastern Europe, even the grandest houses continued to cover windows with oiled paper. The indoor **water closet** (toilet), invented by the Englishman **Sir John Harrington** in 1596, was a luxury everywhere before the 18th century. By the mid-17th century, the houses of wealthy Dutch merchants displayed a conspicuous consumption.

The **expansion of the Ottoman Turks** into southeastern Europe provoked great fears and preoccupied Europeans far more than did “discoveries” and developments in Asia and the Americas.

The 17th century opened with **agricultural and commercial crises** that had serious social and political consequences. Colder, wetter weather meant shorter farming seasons, which in turn meant smaller harvests, food shortages, and widespread starvation. The output of textiles also declined. The **Thirty Years' War** (1618–48) in Germany, which at some point involved most of the states of Europe, proved the greatest economic disaster for Germany before the 20th century. The **widespread use of gunpowder** increased the costs and destructiveness of war while reducing its glamour. To finance the larger armies that warfare required, governments resorted to heavier taxation mainly on overburdened peasantry, sparking revolts. To free themselves from the restrictions of competing institutions (such as the churches) or social groups (such as the nobilities),



governments claimed to possess **sovereignty**, the right to make law for all people, a monopoly over the instruments of justice (the courts), and the use of force (police and state armies). In the process two patterns of government began to emerge in the early 17th century: **absolutism and constitutionalism**.

**Peasant and urban workers' revolts** erupted frequently between 1550 and 1650, cresting around 1648, because of bad harvests that led to widespread starvation, extraordinary royal and seigniorial taxation, and rampant pillaging by soldiers during the Thirty Years' War. A new class structure was taking shape with a growing group of **landless wage laborers** at the bottom, and this process mobilized many groups in its early phases. Radical outbursts in London, Lyons, Bordeaux, Naples, Salerno, Palermo, Granada, Cordoba (where women led the rebellion), Salzburg, parts of the Swiss cantons, Lithuania, and Moscow often had an egalitarian flavor and, in urban centers, reflected the **growth of class consciousness** among wage laborers. These revolts, in the towns in western Europe and in the countryside in eastern Europe, constituted the most widespread movements of social protest before 1848.

8

## Cultural Changes

Although **skepticism, sexism, and racism** originated in ancient times, during the age of religious wars these attitudes took on distinctively modern forms. New religious conflicts spurred **changes in popular beliefs**, while **segments of the European elite** (including Catholic as well as Protestant leaders) tried to discipline many traditional values and behaviors.

9

**Skepticism**, which is based on the doubt that certainty, especially religious certainty, is ever attainable, rejected dogmatism and increased secularism. The French essayist **Michel de Montaigne** (1533–92) is perhaps the best representative of early modern skepticism, which was ultimately linked to, though modified by, the **rise of science**.

10

**Witchcraft** was an integral part of the mental climate of the age. Educated as well as illiterate people (the French political philosopher Jean Bodin (1530–96) and the English jurist Sir Edward Coke (1552–1634) are just two examples of the former) believed in the existence of witches. They were popularly described as old women (but sometimes children and young women) who convened for sabbath (midnight assemblies), worshiped, engaged in sexual orgies, and made pacts with the devil (thus renouncing Christian baptism), in return for which they acquired powers to control natural forces such as storms, destroy crops, harm cattle, or incapacitate human genitals. Almost all witches seemed to come from the lower levels of society and were female: the poor, the aged, the senile, and those least able to defend themselves. In the period 1470–1700, 5,417 women were executed (by burning or hanging) in the Swiss Confederation; in 1559–1736, 1,000 women were executed in England; and in 1561–1670, 3,229 women

11

were executed in southeastern Germany. Some possible explanations for these persecutions: pervasive misogyny; treatment of the poor as scapegoats in times of economic and social distress, when outbursts of hysteria toward witches most often occurred; identification of these women with heresy; a desire to control, or to have the appearance of controlling, the scientifically inexplicable and uncontrollable; and a means of eliminating the social nonconformist.

**Racism.** Europeans carried to the Americas **racial stereotypes** derived from Christian theological speculation and from Muslim theories: that the color white represented light and godliness and that black stood for the hostile forces of the underworld; that sub-Saharan Africans' morals were heathen, their languages barbarous; that Blacks possessed an especially potent sexuality; and, according to the Muslim traveler Ibn Khaldun, that Blacks readily accepted slavery "owing to their low degree of humanity and their proximity to the animal stage." Such absurd hypotheses provided justification for and rationalization of slavery.

12

#### Estimates of Population Growth, 1500–1648

France:	12 to 15 million
Spain:	6.5 to 7.5 million rise (in addition to heavy emigration to the Americas)
Holy Roman Empire:	steady at 8 million (the Thirty Years' War took about 8 million lives)
Italy:	10 to 12 million
Low Countries:	2.5 to 3.5 million rise
British Isles:	5 to 7.5 million rise
Scandinavia:	2 to 2.5 million rise

(See [Europe, 1648–1814](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1485](#)) (See [1460–88](#)) (See [1449](#))

## b. [England, Scotland, and Ireland](#)

### 1485–1603

#### HOUSE OF TUDOR.

1

### 1485–1509

**HENRY VII.** Henry's first act was to imprison the **earl of Warwick**, son of the duke of Clarence. His first parliament (1485) confirmed the crown to him and his heirs. Though the traditional medieval checks on the power of the crown were maintained in theory, in practice Henry went a long way toward developing royal power—establishment of the administrative court later called the **Star Chamber** (1487), suppression of recalcitrant nobles and livery and maintenance (private armies clothed and supported by nobles and representing a resurgence of feudalism) (See [1066–72](#)), development of an efficient if arbitrary royal financial system.

2

### 1494

**STATUTE OF DROGHEDA** (Poyning's law): (1) No Irish parliament should be held without the consent of the king of England. (2) No bill could be brought forward in an Irish parliament without his consent. (3) All recent laws enacted in the English parliament should hold in Ireland.

3

### 1496

**Percy Warbeck**, a Fleming, and James IV of Scotland invaded England. In 1497 a formidable insurrection broke out in Cornwall on occasion of an imposition of a tax by parliament. It was suppressed by the defeat at **Blackheath** (June 22, 1497), and the leaders executed (Flammock). **Peace with Scotland** (Sept. 1497). Warbeck was soon taken and imprisoned in the Tower.

4

## 1496

*Intercursus magnus*, commercial treaty with Netherlands, granted mutual privileges to English and Flemings and provided fixed duties. Support of the wool trade; taxes on that trade augmented Henry's treasury and made him financially independent of parliament.

5

## 1501

Marriage of Henry's eldest son, Arthur, and Catherine of Aragon of Spain.

6

## 1502

Marriage of Henry's eldest daughter, Margaret, with James IV, king of Scotland.

7

## 1509–47

**HENRY VIII**. He was six times married: (1) **Catherine of Aragon**, widow of his brother Arthur, mother of Mary the Catholic (married on June 3, 1509, divorced on March 30, 1533). (2) **Anne Boleyn**, mother of Elizabeth I (married on Jan. 25, 1533, beheaded on May 19, 1536). (3) **Jane Seymour** (married on May 20, 1536, died after the birth of her son Edward VI, on October 24, 1537). (4) **Anne of Cleves** (married on Jan. 6, 1540, divorced on June 24, 1540). (5) **Catherine Howard** (married on Aug. 8, 1540, beheaded on Feb. 12, 1542). (6) **Catherine Parr** (married on July 10, 1543, outlived the king).

8

## 1511

Henry a member of the **Holy League** (See [1495–96](#)) (See [1511](#)), . Having laid claim to the French crown, he sent troops to Spain, which were unsuccessful (1512). In 1513 the king went to France in person and with Emperor Maximilian won on Aug. 17, the bloodless victory of **Guinegate**, the battle of the Spurs.

9

### 1513, Sept. 9

**Battle of Flodden Field.** Defeat and death of James IV of Scotland, who was allied with France.

10

### 1514, Aug

**Peace with France** and with Scotland.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Netherlands](#)

The provinces of the **Low Countries** (so called because much of the land lies below sea level), originally inhabited by Batavians and other Germanic tribes, had formed a part of the empire of Charlemagne and, after the **treaty of Mersen** (870), belonged in large part to Germany, forming a dependency of the kingdom of Lotharingia. The decline of the ducal power favored the growth of powerful counties and duchies, such as Brabant, Flanders, Gelders, Holland, Zeeland, Hainault, and the bishopric of Utrecht. After 1384 the provinces were brought under the control of the dukes of Burgundy in the following manner: **Philip II** (the Bold), fourth son of **John II** of France, became the duke of Burgundy in 1363. He acquired Flanders and Artois (1384) through marriage with Margaret, heiress of Count Louis II. Their son was **John the Fearless**, duke of Burgundy (1404–19), who was succeeded by his son, **Philip the Good** (1419–67). Philip acquired Namur by purchase (1425). Brabant and Limburg came to him by bequest (Joanna, daughter of John III, duke of Brabant, left them to her great-nephew, Antoine, brother of John the Fearless). In 1433 he acquired Holland, Hainault, and Zeeland by cession from Jacqueline, countess of Holland; and in 1443, Luxemburg, by cession from Elizabeth of Luxemburg. He also added Antwerp and Mechlin. His son, **Charles the Bold** (duke of Burgundy 1467–77), acquired Gelderland and Zutphen by bequest from Duke Arnold (1472). 1

**Mary**, the daughter and heiress of Charles the Bold, married **Maximilian**, archduke of Austria and later emperor (See [1486](#)). Their son, **Philip the Handsome** (duke of Burgundy), married **Joanna**, the daughter of Ferdinand of Aragon and Isabella of Castile, and thus the Netherland provinces passed ultimately into the hands of Philip's son, **Charles I** (Charles V as emperor). 2

Charles annexed the 17 provinces (Brabant, Limburg, Luxemburg, Gelderland, Flanders, Artois, Hainault, Holland, Zeeland, Namur, Zutphen, East Friesland, West Friesland, Mechlin, Utrecht, Overijssel, Groningen) to the Burgundian circle of the empire. 3

## 1556

**Abdication of Charles.** The Netherlands, like Spain, passed to his son. 4

## 1556–98

**PHILIP II.** 5

## 1567–1648

**REVOLT OF THE NETHERLANDS.** The provinces had long enjoyed ancient and important privileges. The estates (*staaten, états*) granted taxes and troops. The Spanish garrison, the penal edicts against heretics, the dread of the introduction of the Spanish Inquisition, all these factors led (during the rule (1559–67) of **Margaret of Parma**, the natural sister of Philip II, and her adviser, **Cardinal Granvelle**) to the formation of a **league of nobles** (Compromise of Breda), headed by Philip Marnix of St. Aldegonde. 6

**Religious background:** the 13th-century tradition of the **Beguines**, communities of women who led lives of prayer and meditation; the 14th-century **Brethren of the Common Life**, groups of pious laypeople who living in stark simplicity provided relief to the poor, taught the young, and emphasized the centrality of scripture in the Christian life—these groups found in most large cities of the Low Countries; great mobility of merchants who traveled widely and brought back **Lutheran and Calvinist ideas**; the high level of literacy in an urban commercial society with many able to read Luther's and Calvin's writings. **Calvinism took firm root in the northern provinces**, commonly called Holland (the southern provinces, now Belgium, remained Catholic). 7

To finance the government, Margaret raised taxes, thus uniting opposition to the government's fiscal policies with its official repression of Calvinism. 8

## 1566, Aug

A year of high grain prices. Fanatical Calvinists of the poorest classes incited by popular 9

preaching embarked on a wave of iconoclastic destruction of artwork, libraries, and churches in Antwerp; disorders spread to Ghent and Brussels. These disturbances initially opposed by Lamoral, Count of **Egmont** (1522–68), and **William of Nassau**, prince of Orange (1533–84), later called **William the Silent** because of his reputation for diplomatic tact, and other members of the great nobility who, however, lost control of the movement. Revolt, sparked by religious and economic protests and by sectional discontents, won support by uniting the elite classes' appeal to constitutionalism (royal attacks on aristocratic liberties) with the general population's antipathy to Spanish outsiders.

## 1567

Philip sent to the Netherlands the duke of Alva (1508–82) with an army of 20,000. Creation of a tribunal at Brussels to investigate rebellion and heresy, subsequently called the Council of Blood because 18,000 executed, including the Catholic Egmont, Hoorn, and other prominent figures. Estates of those who failed to appear before the tribunal, including those of William of Orange, confiscated; additional arbitrary taxes levied. These measures led (1568) to open rebellion against Spanish rule.

10

## 1572–76

The northern provinces under leadership of William of Orange expelled the Spanish garrisons, but in 1576 the Spanish capture of Antwerp, Maastricht, and Ghent led to the **PACIFICATION OF GHENT**, a treaty among all the provinces by which they united, without regard to national or religious differences, to drive out the Spaniards. The new governor, **Don John of Austria**, was unable to quiet the country, despite disputes between the various parties.

11

## 1578–92

Don John died in 1578 and was succeeded by **Alexander Farnese (duke of Parma)**, a shrewd statesman and an excellent general. Parma ultimately subdued the southern provinces, on the promise that their old political freedom should be restored. The seven northern provinces (Holland, Zeeland, Utrecht, Gelderland, Groningen, Friesland, Overijssel) thereupon concluded the **UNION OF UTRECHT** (1579), followed by a proclamation of **independence from Spain** (1581). The office of **stadholder**, chief executive officer of a Dutch province that later formed union, the United Provinces, and

12



usually a member of the House of Orange, was settled on William of Orange. After his murder at Delft (July 10, 1584), he was succeeded by his son.

## 1584

**Maurice of Nassau**, son of William of Orange, was only 17 years old when he assumed stadholdership. Parma continued his victorious campaigns and managed to capture Antwerp. Thereupon the English came to the aid of the insurgents. <sup>13</sup>

## 1588

**Philip II**, hoping to put an end to the Anglo-Dutch combination, organized the **Armada**, which was defeated by the English and destroyed in a terrible storm (See [1642, Jan. 3](#)). <sup>14</sup>

## 1609

The **Twelve Years' Truce** put an end to sporadic and inconclusive fighting and essentially established the independence of the northern provinces. After its expiration the war was resumed by the Spaniards. The Hollanders, who had grown rich and powerful at sea in the course of the struggle, were well able to hold their own, and finally <sup>15</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1480](#))

## **d. France**



### [LAST VALOIS KINGS \(1498-1589\)](#)

#### **1483–98**

**CHARLES VIII.** Death of the duke of Brittany (1488) called forth a coalition of the empire, Spain and England to preserve the independence of the duchy, but this proved futile. Charles married Anne, the heiress, in 1491 and concluded the **Treaties of Senlis** (with the emperor) and **Étaples** (with England). Spain was bought off by the cession of Roussillon and Cerdagne. <sup>1</sup>

#### **1495–96**

**Charles's expedition to Italy** to claim the inheritance of Naples (through his father from Charles, duke of Maine and Provence; see genealogical table). Charles marched victoriously through Italy and conquered Naples (bringing the venereal disease **syphilis**, which rapidly spread across Europe), but he was soon obliged to withdraw in the face of the **Holy League** (Emperor Maximilian, Pope Alexander VI, Spain, Venice, Milan, and England), formed to protect Italy from foreign domination. Expedition led to the introduction of Renaissance culture into France and marked beginning of Habsburg (Spanish)–Valois (French) conflict (1494–1559) over Italy. <sup>2</sup>

#### **1498–1589**

**HOUSES OF ORLÉANS AND ANGOULÊME.** Branch lines of the house of Valois (since 1328), whose relation to the main line is shown on page [LAST VALOIS KINGS \(1498-1589\)](#). 3

## 1498–1515

**LOUIS XII** obtained a divorce from Jeanne, daughter of Louis XI, and married **Anne of Brittany**, widow of Charles VIII, in order to keep this duchy for the crown; as grandson of Valentina Visconti he laid claim to Milan and drove out Ludovico Moro, who was imprisoned when he tried to return (1500). 4

## 1501

**Louis**, in alliance with Ferdinand the Catholic, king of Aragon, conquered the kingdom of Naples. The Spaniards and French soon falling out, the latter were defeated by the Spanish general Gonzalvo de Córdoba on the Garigliano (1503). Louis XII gave up his claims to Naples. 5

## 1508

**League of Cambrai** (See [1508](#)). In 1511 the pope, Ferdinand the Catholic, and Venice renewed the **Holy League**, with the object of driving the French out of Italy. The latter, under the young **Gaston de Foix**, duke of Nemours, nephew of Louis XII, were at first successful in the war, taking Brescia (1512) by storm and defeating the united Spanish and papal armies at **Ravenna**, with the aid of 5,000 German mercenaries, in the same year; they were, however, compelled by the Swiss to evacuate Milan. In 1513 the French formed a new alliance with Venice but were defeated by the Swiss at **Novara** and withdrew from Italy. **Henry VIII of England**, who had joined the Holy League in 1512, and the **Emperor Maximilian**, who had joined in 1513, invaded France. 6

## 1513, Aug. 17

They defeated the French at **Guinegate**, called the Battle of the Spurs from the hasty flight of the French. 7

France concluded peace with the pope, with Spain (1511), with the emperor, and with Henry VIII (1514). Anne of Brittany having died, Louis took as his third wife Mary, the sister of Henry VIII. He died soon after the marriage (1515).

8

## 1515–47

Louis was succeeded by his cousin and son-in-law, the count of Angoulême, **FRANCIS I.**

9

## 1515, Sept. 13–14

Francis reconquered Milan by the brilliant **victory of Marignano** over the Swiss. Peace and alliance between France and Switzerland. **Treaty of Geneva** (Nov. 7, 1515); **Treaty of Fribourg** (Nov. 29, 1516). The latter (*la paix perpétuelle*) endured until the French Revolution.

10

## 1516

Increase of the royal power by the **concordat of Bologna** with the pope, which rescinded the Pragmatic Sanction of 1438 and placed the choice of bishops and abbots in the hands of the king; the pope on the other hand received the annates, or the first year's revenue of every ecclesiastical domain where the king's right of presentation was exercised. Francis in return abandoned the principle of the council of Basel that the pope was subordinate to an ecumenical council.

11

Francis invited the Florentine artists Leonardo da Vinci, Andrea del Sarto, and Benvenuto Cellini and the architect Rosso to grace and decorate his court; established lectureships that formed the basis of the Collège de France; and supported the navigator **Jacques Cartier** (1491–1557), who established French interests in North America.

12

## 1536

The humanist and theologian **John Calvin** (1509–64) published the *Institutes of the Christian Religion* (definitive edition 1559), a systematic theology for Protestantism; because of its social and economic implications and Calvin's remarkable facility with language (French) the work won a wide readership and many converts, especially in urban centers such as Paris, Lyons, and Grenoble. Members of the **Reformed Church,**

13

as Calvinists were called, became the dynamic force in international Protestantism.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1479–1516](#))

## e. [The Iberian Peninsula](#)

### 1. Spain

#### 1479–1516

**REIGN OF FERDINAND** of Aragon and his wife, **ISABELLA**, queen of Castile (1474–1504). During this period much progress was made, notably in Castile, toward the suppression of the fractious aristocracy and the regulation of the Church. Aragon, on the other hand, retained most of its privileges. Ferdinand devoted his efforts to the conclusion of profitable marriage alliances and to the furtherance of his designs in Italy, which brought him into conflict with France and other Italian powers. 1

In the 14th century, economic dislocation, the search for scapegoats during visits of the Black Death, and anti-Jewish preaching contributed to growing anti-semitism in Spain. In 1331, a mob attacked the Jewish community of Gerona in Catalonia; in 1335, royal troops massacred Jews in Toledo; in 1391, mobs sacked and burned the Jewish community in Seville, and from Seville, anti-semitic pogroms swept Valencia, Majorica, Barcelona, Burgos, Madrid, and Segovia. Those forced to convert were called “New Christians.” 2

In the 15th century, New Christians held high positions in the administration of Castile, including the royal secretaryship; controlled the royal treasury; composed one-third of the royal council; were arch-bishops, bishops, and abbots; included some of the leading merchants; intermarried with the nobility; and held prominent positions in law and medicine. They numbered perhaps 200,000 in a total population of 7.5 million. New Christians, also called *conversos*, insisted their faith was identical to that of other Christians. Detractors stressed not belief, but blood, developing the racial theory that New Christians were the same as their ancestors, Jews. This theory emerged at the same time as Spanish nationalism. Courting public opinion, on Sept. 28, 1480, Ferdinand and Isabella (with papal permission) established the Inquisition, ecclesiastical tribunals to 3

judge “heretical depravity ... to search out and punish converts from Judaism who had transgressed against Christianity by secretly adhering to Jewish beliefs and performing Jewish rites.” The inquisition became an important instrument of Spanish royal policy. The Most Catholic kings, as they were called, had the able assistance of **Francisco Jiménez de Cisneros** (1436–1517), an austere Franciscan and (1507) cardinal: he directed the **forcible conversion** of the **Muslims of Granada**; pressed **monastic reform** and education of the clergy; served as **regent of Castile** (1506–7); and financed and led an **expedition to Africa** (1510–11), resulting in the capture of Oran.

The centuries-long *reconquista* (reconquest), the term given the Crusades led by the northern kingdoms to expel the Muslims from the Iberian peninsula by 14th-century clerical propagandists, ended Jan. 2, 1492 with the **conquest of Granada**.

4

### 1492, March 11

Ferdinand and Isabella **expelled the Jews** from Spain, giving them four months to leave. Many went to Istanbul and other parts of the Ottoman Turkish empire.

5

### 1494

**Foundation of the Consulado** for foreign trade at Burgos. This chamber and the Casa de Contratación at Seville (1503) undertook to regulate Spanish trade and had much to do with the commercial expansion of the 16th century.

6

### 1500

By the **Treaty of Granada**, France and Spain again engaged to cooperate in Italian affairs, but friction over Naples soon led to hostilities. Victories of the great Spanish commander **Gonzalvo de Córdoba** (especially at **Garigliano**, 1503). Aragon retained Naples.

7

### 1503

The first gold from Mexico arrived at the Port of San Lucar at Seville. Beginning of Spanish emigration to the Americas.

8

## 1504

The **death of Isabella** made **Joanna** (wife of Philip, archduke of Austria) legal heiress to Castile. Ferdinand, who had long planned the union of Castile and Aragon, in Joanna's absence secured from the Cortes authority to carry on the government in his daughter's behalf. In 1506 Philip and Joanna came to claim their inheritance. **Treaty of Villafavila** between Philip and Ferdinand, the former securing the regency. Philip's death in the same year and the **insanity of Joanna** (kept in confinement for 49 years, d. 1555) allowed Ferdinand to resume control. 9

## 1509–11

**African campaigns**, organized, financed, and led by **Cardinal Jiménez de Cisneros** (1436–1517), aided by **Pedro Navarro**. Cisneros was one of the ablest statesmen of his time who, having reformed the Spanish church, now devoted himself to the crusade. The Spanish forces took Oran, Bougie, and Tripoli and forced the Muslim rulers to pay tribute. 10

## 1511

The **Holy League** (the pope, Ferdinand, and Venice) against France and the Empire. **Victory of the league at Novara** (1513). At the same time (1512) the Spaniards conquered **Navarre**, which was annexed to the Castilian crown, though it retained its own government (1515). 11

## 1516

The death of Ferdinand led to the **regency of Cardinal Cisneros**, who vigorously repressed incipient disturbances by the nobles. The crowns now passed to the son of Philip and Joanna, Charles of Ghent, who became 12

## 1516–56

**CHARLES I** of Spain, founder of the Spanish **Habsburg dynasty**. Charles, who had been educated in Flanders, arrived (1517) with a large Flemish following, which 13



regarded the Spaniards with disdain. Dissatisfaction of the Spaniards with Charles's election to the imperial throne (1519) led to widespread opposition to his leaving the country and using Spanish money and men for imperial purposes.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1489](#))

## f. [Italy](#)

### 1. The Italian Wars

The period from about 1450 to 1550 marked not only the apogee of the Renaissance but also the intellectual and artistic primacy of Italy. In the field of history and political science, **Francesco Guicciardini** (1483–1540; *Istoria d' Italia* published only in 1561) and **Niccolò Machiavelli** (1469–1527; *Il Principe*, 1513) were outstanding. In art history, *Lives of the most excellent painters, sculptors, and architects* (1550, rev. ed. 1568), by **Giorgio Vasari** (1511–74), stands as the first and most influential of all critical histories of art. The satirist **Pietro Aretino** (1492–1556) used the shock of sex in **pornography** as a vehicle to criticize: his *Sonnetti lussuriosi* (1527) and *Ragionamenti* (1534–36), sonnets accompanying 16 engravings of as many sexual positions, attacked princely court life, humanist education, and false clerical piety, while **Baldassare Castiglione** (*Il Cortegiano*, 1528) produced a famous handbook of the courtier. **Ludovico Ariosto** (1474–1533; *Orlando Furioso*, 1516) was one of the greatest epic poets of all time. In the field of music **Giovanni da Palestrina** (1525–94; at St. Peter's after 1551) and **Orlando di Lasso** were men of the first rank. Architects and painters of eminence are too numerous to be listed, and it will suffice to recall names like **Leonardo da Vinci** (1452–1519); **Raffael Santi** (1483–1520; *Sistine Madonna*, 1516); **Michelangelo Buonarroti** (1475–1564; Sistine Chapel paintings, 1508–12, 1534–41; dome of St. Peter's, 1547); **Andrea del Sarto** (1486–1531); **Giorgione da Castelfranco** (1477–1510); **Titian** (Tiziano Vecelli, 1477–1576); **Gentile Bellini** (1429–1507); **Tintoretto** (Jacopo Robusti, 1518–94); **Paolo Veronese** (1528–88); **Sofonisba Anguissola** (c. 1530–1625) of Cremona, who produced superb family portraits and was the first woman artist to achieve international renown; **Andrea Mantegna**, **Allegri da Correggio**, **Benvenuto Cellini**, and the extraordinary and formidable woman artist **Artemisa Gentileschi** (1593–c. 1652), whose *Judith and Holofernes* reflects her bloodthirsty themes. <sup>1</sup>

**Politically**, however, Italy was divided and soon became the “cockpit” of Europe, the victim of the rivalries of the rising monarchies, which coveted the wealth of the peninsula. There were, at the time, five major Italian states: **Venice**, the strongest of all, deriving its wealth and influence from the extensive eastern trade, from its possessions in the Adriatic, Ionian, and Aegean Seas, and from domination of the neighboring mainland; **Milan**, ruled by Ludovico Sforza and commanding the rich valley of the Po; **Florence**, long one of the most progressive of Italian communities, having attained to great splendor under Lorenzo the Magnificent; the **Papal States**, carved from the central part of the peninsula and in process of expansion under the political popes of the late 15th century; the **kingdom of Naples**, deeply involved in the Middle East, ruled by a branch of the Aragonese house. These states maintained a precarious balance among themselves but were almost all so imperialistic that they were constantly endeavoring to victimize one another and ultimately reached the point of calling in the foreigner, with the result that Italy became the prey of French, German, and Spanish ambitions.

2

### 1492

Formation of a secret alliance between Florence and Naples for the spoliation of Milan. This led to Ludovico Sforza's appeal to Charles VIII of France to make good the Anjou claims on Naples.

3

### 1494–95

**THE FRENCH INVASION OF ITALY.** Charles arrived in September and met with no real resistance. Florence submitted but then drove out **Piero de' Medici** (Nov.) and abandoned the French connection. Thereupon Charles attacked and took Florence, which was obliged to give up Pisa and other towns. Charles advanced on Rome (Jan. 1495) and thence into Naples. Alfonso fled to Sicily, leaving Naples to his son Ferrante, who was driven out by a revolt. The French entered Naples (Feb. 22, 1495), but their very success led to the formation of a coalition directed against them: Milan, Venice, Emperor Maximilian, Pope Alexander VI, and Ferdinand of Aragon leagued together against Charles, forcing his retreat to the north. The Spaniards (Gonzalvo de Córdoba) soon reconquered Naples.

4

### 1499, Feb

**Venice** agreed to support the claims of Louis XII of France to Milan in return for a

5

promise of Cremona. The French thereupon invaded Italy a second time (Aug.) and forced **Ludovico Sforza** to flee from Milan to Germany. Milan surrendered (Sept. 14). The next year Sforza returned with an army of German mercenaries and obliged the French to evacuate. Before long the German forces began to disintegrate and the French returned to Milan. Sforza was captured and died (1508) in a French prison. Milan thus became French.

### 1500, Nov. 11

By the **Treaty of Granada**, Ferdinand of Aragon agreed to support Louis's claim to Naples, which was to be divided between France and Spain. In 1501 (June) the French army, marching south, entered Rome, whereupon the pope declared Federigo of Naples deposed and invested Louis and Ferdinand with the kingdom. The French took Capua (July), while the Spanish fleet seized Taranto (March 1502). So much having been gained, the two allies fell to quarreling over the division of the spoils, and war resulted (July). The Spaniards at first suffered reverses but in 1503 defeated a French fleet and won a decisive victory at **Cerignola** (April 28). They took Naples (May 13), and after another victory at **Garigliano** (Dec. 28), forced the French to surrender at **Gaeta** (Jan. 1, 1504). This completed the Spanish conquest of Naples, which, with Sicily, gave them control of southern Italy, as the French had control of Milan in the north.

6

### 1508, Dec. 10

The **LEAGUE OF CAMBRAI**, organized to despoil Venice of its possessions on the mainland and in Apulia. Emperor Maximilian promised Louis XII the investiture of Milan in return for support. Ferdinand of Aragon and Pope Julius II joined the coalition. The French attacked and defeated the Venetians at **Agnadello** (May 14, 1509). Surrender of Verona, Vicenza, and Padua, which were handed over to Maximilian. But the Venetians soon rallied and retook Padua (July 17), which was besieged in vain by Maximilian. Vicenza too rose against the emperor and recalled the Venetians. After a French victory at **Ravenna** (Easter, 1512), even the emperor and the Swiss cantons joined the coalition against the French, who were driven out of Milan (May). In a **congress of the league at Mantua** (Aug.), the Spaniards forced the Florentines to take back the Medici and join the league. Milan was given to Maximilian Sforza (son of Ludovico). The war continued until the French were badly defeated at **Novara** (June 6, 1513), after which the pope, Ferdinand, and Henry of England all made peace.

7

### 1515

The new French king, **Francis I**, as deeply interested in Italy as his two predecessors and quite as adventurous, concluded an alliance with Henry VIII and Venice against the emperor Maximilian, the pope, Ferdinand, Milan, Florence, and the Swiss. The French won a great victory at **Marignano** (Sept. 13), by which they recovered Milan. Thereupon the pope came to terms, surrendered Parma and Piacenza, and in return secured the **Concordat of Bologna** (See [1515, Sept. 13–14](#)). After the death of Ferdinand (Jan. 1516), his successor, Charles I (later Emperor Charles V), confronted with problems in Spain and Germany and eager to secure European cooperation against the advance of the Ottoman Turks, concluded with Francis the **Treaty of Noyon** (Aug. 13, 1516), by which the French retained Milan but gave up their claims to Naples. Maximilian returned Brescia and Verona to Venice in consideration of a money payment.

8

### 1522–23

First of the **Habsburg-Valois Wars**, (See [1521–29](#)) for many of which Italy became a battlefield. The pope and England supported Charles V against Francis. Having been driven out of Milan, Parma, and Piacenza, the French were defeated at **Bicocca** (April 27, 1522) and retained only the citadel of Milan. In May they were even driven from Genoa, their all-important sea base. But in Oct. 1524 the French invaded Italy with a large army and retook Milan (Oct. 29). The pope changed sides and joined the French.

9

### 1525, Feb. 24

The **BATTLE OF PAVIA**, the most important engagement of the long Italian wars. The Spanish commanders, **Constable de Bourbon** (prominent French noble and opponent of Francis) and **Marquís de Pescara**, completely defeated the French. Francis himself was captured and sent to Madrid. There he concluded the **Treaty of Madrid** (Jan. 14, 1526) (See [1521–29](#)).

10

### 1526, May 22

The **LEAGUE OF COGNAC**, a coalition of Francis I, the pope, Sforza, Venice, and Florence against Charles and the Spaniards. The league was the natural result of the too great success of the Spaniards in Italy, and the objective was to restore the status quo of 1522. But the Spaniards forced Sforza out of Milan (July 24) and before long attacked

11

Rome (Sept. 21).

## 1527, May 6

The pope was helpless and could not prevent the **SACK OF ROME** by the Spanish and German mercenaries of Charles. The sack was horrible even when judged by the customs of the day. 12

## May 17

**Florence rose against the Medici**, who were again driven out and replaced by a republic (under **Niccolò Capponi**). **Genoa also revolted**, under **Andrea Doria**. The French were expelled and a republican constitution established. The French, however, having overrun Lombardy (Oct.), began to march south. Meanwhile the pope, who had fled to Orvieto (Dec.), made his peace with Charles (**Treaty of Barcelona**, June 29, 1529—the Papal States to be restored and the Medici returned to Florence). 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1486](#))

## **g. The German Empire**

### **1. Overview, to 1618**



#### **THE HOUSE OF HABSBURG (1493-1780)**

### **1493–1519**

**MAXIMILIAN I**, who first took the title Roman Emperor elect.

1

### **1495**

**Diet of Worms.** Constitutional reform. Attempted modernization of the medieval empire. Perpetual public peace. Imperial chamber (*Reichskammergericht*), first at Frankfurt, then at Speier, finally at Wetzlar (1689). At the **Diet of Köln** (1512) the reorganization of the empire was carried further: establishment of ten circles for the better maintenance of public peace (*Landfriedenskreise*): (1) Austria; (2) Bavaria; (3) Swabia; (4) Franconia; (5) Upper Rhine; (6) Lower Rhine; (7) Burgundy (ceded to the Spanish line of the Habsburgs, 1556); (8) Westphalia; (9) Lower Saxony; (10) Upper Saxony. In all there were 240 states in the empire, exclusive of the imperial knights. Bohemia and the neighboring states (Moravia, Silesia, Lusatia) with Prussia and Switzerland (which was already completely independent) were not included in the circles. Establishment of the **Aulic Council**, a court more under the control of the

2

emperor than the imperial chamber, and to which a large part of the work of the latter was gradually diverted.

## 1508

The **League of Cambrai**, among Maximilian, Louis XII, Pope Julius II, and Ferdinand the Catholic (See [1508, Dec. 10](#)). 3

## 1511

Pope Julius II, Venice, and Ferdinand of Spain formed the **Holy League** aimed at France; in 1513 Maximilian joined. 4

The genealogical table shows the **claim of the Habsburgs to Spain** and division of the house into Spanish and German lines. Through these marriages the central European lands of the Habsburgs, the Burgundian lands in what are now France and Belgium, and the united lands of the crowns of Castile and Aragon (Spain, Naples, and the Americas) all came by birth to **Charles I of Spain** (eldest son of Philip and Joanna). He acquired the empire and his better known title **Charles V** by election in 1519. 5

## 1517

**BEGINNING OF THE PROTESTANT REFORMATION. Background:** Wiclifite, Hussite, and other preceding rebellions against the Roman church; Babylonian Captivity and the Great Schism, which weakened the prestige of Rome; corruption and worldliness of Church officials during the Renaissance; development of critical scholarship, as represented by **Desiderius Erasmus** of Rotterdam, whose editions of the Church Fathers and whose Greek text of the New Testament (1516) revealed the scriptural weakness of ecclesiastical writings; rise of national feeling and dislike of foreigners, especially in Germany and England; growth of a middle class and a capitalist economy, which felt Roman Catholicism as a restraint (economic interpretation of the Reformation in modern writings of Max Weber and R. H. Tawney); resentment by civic authorities, as at Zurich, of clerical privileges and exemption from taxation; establishment of endowed preacherships by pious townspeople (such as Stuttgart, Eisenach, Jena) to raise intellectual level of sermons; great landed wealth of the Church available for confiscation by ambitious and unscrupulous princes. 6

**Martin Luther** (1483–1546), born at Eisleben, the son of a miner; friar in the Augustine convent at Erfurt; priest (1507); professor at Wittenberg (1508); visit to Rome (1511). 7



## 1517, Oct. 31

**Luther** nailed on the door of the castle church at Wittenberg his **95 theses** (in Latin) against the misuse of absolution or indulgences (especially by the Dominican friar **Johann Tetzel**); translated into German, the theses soon circulated widely. 8

## 1518

Summoned to Augsburg by Cardinal de Vio of Gaëta (Cajetan), Luther refused to abjure but appealed to the pope. Mediation of the papal chamberlain, Karl von Miltitz. 9

## 1519

**Discussion at Leipzig** between **Andreas Bodenstein** (called Karlstadt) and **Johann Eck**. The latter secured a papal bull against 41 articles in Luther's writings. Luther burned the papal bull and the canon law (1520). Thereupon he was excommunicated. 10

The German electors chose as emperor the grandson of Maximilian, King Charles I of Spain, who as emperor became 11

## 1519–56

**CHARLES V**. He came to Germany for the first time in 1520 to preside at the **Diet of Worms** (1521). There Luther defended his doctrines, coming under a safe conduct. The ban of the empire having been pronounced against him, he was taken under the protection of Frederick the Wise, elector of Saxony. The **Edict of Worms** prohibited all new doctrines. Luther's **translation of the Bible**. 12

## 1521

Hieronimus, envoy of the king of Hungary, pled for Western support against the advancing Ottoman Turks (See [1521](#)). Charles preoccupied with imperial matters and the Lutheran revolt. 13

Aug. 28

The Ottoman Turkish sultan Suleyman the Magnificent conquered Belgrade, gateway to Hungary and Habsburg lands along the Danube. <sup>14</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1387–1412](#))

## **h. Scandinavia**

### **1. Denmark and Norway**

During this period the union of the three Scandinavian kingdoms became dissolved. <sup>1</sup>

#### **1513–23**

The attempt of the Danish king, **CHRISTIAN II**, to assert Danish supremacy in Sweden <sup>2</sup> by invading it and executing the leaders of the national Swedish party (the **massacre of Stockholm**, 1520) led to a national revolt (1520) headed by **Gustavus Ericksson Vasa**, a young Swedish nobleman.

#### **1523**

The Danes were defeated, and Gustavus Vasa became first administrator of the kingdom, <sup>3</sup> then king (see below, Sweden).

In his domestic policy Christian II, in alliance with the middle classes, tried to <sup>4</sup> strengthen royal authority at the expense of the nobility and the Church. This caused a rebellion, led by the nobles and the bishops.

#### **1523–33**

They invited the duke of Holstein to rule over Denmark as **FREDERICK I**. A civil war followed in which the middle classes sided with Christian II. Christian was defeated and deposed in 1532. After the death of Frederick in 1533, civil war broke out anew (the **Counts' War**).

5

### 1534–59

Order was restored with the accession of Frederick's son **CHRISTIAN III**. During his reign, Protestantism triumphed in Denmark. Church property was secularized and a national (Lutheran) church was established. Simultaneously there was a great strengthening of royal power. Christian III intervened in the religious struggle in Germany, siding with the Protestant princes against the emperor.

6

### 1559–88

**Frederick II.**

7

### 1588–1648

**CHRISTIAN IV.** At the same time, rivalry with Sweden in the Baltic caused the **War of Kalmar** (1611–13), with indecisive results, and Denmark's participation in the **Thirty Years' War** (1625–29) (See [The Danish Period, 1625–29](#)).

8

### 1643–45

A **second war**, in which the Swedes were victorious. Denmark lost some territory on the farther side of the Sound. Upon the death of Christian IV, an aristocratic reaction brought about a temporary weakening of the royal power.

9

**Norway** during this period remained under Danish domination: all the important posts in the administration were occupied by the Danes, and the Danish language was predominant. However, Norway benefited from the activity of some of the Danish kings. Christian IV improved administration, developed national resources, founded **Christiania** (Oslo). Under the influence of Denmark, Norway also became Protestant (Lutheran). (See [Denmark, Norway, and Iceland](#))

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1492](#))

## **[i. Russia](#)**



### GROWTH OF RUSSIA IN EUROPE TO 1796 (MAP)

In Russia, the early 16th to the mid-17th century was a time of conflict between the crown and the powerful landed nobility, which was eventually destroyed. This was accompanied by a decline in the influence of the townsmen and a gradual relapsing of the peasantry into **serfdom**. The latter problem was closely connected with defense and territorial expansion. Since 1454 the grand dukes of Moscow had granted nonhereditary military fiefs (*pomestye*) to secure a supply of fighting men for use in the struggle against the Tatars. The corollary was a steady debasement in the position of the peasants, who consequently tended to run off to newly conquered territories in the southeast. Depopulation in the center resulted in ever more drastic measures to hold the cultivator on the land. At the same time there grew up on the borders the Cossack colonies, independent communities of peasant soldiers that were to play a great role in this period.

1

### **1505–33**

**BASIL III**, the son of Ivan the Great and Sophia. The reign was a fairly quiet one, during which the work of consolidation was continued by the reduction of Pskov (1510), Smolensk (1514), and Riazan (1517).

2

### **1533–84**

**IVAN IV** (the Terrible), the son of Basil. He ascended the throne at the age of three. The regency was in the hands of his mother, **Helen Glinski** (of Lithuanian family), until 1538, and then fell into the hands of powerful noble (boyar) families, notably the **Shuiskys** and **Belskys**. 3

### 1547

**Ivan assumed power** and had himself crowned tsar, the first Russian ruler to assume the title formally. At the same time he established a “chosen council,” composed of personally selected advisers, which he hoped to make a counterweight to the power of the **council of boyars** (duma). This was followed in 1549 with the convocation of the first national assembly, or *zemski sobor*, including merchants and lesser nobles and meant to broaden the support of the crown. In these early years Ivan made considerable progress in breaking down the power of the provincial governors and establishing a measure of local government. 4

### 1552–56

The **conquest of Kazan and Astrakhan** from the Tatars gave Russia control of the entire course of the Volga and opened the way for expansion to the east and southeast. Already in the last years of Ivan's reign (1581–83), Russian traders (the Stroganov family) established themselves east of the Urals, and Cossack pioneers, under **Yermak**, began the conquest of Siberia. 5

### 1553

The British, under Richard Chancellor, reached Moscow by way of the White Sea and Archangel. They were given trade rights in 1555 and formed an important link in Russian communications with the west. 6

### 1557–82

The **LIVONIAN WAR**, arising from the disputed succession to the Baltic territories ruled by the Teutonic Knights. Ivan appreciated to the full the importance of an outlet to the Baltic, and seized Narva and Dorpat. In 1563 he conquered part of Livonia, which had been taken over by the Poles. 7

## 1564

Conflict of Ivan with the powerful boyars, led by **Prince Andrei Kurbski**. Ivan eventually withdrew from Moscow and issued an appeal to the people, who, through the metropolitan, urged him to return. He took a terrible revenge on his opponents and began a reign of terror marked by the execution or exile of many boyars, as well as violent rages, in one of which he killed his son and heir, alternating with deep repentance. At the same time Ivan set aside about half of the realm as his personal domain (*oprichnina*), in which he established a new administration and a separate royal army. Printing introduced into Russia during Ivan's reign. 8

## 1570

**Ivan ravaged Novgorod** and massacred many of the inhabitants, whom he suspected of sympathy for the Poles. 9

## 1571

The **Crimean Tatars** attacked and sacked Moscow. 10

## 1578

**Defeat of the Russians by the Swedes** at Wenden, in the course of the struggle for the Baltic lands. Polotsk was lost in the following year. 11

## 1581

**Stephen Bathory**, king of Poland, invaded Russia and advanced victoriously to Pskov. 12





(See [1447](#)) (See [1612](#)) (See [1650](#))

## **j. [Poland-Lithuania](#)**

The history of Poland in this period was marked by a constant growth of power by the lesser nobility, so that Poland became transformed into a republic of the gentry (*szlachta*) (*Rzeczpospolita*) with an elected king as the titular head. The *Rzeczpospolita* had to fight constantly against the expansion of two powers, Muscovite Russia and Ottoman Turkey, but all efforts of the kings to establish a modern standing army failed. 1

### **1492–1501**

**JOHN ALBERT**, the son of Casimir IV, relied upon the gentry to reduce the power of the great magnates. 2

### **1496**

The result was the **Statute of Piotrkow** (the Magna Carta of Poland), which gave the gentry extensive privileges at the expense of the burghers and peasants. The burghers were restricted from buying land and the peasants were practically deprived of freedom of movement. 3

### **1497–98**

A futile **invasion of Moldova**, which was intended to secure a throne for the king's brother, led to a devastating invasion by the Ottoman Turks. 4

### **1501–6**

**ALEXANDER I**, brother of John Albert and, since 1492, grand duke of Lithuania. His reign was important only for the **war with Ivan the Great** of Russia (See [1462–1505](#)), which resulted in the loss of the left bank of the Dnieper by Poland (1503), and for the **Constitution of Radom** (1505), which made the national diet, elected by the nobles at their provincial assemblies (the *dietines*), the supreme legislative organ. Henceforth no new laws were to be passed without the diet's consent.

5

### 1506–48

**SIGISMUND I**, brother of John Albert and Alexander, during whose reign the diet (1511) passed laws finally establishing **serfdom** in Poland and Lithuania. The **serfs** were attached to the soil and could be sold by one lord to another, but only together with the land. In times of war each lord had to provide a fixed number of fully equipped soldiers, recruited from among his serfs.

6

### 1512–22

**War with Russia** over the White Russian region (Belarus). The Russians made considerable gains and in 1514 took Smolensk, but most of Belarus remained under Polish-Lithuanian rule.

7

### 1525

**Secularization of Prussia** and end of the rule of the Teutonic Knights. Prussia remained a fief of Poland.

8

### 1534–36

Another war with Russia brought no success to the Poles.

9

### 1548–72

**SIGISMUND II** (Aug.). His reign was distinguished by the wide spread of the

10

**Protestant Reformation**, which had taken root in 1518 and had gained ground, especially in the Baltic lands and in the towns, despite many edicts penalizing the adherents, who were known as **Dissidents**. Demands for a national church, marriage of the clergy, communion in both kinds, Slavonic liturgy, and so on. **Calvinism** and **Antitrinitarianism** also established themselves. After the **Council of Trent** (See [1523–34](#)) the crown, backed by the recently formed Polish-Lithuanian chapter of the Jesuit Order (1565), succeeded in checking the movement and in restoring the supremacy of Roman Catholicism.

## 1557–71

The **Livonian War**, arising from a disputed succession and from the conflicting claims of Poland, Russia, Sweden, and Denmark. The Russians invaded the country (1557) and the Swedes took Estonia, while the Danes acquired part of Courland. In 1561 the Poles took over Livonia, but Ivan the Terrible of Russia conquered part of it in 1563. 11

## 1569, July 1

The **UNION OF LUBLIN**, which, despite opposition on the part of Lithuania, merged that country with the Polish kingdom. The two nations were to have a common sovereign and a common diet, though Lithuania was to retain a separate administration and army. 12

With the death of Sigismund II the **Jagellon dynasty** came to an end and the Polish crown, already elective in theory, became so in fact. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1462](#))

## **k. [Bohemia](#)**

### **1471–1516**

**LADISLAS II**, son of the king of Poland, first ruler of the **Jagiello family**, a boy of 16 at his accession. Ladislav continued the persecution of the Bohemian Brotherhood but made no progress toward unifying the country. As king of Hungary also, he spent most of his time at Pressburg (today Bratislava, the capital of Slovakia), leaving open the way for the domination of Bohemia by powerful nobles. During the entire later 15th century the aristocracy extended its possessions and power at the expense of the crown and Church. The towns declined in power and the peasantry sank back into serfdom or a status close to it. Great influx of German peasants in the west and north and in the towns. <sup>1</sup>

### **1516–26**

**LOUIS**, son of Ladislav, who ascended the throne of Bohemia and Hungary at the age of ten. Conditions continued as under Ladislav, further complicated by the spread and persecution of Lutheranism. <sup>2</sup>

### **1526**

**Louis was defeated and killed** by the Ottoman Turks at the **Battle of Mohács**. <sup>3</sup>  
**Ferdinand**, brother of Emperor Charles V and brother-in-law of Louis, was elected king, beginning a long period of Habsburg rule.

## 1547

The Bohemian crown was proclaimed hereditary in the house of Habsburg. Constant growth of the royal prerogative at the expense of the diet and town government. 4

## 1618

**Defenestration of Prague** and beginning of the Thirty Years' War (See [1618, May 23](#)). Ferdinand II was declared deposed and the Protestant Frederick of the Palatinate was elected king (the Winter King). 5

## 1620, Nov. 8

**BATTLE OF THE WHITE MOUNTAIN**; defeat of Frederick and the Bohemians. Bohemia was virtually deprived of independence, and a wholesale confiscation of the lands of the native nobility took place. 6

## 1627

A **new constitution** confirmed the hereditary rule of the Habsburgs and strengthened royal power. The incorporation of Bohemia with the Habsburg empire was completed in the 18th century with the extension of the imperial administration under Joseph I (1705–11) and with the **Pragmatic Sanction of 1720** (See [1712–23](#)). (See [Poland](#)) 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1458–90](#))

## I. [Hungary](#)

### 1490–1516

**LADISLAS II**, king of Bohemia, was elected king of Hungary by the nobles. To secure recognition from the Habsburgs, he gave up the conquests of Matthias and arranged dynastic marriages with the Habsburgs (his infant son Louis was married to Mary, granddaughter of Maximilian; his own daughter, Anne, was married to Maximilian's grandson Ferdinand). This policy led to the formation of a national party among the Hungarian nobility, headed by Stephen Zápolya (Szapolyai), the *vajdu* (prince) of Transylvania. The nobles refused Ladislas all effective financial support, so he was unable to maintain an army and was soon at the mercy of the nobles. <sup>1</sup>

### 1514

A great **revolt of the peasants**, led by George Dózsa, was directed against the ruthless exploitation by the aristocrats. It was suppressed in a sea of blood by John Zápolya, leader of the nobility. <sup>2</sup>

### 1514

The **Tripartitum**, a constitution worked out by Stephen Verböczy, was passed by the diet. It established the equality of all nobles and at the same time fixed the system of serfdom on the peasantry. <sup>3</sup>

## 1516–26

**LOUIS II**, the son of Ladislas, succeeded his father at the age of ten. His reign was marked chiefly by the spread of **Protestantism**. The movement first took root in the German areas and in the towns and was vigorously opposed by the nobles. In 1523 it was declared punishable by death and confiscation of property, but despite all edicts it took firm hold of the country.

4

## 1521

The Ottomans took Belgrade, beginning their victorious advance into Hungary.

5

## 1526, Aug. 29–30

**BATTLE OF MOHÁCS**. Defeat and death of Louis when the Ottomans completely overwhelmed his disorganized army of 20,000.

6

## 1526–28

The death of Louis was followed by a hot contest over the succession. Part of the nobility, hoping for German aid against the Ottomans, elected **Ferdinand of Habsburg**, brother of Emperor Charles V. The national party, on the other hand, elected **John Zápolya** king. After a civil war lasting two years, Zápolya was defeated. He appealed to the Ottomans, who supported him vigorously. By the **Peace of Nagyvarad** the two kings recognized each other, each ruling part of the territory. Zápolya became a vassal of the Ottomans but Ferdinand continued the war against them, which was interrupted only by occasional truces (See [1526](#)).

7

## 1540

**Death of John Zápolya**. The Ottomans recognized his infant son, **John II** (Sigismund) **Zápolya** (1540–71). This led to a new clash with Ferdinand, who began the invasion of eastern Hungary. The Ottomans again invaded and took Buda. They now took over the entire central part of Hungary (the great plain), which was organized in four *pashaliks* (border districts). There was no settlement by the Ottoman Turks, but the territory was

8



granted in military fiefs and subjected to heavy taxation. Religious tolerance of the Ottoman Turks. Transylvania, under Zápolya, was a vassal state of the Ottoman Turks but was left almost entirely free. Under **Cardinal Martinuzzi** it was organized as a state (three nations: Magyars, Szeklers, and Germans, meeting in a Landtag, elected the king and passed laws). The Transylvanians (even the nobility) soon accepted **Calvinism**, so that during the later 16th century the larger part of Hungary was either Lutheran or Calvinist. In 1560 religious toleration was established in Transylvania. The **Habsburgs**, on the other hand, held only a narrow strip of western and northern Hungary, and even for this they long paid tribute to the Ottoman Turks. The Habsburgs employed Italian and Spanish mercenaries to defend their possessions, and these ravaged the country as much as Ottoman territory. Ferdinand and his successors governed from Vienna or Prague and with little reference to the traditional rights of the Hungarian nobility. This led to growing friction and later to serious conflict.

### 1581–1602

**Sigismund Bathory**, prince of Transylvania. His efforts to unite with the Habsburgs for a grand assault on the weakening Ottoman power met with vigorous opposition on the part of the Transylvanian nobility. <sup>9</sup>

### 1604

**Beginning of the Counter-Reformation**, under Habsburg auspices. This resulted in a revolt of the Hungarians, supported by the Transylvanians. <sup>10</sup>

### 1604–6

**STEPHEN BOCSKAY** became prince of Transylvania and, after defeating the Habsburgs, secured the **Treaty of Vienna**, by which Protestantism was given equal status with Catholicism. Nevertheless, the Counter-Reformation made great strides, especially among the nobility, owing to the efforts of Cardinal Pazmany and the Jesuits. <sup>11</sup>



## **2. Science and Learning, 1450–1700**

### **a. Science**

**1469**

Publication of Pliny's *Historia naturalis*, the first scientific book to be printed. 1

**1500**

**Hieronymus Brunschwig** (1450–c. 1512) published *Das Buch der rechten kunst zu distillieren*; its bold woodcuts were the first illustrations to depict chemical apparatus and operations. 2

**1527–41**

**Philippus Paracelsus** (Theophrastus von Hohenheim) (1493–1541) crusaded for the use of chemicals in the treatment of disease. He introduced the system of salt, sulphur, and mercury as the three prime “elements,” from which all things are made. 3

**1537**

**Niccolò Tartaglia** (?1500–1557), in *Nova scientia*, discussed the motion of heavy bodies and the shape of the trajectory of projectiles. 4

**1540**

Posthumous publication of *De la pirotechnica*, a handbook of metallurgy containing information about smelting and ore reduction compiled by **Vannoccio Biringuccio** (1480–1539).

5

## 1542

**Leonhart Fuchs** (1501–66) used the botanical work of his contemporaries, **Otto Brunfels** (1488–1534), **Jerome Bock** (1498–1554), and **Conrad Gesner** (1516–65), to prepare a great herbal, describing some 400 plants, illustrated by realistic woodcuts.

6

## 1543

The Polish astronomer **NICOLAUS COPERNICUS** (Niklas Kopernik) (1473–1543) published *De revolutionibus orbium coelestium*, which asserted that the planets, including the earth, circle around a stationary sun. Modern astronomy rests on his work.

7

## 1543

**ANDREAS VESALIUS** (1514–64) produced *De fabrica corporis humani*, an illustrated, systematic study of the human body. This work is a union of Renaissance artistic endeavor and a revived interest in the empirical study of **human anatomy**.

8

## 1545

**Geronimo Cardano** (1501–76) published the solution of the **cubic equation** in *Ars Magna*; this first major advance in mathematics in the European Renaissance provoked a bitter dispute with Niccolò Tartaglia, who claimed to have discovered it. Cardano described a tactile system similar to Braille for teaching the blind and believed the deaf could be taught by signs.

9

## 1545–73

**Ambroise Paré** (1510–90) encouraged a **pragmatic approach to surgery**. He promoted the dressing of gunshot wounds rather than the traditional practice of cauterizing them with boiling oil.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Inventions and Technology

### c. 1455

**Printing with movable type**, perhaps based on the Chinese method of block printing that reached Europe c. 1250, introduced through the combined efforts of Johann Guttenberg, Johann Fust, and Peter Schoffer, all experimenting at Mainz. Consequences: Though felt only gradually over the next 200 years, printing transformed the public and private lives of Europeans. Governments used it to announce wars, battles, peace, to persuade; propaganda made possible, showing differences between opposing groups, such as crown and nobility, Protestants and Catholics, church and state; the literacy of laypeople stimulated. Although most early books and pamphlets dealt with religious subjects, printers also responded with medical, practical, household, travel manuals; pornography as well as piety assumed new forms. Since printed materials were read aloud to the illiterate, the bridge between written and oral cultures grew. The development of printing with movable type accompanied an increased use of wood-block illustrations. <sup>1</sup>

### 1485

Publication of **Leon Battista Alberti's** (1404–72) *De re aedificora* exemplified the extended interests of Renaissance architects and artists in the realm of applied science. A more famous example is **Leonardo da Vinci** (1452–1519), who studied human and animal anatomy and speculated on hydraulics, mechanics, air travel, and on military and engineering devices. Structural theory did not advance until the work of **Galileo Galilei** (*Dialogues Concerning Two New Sciences*, 1638), **Christopher Wren**, and **Robert Hooke**. The revival of interest in classical architecture, sparked by the rediscovery of the works of Vitruvius, led architects to develop new techniques, flat ceiling, and the dome. Some architects of the period were **Filippo Brunelleschi** (?1377–1446), **François Mansard** (1598–1666), **Claude Perrault** (1613–88), **François Blondel** (1617–86), **Inigo Jones** (1573–1652), and **Christopher Wren** (1632–1723). <sup>2</sup>

## c. 1500

The Portuguese developed the **caravel**, a small, light three-masted (square, lateen, or both) ship that when fitted with cannon could dominate larger vessels and carry more cargo; caravels enabled the Portuguese to take the lead in exploration and expansion. By 1700 the four-masted galleon had evolved.

3

## c. 1510

First of the handbooks on metallurgy appeared, *Proberbergbüchlein* on assaying, *Bergbüchlein* on mining. In 1540 **Vannocio Biringuccio's** (1480–1539) *Pyrotechnica* published, the first practical, comprehensive metallurgy text by a professional metallurgist. Included were descriptions of alloying and cannon-molding processes. In 1556 *De re metallica* of Agricola (Georg Bauer), a physician in the mining area of Saxony, appeared. It covered all aspects of mining from the survey of the site through the equipment and methods of mining to assaying, descriptions of glass-making and blast furnaces, and the treatment of iron, copper, and glass. Agricola was concerned with miners' health and described the diseases to which they are prone.

4

## 1520

**Wheel lock** invented, probably in Italy, one of the steps to a single-handed pistol. By 1525 **rifling** of the gun barrel was a known technique; by 1650 lead shot was molded by means of a split mold; and by 1697 iron cannon were cast directly from the blast furnace. The widespread use of cannon and gunpowder, especially during the Thirty Years' War, increased the costs and destructiveness of war and reduced its glamour. (See [Science and Technology](#))

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

### **3. Europe, 1648–1814**

#### **a. Economic and Social Changes**

**THE LEGACY OF THE THIRTY YEARS' WAR:** This war left two legacies—massive **destruction of land and population** and the **end of Catholic supremacy** in Europe. Armies moved back and forth across Europe, destroying crops and routing people from their homes. Estimates indicate that European population declined by as much as 30 percent in some areas. The war also resulted in major dislocation and migration throughout Europe. Even countries largely untouched by armies suffered loss of trade. **The Baltic grain trade was devastated.** The **Peace of Westphalia** not only ended the war and established territorial boundaries, it codified the principle that the prince would choose the religion (Calvinism, Lutheranism, or Catholicism) of his territory. This principle weakened the Holy Roman Empire because it recognized princely sovereignty. It also furthered **the gradual decline of the Catholic Church** in the 17th and 18th centuries. 1

**THE GENERAL CRISIS OF THE 17TH CENTURY** has sparked intense debate among historians. The term “crisis,” originally used in the medical sense, refers to an economic and political turning point. Historians cite the **shift of economic growth in Europe** from the Mediterranean (especially Spain and Italy) toward western Europe (particularly England and France) in demonstrating this turning point. They also recognize the **repeated challenges to political authority**. The 17th century witnessed numerous revolutions (England, the Fronde, the Dutch Republic, etc.) and revolts. **Peasant revolts** regarding taxes spread throughout the 17th century. These revolts focused either on new taxes or on extensions of old ones but were characterized by a desire to return to the status quo. 2

**DEMOGRAPHY** (see also individual countries): Population grew very slowly or remained stagnant before 1730. It was hampered by **high infant mortality**. Among infants, girls fared better than boys, and adult males characteristically had higher mortality rates than adult females. However, women had higher mortality rates during their childbearing years because childbirth was often deadly. **Relatively low birth rates** also contributed to a lack of population growth. European men and women typically 3



married quite late and had only small families. They generally lived in a nuclear family, often leaving older family members without any recourse but charity and poor assistance from the state. The lack of support for the elderly may have been a byproduct of the **European marriage pattern**; families suffered greater poverty when they had several children too small to contribute to the family economy in the household. This arrangement also decreased the mother's economic contribution. As a result of late ages at marriage, families often experienced such **life-cycle poverty** at the same time as their elderly parents needed assistance. Problems of life-cycle poverty were exacerbated by the problems of disease that persisted between 1650 and 1730. **Several waves of plague** spread through Europe along trading routes and via armies. Europe also suffered from famine, typhus, and smallpox. After 1730, these problems decreased and population began to grow rapidly, encouraged by the development of proto-industrialization, which led to earlier marriages. However, growth rates varied dramatically from country to country.

The decline of mortality and rise in fertility were partially the result of the **AGRICULTURAL REVOLUTION**. Characterized less by major technological breakthroughs than by **changes in farming technique**, the Agricultural Revolution increased productivity without a corresponding increase in the labor needed to produce food beginning in the late 17th century. This increase came from the **introduction of the nitrogen-fixing crops, which reduced fallow lands, enclosure, and drainage of wetlands**. In the process, some western European landholders consolidated their property, removing tenants and peasants. These peasants eventually worked as day laborers or went to the cities in search of work. Their availability also encouraged the development of protoindustrialization.

**PROTOINDUSTRIALIZATION:** Partially in an effort to bypass the regulations of guilds, merchants extending the **putting-out system**, in which they supplied cottiers and other poor families in the countryside with the necessary tools and supplies, such as a loom and thread, to complete a given step in a production process. The merchant then deducted charges for those supplies from the overall piece rate and paid the family the difference. This process enabled families living on marginal land to supplement their produce not only with work on neighboring farms but also with nonagricultural work. **The process fit into the family economy** but furthered the creation of a family wage rather than a subsistence economy. It also helped lead to a **decline in the age at first marriage** because it gave couples another means of income. These couples no longer had to secure sufficient land for their livelihood. Likewise, it encouraged **increased family size**, as more children meant more hands available for cottage production. However, unlike the artisan who owned his means of production, these families worked for a middleman who owned both the materials and the equipment. This distinction led many historians to argue that the putting-out system was **a precursor to the factory system**. The process had **three consequences** for industrialization. It increased the size of the labor force by increasing population growth. It created a group of families dependent on

cash payment for their labor rather than the sale of their goods. It enabled merchants to amass capital in a system that had greater elasticity than the factory system—protoindustrialization required smaller outlays, and fluctuations in demand could be met by depressing the piece rates. However, protoindustrialization could also lead to **deindustrialization** after 1800. In areas where the putting-out process was not followed by industrial development, emigration drew workers into industrialized areas, resulting in a decline in population and productivity in nonindustrialized areas.

**COMMERCIAL SHIFTS:** The crisis of the 17th century shifted economic prospects throughout Europe. The **countries bordering the Mediterranean, especially Italy and Spain, declined economically and their position within Europe was taken by Holland and, subsequently, England.** This change was partially owing to **shifts from trade** exclusively with the east to trade with both the east and the Americas. Such trade favored England because of its position on the Atlantic. These shifts also resulted from **changes in investment and the necessity for capital expansion.** Northwest Europeans created banks and other institutions capable of financing expanding trade networks and the putting-out system. Southern Europeans continued to invest in property and land, seldom having a large amount of ready capital available for new ventures. Northwestern Europe also benefited from the **eastern European grain trade.** Eastern European lords **increased serfdom** in an effort to provide the necessary labor for grain production. This enabled eastern Europe to provide large quantities of cheap grain to the west, fueling western population growth and urbanization. Population growth was also affected by the **introduction of products from the Americas,** notably the **potato and sugar.** The potato gradually spread throughout western Europe and, because it grew well in poor soil, became one of the major foodstuffs for many poorer Europeans. The increases in trade, development of cheap sources of grain and foodstuffs, and population growth ultimately led to the **Industrial Revolution** of the late 18th and the 19th centuries (See [Economic and Social Changes](#)).

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1697](#))

### **b. [Intellectual Developments](#)**

The **18th-Century Enlightenment** dominated western thought, a product of the **Scientific Revolution** with its emphasis on inductive reasoning and rationality. Though most intense in France, enlightenment thought affected most parts of Europe to some degree. Enlightenment thinkers **critiqued existing government, society, and economic development**. In all aspects, they emphasized reason and frequently embraced notions of the **perfectability of people and progress**. Some, notably **Malthus** (See [1798](#)) and **Burke**, rejected some notions, while in Germany some reaction against Enlightenment universality occurred in the form of cultural nationalism. In political thought, Enlightenment thinkers built upon **John Locke** (See [1690](#)), arguing for a **government that rested on a contract among individuals**, in some cases including women, and those established laws which were reasonable. These ideas threatened the basis for absolutism but also encouraged notions of enlightened absolutism in which the monarch claimed to rule for the good of all based on reason. They also gave rise to a **radical enlightenment** whose thinkers demanded equality for men, and sometimes women, in political and economic terms. The Enlightenment thinkers were particularly influential in shaping economic policies. Many monarchs followed the dictates of **mercantilism** in the late 17th and early 18th centuries. Mercantilists argued that the world contained a fixed-size market and that each country had to secure as large a portion of this market as possible, through tariffs and colonization. Mercantilism was gradually replaced by laissez faire capitalism. The **Physiocrats** stressed agricultural bases for wealth but also discouraged government intervention as counter to natural economic law. However, **Adam Smith** provided the most advanced formulation of this law. He argued that division of labor in an unregulated market would secure high profits and maximum prosperity for all concerned because it would be controlled by the invisible hand of commerce, that is, regulated by supply and demand. The Enlightenment interest in science and human society set the basis for formal study not only in economics, but also in political science and psychology. Among the **major thinkers of the Enlightenment** were (see also individual countries):

**Political:** **Montesquieu**, *L'Esprit des lois* (1748); William **Blackstone**, *Commentaries on* <sup>2</sup>

*the Laws of England* (1765–69); Johann Gottfried Herder, *Ideen zur Philosophie der Geschichte der Menschheit* (1784–91); Jeremy **Bentham**, *Introduction to the Principles of Morals and Legislation* (1789); Edmund **Burke**, *Reflections on the Revolution in France* (1790); Thomas **Paine**, *The Rights of Man*; Mary **Wollstonecraft**, *Vindication of the Rights of Women* (1792); William **Godwin**, *Enquiry concerning Political Justice* (1793).

**Social and Religious:** Bishop George **Berkeley**, *Treatise Concerning the Principles of Human Knowledge* (1710); David **Hume**, *Treatise on Human Nature and Philosophical Essays* (1739); Emanuel **Swedenborg**, *De Nova Hierosolyma* (basis for the Church of the New Jerusalem—1758); Johann P. **Süssmilch**, *Die göttliche Ordnung in den Veränderungen des menschlichen Geschlechts aus der Geburt, dem Tode, und der Fortpflanzung desselben erwiesen*, pioneering statistical and demographic work (1761); Cesare **Beccaria**, *Tratto dei delitti e delle pene* (1764); Thomas **Malthus**, *Essay on the Principle of Population* (1798); Friedrich **Schleiermacher**, *Reden über die Religion* (1799). <sup>3</sup>

**General Philosophical and Historical:** Pierre **Bayle**, *Dictionnaire historique et critique* (1697); Giambattista **Vico**, *Principi di una scienza nuova intorno alla commune natura delle nazione* (1725); **Voltaire**, *Lettres anglaises ou philosophiques* (1734); Denis **Diderot** and Jean **d'Alembert**, ed. *L'Encyclopédie* (1751–72); Jean Jacques **Rousseau**, *Le contrat social* and *Émile* (1762); Edward **Gibbon**, *The History of the Decline and Fall of the Roman Empire* (1776–88); Immanuel **Kant**, *Die Kritik der reinen Vernunft* (1781); Marie-Jean **Condorcet**, *Tableau historique des progrès de l'esprit humain* (1795). <sup>4</sup>

**Economic:** Richard **Cantillon**, *Essai sur la nature du commerce en général* (1755); François **Quesnay**, *Tableau économique* (1758); Pierre Dupont **de Nemours**, *La physiocratie* (1768); A. R. J. **Turgot**, *Réflexions sur la formation des richesses* (1766); Adam **Smith**, *An Inquiry into the Nature and Causes of the Wealth of Nations* (1776). <sup>5</sup>  
(See [Intellectual and Religious Trends](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Culture and Popular Culture](#)

Recurrent interest in classical styles of art and architecture characterized much European culture in the later 17th and through the 18th century. The 17th century saw the perfecting of the **Baroque style** (characterized by freedom of form, motion, and feeling combined with ornamentation) and its use in the great palaces, statuary, and gardens of the absolute monarchs. In literature and drama, **French classicism** held considerable sway. The Enlightenment also encouraged a new interest in the essay. 1

In the 18th century, a countercurrent of **sentimental literature** began to gain ground, as the novel was introduced. This would lead to more formal **Romanticism** by the 1790s, as in the emotionally charged work of German writers like Johann Wolfgang **Goethe** (1749–1832). 2

Significant changes in popular culture also occurred from the 17th century onward in western Europe. Protestant and then Catholic writers encouraged **new attention to family relationships**. An emphasis on the importance of **love in marriage** developed in various social groups, resulting in growing tolerance by the 1730s for young people who sought to avoid marriages arranged against their will. New interest in children, encouraged by Enlightenment interest in education, led to a **reduction in the swaddling of infants** in western Europe and, in the wealthier classes, a growing interest in providing educational toys and books. From about 1780 onward, particularly in the lower classes, sexual habits began to change, involving an **increase in non-marital sexual activity**, which did not lead to marriage between partners and, thus, produced a rise in illegitimate births. 3

Spurred by shifts in government policy, popular beliefs in magic and witchcraft either declined or found less opportunity for public expression. **Popularization of science** and the Enlightenment encouraged interest in new forms of thought, particularly among urban groups. Literacy increased. New institutions, like insurance companies, fire houses, and lost-and-found departments, signaled a growing belief that planning could reduce risks. Traditional practitioners like cunning men, previously used to seek lost items, declined, though in medicine popular healers continued to be valued. 4

With commercial expansion, a **new consumer spirit** spread. Popular use of purchased goods like sugar, coffee, and tea expanded. Interest in manufactured, stylish clothing increased. 5

Popular culture was also colored by new, enthusiastic religious beliefs, like **Pietism** in Germany (See [The Hohenzollern Dynasty](#)) and **Methodism** in England (See [1738, May 24](#)). (See [Culture and Popular Culture](#)) 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1697](#)) (See [1520](#))

### **d. Science and Technology**

**SCIENCE:** The Enlightenment continued the scientific methods used during the Scientific Revolution, emphasizing inductive reasoning and careful analysis. Efforts to catalogue and study plants and animals closely, including dissections, continued, and many of today's scientific principles emanated from this period. **Leading scientific thinkers of the period included** (see also individual countries): Gottfried Wilhelm **Leibniz** (1646–1716); Isaac **Newton** (1642–1727); Edmund **Halley** (1656–1742); Gabriel D. **Fahrenheit** (1686–1736); Etienne F. **Geoffroy** (1672–1731); Leonhard **Euler** (*Mechanica sive motus analytice exposita*, 1736); Johann **Lehmann** (d. 1767); Carl **Linnaeus** (1707–78); Albrecht **von Haller** (1708–77); Giovanni **Morgagni** (1682–1771); John **Hunter** (1728–93); Joseph **Priestley** (1733–1804); Antoine **Lavoisier** (1743–94); Edward **Jenner** (1749–1823); Joseph Louis **Proust** (1754–1826). (See [Science and Learning](#)) 1

**TECHNOLOGY AND NEW TECHNIQUES:** Technology during this period concentrated on the development of steam engines, machinery, and improved techniques in engineering, construction, and farming. These were designed as part of the process of protoindustrialization but ultimately contributed to the Industrial Revolution (See [Economic and Social Changes](#)) because they provided means of producing goods more quickly and efficiently and offered alternatives to animal and human power, especially coal and water power. **Leading figures in such development** were: 2

Thomas **Newcomen**, whose steam engine pumped water from mines (1712); roadmakers P. M. J. Trésaguet (1716–94) and John L. **McAdam** (invented macadamized roads, 1756–1836); Jethro **Tull**, *New Horse Hoeing Husbandry* (1732). John **Kay** invented the flying shuttle (1733); Robert **Bakewell** introduced selective breeding (1725–95); Arthur **Young** publicized new advances in agriculture; Benjamin **Huntsman's** (1704–76) steel processing and Henry **Cort's** (1740–1800) puddling process; Josiah **Wedgwood**, who established his Etruria bone china works (1769); James **Hargreaves** invented the spinning jenny (1764); James **Watt's** steam engine, a great improvement over Newcomen's (1776). 3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1648, Oct. 24](#))

#### 4. [European Diplomacy and Wars, 1648–1795](#)

**Overview** After the **Treaties of Westphalia** (See [1648, Oct. 24](#)), European warfare and foreign policy shifted from a concentration on religious differences to focus on issues of trade and territorial acquisition. Declining powers, such as Spain, Poland, and Sweden, attempted to maintain at least regional independence from rising powers such as Prussia, France, and Russia. The struggle to maintain a balance of power as dynastic lines died out or were removed—notably in Spain and Poland—also caused tension. The scale of war and diplomacy increased. <sup>1</sup>

##### 1652–54

**First Anglo-Dutch War** resulting from the Navigation Acts (See [1652](#)). <sup>2</sup>

##### 1655–60

**The First Northern War**, with Sweden against Poland (See [1655–60](#)), concluded by the **Treaty of Oliva** and **Treaty of Copenhagen**. Russia, Denmark, and the empire had joined against Sweden after initial Polish defeat. The **Treaty of Kardis** (1661) between Sweden and Russia reestablished the status quo ante bellum. <sup>3</sup>

##### 1656–59

**War between England and Spain**. War began after the English captured Jamaica (May). Spanish treasure ships captured off **Cádiz** (Sept. 9, 1656) and Blake victorious (**Santa Cruz**, April 20, 1657). **Dunkirk** (1658) besieged by the English and French. The Spanish were beaten (**Battle of Dunes**, June 14, 1658). Dunkirk surrendered and the <sup>4</sup>

English retained it in Peace of the Pyrenees.

## 1659

**Treaty of the Pyrenees** settled the War between France and Spain begun during the Thirty Years' War: (1) **France** received part of Roussillon, Conflans, Cerdagne, and several towns in Artios and Flanders, Hainault, and Luxemburg; (2) the **Duke of Lorraine**, the ally of Spain, was partially reinstated (France received Bar, Clermont, etc., and right of passage for troops); the Prince of Condé entirely reinstated; (3) marriage between **Louis XIV and the infanta Maria Teresa**, Philip IV of Spain's eldest daughter. Maria Teresa renounced her claim to that throne if Spain paid the entirety of her 500,000-crown dowry. Because such a payment seemed unlikely, Louis XIV entertained notions of controlling the Spanish throne.

5

## 1661, June 23

**Treaty between England and Portugal.** Charles II and the infanta Catherine of Braganza to wed. England received Tangier, Bombay, and 2 million crowns.

6

## 1665–67

**Second Anglo-Dutch War.** England defeated the Dutch fleet off **Lowestoft** (June) but the Dutch blocked the **Thames** (Oct.).

7

## 1666, Jan

Following foiled efforts to mediate between England and Holland, France allied itself with Holland. English navy defeated at **the Four Days Fight** but successful at **North Foreland**. Robert Holmes set 250 Dutch merchant ships ablaze (**Holmes' Bonfire**, Aug.).

8

## 1667

England and Holland began peace talks (May). **Medway Disaster** (June) and English defeat of French off **Martinique** (June 20). 9

## July 31

**Peace of Breda.** England agreed to the Dutch interpretation of the Navigation Acts and confirmed control of “the New Netherlands” (See [1664](#)). 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1649, Jan. 20](#))

## **5. National Patterns, 1648–1815**



EUROPE IN THE 17TH CENTURY (MAP)

### **a. England, Scotland, and Ireland**

#### **1. England and Scotland**



HOUSE OF HANOVER (1714-1837)

**Monarchs:** The Commonwealth (1649–60). Charles II (1660–85). James II (1685–88).<sup>1</sup>  
William and Mary (1689–95). William (1695–1702). Anne (1702–14). George I  
(1714–27). George II (1727–60). George III (1760–1820).

**DEMOGRAPHY:** Population remained largely unchanged between 1650 and 1730 but<sup>2</sup>  
doubled in the latter half of the 18th century, mostly because of increased birth rates, as  
infant mortality did not begin to decline until the early 19th century.

### **1648**

**Typhus epidemic** struck Britain.

## 1649–60

**THE COMMONWEALTH.** Power in the new model army and Oliver Cromwell. 4  
Legislative power theoretically in the Rump, executive power in a council of state of 41.  
House of Lords and title and office of the king abolished.

**Economy:** Bad harvests (1647–50) and civil war led to an increase in food prices and in 5  
rents. Lands seized during the civil war were redistributed, which facilitated improvement  
of lands after 1668.

**Society:** Non-Anglican congregations and radical movements flourished in the 1650s. 6  
Some congregations gave increased roles to women, who were allowed to teach, preach,  
and prophesy. As a result of these increased roles and women's growing independence  
during the civil wars, women's status improved after 1648.

## 1648, Sept. 11

**Levellers' petition** repudiated the notion of economic equality through redistribution of 7  
property. This notion was espoused by the **Diggers, or True Levellers**, who combined  
the Levellers' demands for democracy presented in the **Putney Debates** with the Leveller  
definition of a free Englishman as someone who could freely dispose of his labor,  
property, or person.

## 1649

**Diggers began cultivating St. George's Hill.** Led by Gerrard Winstanley, they called for 8  
wasteland to be given to the poor for cultivation.

## Feb. 5

Scots proclaimed Charles II in Edinburgh. Cromwell suppressed rebellion in Ireland, 9  
which raised the Irish question to a new height.



(See [Cultural Developments](#)) (See [1648](#))

## **b. [The Dutch Republic](#)**

### **1647–50**

**WILLIAM II** succeeded his father, Frederick Henry, in the stadholdership. Able, ambitious, and restless, William disapproved of the **Treaty of Münster** (1648), which recognized the independence of the provinces, and would have preferred to continue the war. He soon became involved in conflict with the states-general and, by arresting some of the leaders of Holland and attacking Amsterdam itself (1650), forced the submission of the state-rights group. 1

### **1650, Nov. 6**

**William died.** His son was born posthumously. 2

### **1651**

**The Estates held a constituent assembly** but only agreed to stop the possibility of recreating the office of captain-general. 3

### **1652–54**

The **FIRST ANGLO-DUTCH WAR**, the direct outgrowth of the English Navigation Act (1651) (See [1652–54](#)). 4

## 1652

**Dutch South Africa** founded (See [1652](#)). 5

## 1653

**John De Witt became pensionary of Holland** and thereby controlled the general policy. An able statesman and adroit diplomat, he easily maintained Dutch prestige and greatness. 6

## 1657–60

**The Dutch prevented the entrance of the Baltic** from falling into exclusively Swedish control by supporting the Danish in the Swedish-Danish War (See [1655–60](#)). 7

## 1657–61

**War with Portugal**, over conflicting interests in Brazil. 8

## 1660

**Dutch states-general rescinded the exclusion of the House of Orange from the stadholdership** following the restoration in England. 9

## 1662

**The Dutch allied themselves with the French** to provide against the danger of attack by the British. 10

## 1664



**The British seized New Amsterdam** (New York) and appropriated various Dutch stations on the African coast.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1631–48](#))

### **c. [France](#)**



#### **[FRENCH BOURBONS \(1589-1883\)](#)**

**Monarchs:** Louis XIV (1643–1715), Louis XV (1715–74), Louis XVI (1774–92). 1

**Demography:** Between 1700 and 1789, French population increased from approximately 19 million to 25 million. Population growth was more rapid in the latter half of the 18th century than in the first half but lagged behind British population growth. 2

**Economics:** Colbert subscribed to **mercantilism**, arguing that France could improve its economic position only at the cost of another country. Colbert pursued protectionist policies and introduced considerable regulation of urban trades. The sale of offices and the way in which the French national debt was financed discouraged venturesome investment by the *rentier* class of established capitalists. Despite such constraints, reassessments of French industrial development demonstrate the French economic growth per capita matched that of Britain after 1750. 3

**Women:** Women were very influential in shaping ideas at court and among the philosophes. The **Enlightenment thinkers** in France often gathered in **salons** run by wealthy women (e.g., Mme. Geoffrin, Mlle. de Lespinasse, Mme. de Tencin, Mme. du Deffand), which gave upper-class women increasing access to philosophical and political ideas. The court society created by Louis XIV at Versailles also provided women with the opportunity to participate in political discussions. Individual women gained influence over Louis XV. 4

### **1643–1715**

**LOUIS XIV** ascended the throne at age five. His mother, **Anne of Austria** (daughter of Philip III of Spain), acted as guardian. The government, even after Louis reached his majority, was conducted by **Cardinal Mazarin**. 5

## 1648

**Treaty of Westphalia** gave Metz, Toul, Verdun, Dreisach, and Pinerolo to France (See 1648, Oct. 24). 6

## 1648–49

Unrest in provinces, especially regarding tax increases. Mazarin responded by lowering taxes. 7

## 1648–53

**THE FRONDE**, revolt against the regency named after the catapult children used to hurl clods at passing coaches. This was the last attempt of the nobility to oppose the court by armed resistance. It had two phases: a parliamentary revolt and a revolt of the princes. 8

## Jan. 15

*A lit de justice*—a sitting of representatives to enforce an edict—created new offices and raised taxes. Contrary to French traditions, the Parlement examined the edict before passing it under pressure from Anne. 9

## April 7

**Parlement presented oral remonstrances** to the edict and called upon the queen to relieve the people of heavy taxes. 10

## April 29

**Droit annuel** granted provided that three of the four courts (the Parlement excepted) refused wages for four years. These courts appealed to the Parlement for assistance. **Parlement passed an act of union and called all four courts to an assembly** (May 13) despite Anne's objections. Anne arrested deputies and judges responsible for continued deputations between courts. 11

### June 8

**Queen's attorneys forbade the meeting of the assembly** but capitulated when Parlement refused to disband. Anne asked that the meeting be immediate and quick. 12

### July 4

**Parlement assumed legislative powers** in the struggle, contravening tradition, and amended a government declaration that future taxes would be cleared by Parlement before enacting. Parlement declared all taxes not cleared null and all back taxes uncollectable. 13

### Oct. 24

**Parlement registered a declaration of government which was a product of compromise at a convention.** Wages were restored but some offices removed and tax farming regulated. However, the government began to negotiate further amendments to this declaration. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1659, Nov. 7](#))

## **d. [The Iberian Peninsula](#)**

### **1. Spain**

**Demography:** Subsistence crises and high infant mortality led to very slow population growth in Spain in the last half of the 17th century. Spain experienced rapid growth in the first half of the 18th century, then slower growth again after 1750. 1

**Economy and Society:** The Spanish economy was characterized by diversity in agriculture but dominated by textiles in manufacturing. In most of Spain, **land was owned by nobles and clergy** who continued to use traditional farming methods. In some areas, dominated by sheep and pasturage, enclosure came late. In other areas, such as Andalusia, landowners controlled huge estates—*latifundia*—creating a large rural proletariat of day laborers. In most cases, Spanish agriculture lagged behind that of much of western Europe. **Industry also developed slowly**, hampered by lack of investment, strong guilds, and poor transport. Spain characteristically concentrated on foreign trade, which suffered with decline of Spanish colonies. In this setting, society remained split into peasants and nobles throughout much of the countryside, while guilds dominated the cities. 2

**Culture:** The French Enlightenment had only limited impact in Spain because the Spanish Inquisition tried to suppress it. Nonetheless, some Spanish intellectuals did try to spread Enlightenment ideas. They were led by **Benito Jerónimo Feijóo**, whose *Teatro Crítico Universal* (1726–39) began the compilation of information on a wide variety of works, which he continued with other, later works. **Luis Canˆuelo's *El Censor*** provided Spain with an organ of social criticism, while **Pedro Rodríguez** theorized on government. 3

**Monarchs:** Charles II (1665–1700), Philip V (1700–1746), Ferdinand VI (1746–59), Charles III (1759–88), Charles IV (1788–1808). 4

**The Peace of Westphalia** marked the beginning of decline for the Spanish Empire. Spain continued at war with France. 5

### 1652, Oct

**The Catalan revolt** begun in 1640 finally ended when the citizen army in Barcelona surrendered to **Don Juan** of Austria, the king's illegitimate son. 6

### 1658

**The French besieged Dunkirk**; the Spanish were unable to relieve it. 7

### 1656–59

**War with England** (See [1656–59](#)). 8

### 1659

**The Treaty of the Pyrenees** (1659) ended the war with France. 9

### 1660

In an effort to stop inflation, the **government introduced a new copper coinage** but prices continued to rise. 10

### 1660

**Crown took control of municipalities, destroying their autonomy.** 11

### 1665–1700

**CHARLES II**, the four-year-old son of Philip IV and the last of the Spanish Habsburgs. <sup>12</sup>  
Until 1676 his mother, **Mariana of Austria**, headed the council of regency. She appointed her personal confessor, **John Everard Nithard**, inquisitor general, but he was uniformly disliked.

## 1665

**The Cortes lost its right to approve grants for the crown** but retained its right to recognize a new monarch. <sup>13</sup>

## 1667–68

**The War of Devolution** (See [1667–68](#)). <sup>14</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1623–44](#))

## e. [Italy and the Papacy](#)

### 1. Overview

**Economy and Society:** The **general crisis of the 17th century** weakened the basis of Italian economic development. **Population growth** stagnated as a result of plague and famine. Trade with the east suffered from the war with the Ottoman empire and the decline of the **Mediterranean spice trade**. Holland and England, situated on the western European coast, developed seaborne trade routes that took advantage of both eastern and western trade opportunities and contributed to the decline of the Italian economy. **Italian production** also declined dramatically. Investment in Italy had been concentrated in luxury goods and buildings rather than trade and capital development. In some parts of Italy, **investment in land** led to **agricultural changes**, increased the number of acres in production, and encouraged a shift from crops such as millet to rye or wheat. <sup>1</sup>

In the **18th century, Italy experienced a gradual recovery**. It switched crops and lifted trade barriers. **Population increased**, especially in the countryside. Reforms in education, gradual decline of the power of the papacy, and introduction of some manufacturing innovations all spurred this recovery. <sup>2</sup>

**Italian towns** continued to be controlled by small, often hereditary oligarchies while the countryside remained dominated by large landowners. The Italian nobility sometimes proved capable of significant innovation. **Peasants protested taxation and overbearing policies**, which led to an 18th-century age of reform fueled by Enlightenment thinking. <sup>3</sup>

**CULTURE:** In music Italy was outstanding. **Niccolò Amati** (1596–1684) and **Antonio Stradivari** (1644–1737); in opera, **Claudio Monteverdi** (1567–1643) and **Giovanni Pergolesi** (1710–36), **Domenico Cimarosa** (1749–1801), and **Giovanni Paisiello** (1741–1816). **Girolamo Frescobaldi** (1583–1643), composer of organ music; **Arcangelo Corelli** (1653–1713), eminent violinist and composer of sonatas and concerti grossi; **Alessandro Scarlatti** (1659–1725), of operas; and **Antonio Vivaldi** (c. 1678–1741), of <sup>4</sup>



chamber music. Two great schools of music at Venice and Naples.

**Lorenzo Bernini** (1598–1680), architect and sculptor, was one of the leading artists of the Baroque period, which preceded the Rococco of the 18th century and the classical revival represented by **Antonio Canova** (1757–1822). Bernini designed and built the **Vatican Palace** and **St. Peter's Square**, while **Francesco Borromini** (1599–1667) reconstructed St. John Lateran and built other Roman churches. 5

In painting, **Giambattista Tiepolo** (1696–1770) for a time brought Venice a final burst of glory. 6

**The Academy of Arcadia** (1692) started a widespread vogue of the conventional and artificial in literature, which was counterbalanced by the comedies of **Carlo Goldoni** (1707–93) and the serious patriotic dramas of **Vittorio Alfieri** (1749–1803). A return to classicism was apparent in the dramas of Goldoni and in the work of Alfieri and poetry of **Gaico** **Leopardi** (1798–1837). 7

Italy was preeminent also in the fields of social and physical science. **Pietro Giannone** (1676–1748) created a profound stir with his anticlerical *Historia civile del regno di Napoli* (1723); **Antonio Genovesi** (1713–69) was an outstanding physiocrat; **Giambattista Vico** (1668–1744), with his *Scienza nuova* (1725), laid the basis of the modern philosophy of history; while **Cesare Beccaria** (1738–94) in his *Dei delitti e delle pene* (1764) founded the modern science of penology. In the natural sciences **Lazzaro Spallanzani** (1729–99) made fundamental contributions to the study of digestion, while **Luigi Galvani** (1737–98) and **Alessandro Volta** (1745–1827) were in the front rank among the pioneers of electricity. 8

**Politics:** Italy remained divided between 1648 and 1815, different regions coming under the control of various monarchies in Europe. However, regions dominated by the Bourbons and the Habsburgs experienced an **age of reform fueled by Enlightenment thinking** during the 18th century. (See [The Italian States](#)) 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1648](#))

## **f. [The Swiss Confederation](#)**

**The Legacy of the Thirty Years' War:** Despite the involvement of Swiss mercenaries, Swiss **neutrality** during the Thirty Years' War made Switzerland a center for refugees who, along with soldiers, brought the **bubonic plague** and other diseases into the country. Swiss neutrality also demanded a strong Swiss army, which the Swiss paid for partly through **the Defensionale of Wyl** (1647). This defensionale strengthened bonds among cantons. The Peace of Westphalia recognized Swiss independence. 1

**DEMOGRAPHY:** Population remained static during the latter half of the 17th century but grew in the 18th century, climbing from about 1.2 million to 1.7 million. 2

**ECONOMICS:** As with most of western Europe, **mercantilist thought** heavily influenced Swiss industry and agriculture (See [France](#)). Switzerland sought foreign markets for its products and increased independence from foreign imports. It developed two leading sectors of industry, in the east and west respectively, between 1648 and 1815. **Textiles** developed largely free from guild regulation and under the influence of French immigrants. **Clock making** remained regulated by guilds but advanced because of the reputation of Swiss clock makers. **Trade** also benefited from knowledge of foreign trade gained by Swiss mercenaries. **Agriculture** made slow progress during much of this period, but the latter half of the 18th century saw a **back-to-the-land movement** encouraging the foundation of agricultural societies and some improvements in agricultural techniques. Animal husbandry was encouraged by **mercantilism**, which sought to decrease Swiss wool imports. However, Swiss terrain made farming difficult and Switzerland continued to import agricultural products. 3

**SOCIETY:** Swiss society reflected the diversity of Swiss cantons—divided by religion and geography. **Protestants** generally occupied the plain and **Catholics** the mountainous regions. **Peasant** life reflected long-standing methods of farming; small family holdings, commons, and continued emphasis on milk production. **Cities**, on the other hand, generally had strong **guilds** regulating production and often dependent on the surrounding countryside for agricultural products. While never legally abolished, trials and persecutions for **witchcraft** came to an end between 1648 and 1815 (Vaud, 1680; 4

Zürich, 1714; Glarus, 1782).

**GOVERNMENT:** The Swiss cantons established a **loose federalist government**, assuring each canton a large measure of independence. Each canton chose its form of government—ranging from old styles of open-air meetings in forest cantons to elaborate patriarchies and even absolutism. The **Swiss diet** had 13 seats; the Protestants held 6 of these but demanded recognition because of their economic and military strength.

5

### 1653

**Lucerne.** Peasants, led by Nicholas Leuenberg, revolted (Jan.) and demanded relief from taxes and more recognition of tenant rights. **Leuenberg amassed an army of 16,000** but was defeated by federal forces at **Wohlenschwil** and surrendered on June 8; the terms of their surrender were renounced.

6

### 1655

**Proposals for the establishment of a more centralized state**, put forward by Zürich, were defeated by the Catholic cantons.

7

### 1655

**The Catholic canton of Schwyz** threatened the **Protestants** within its borders with suppression. Some fled to Zürich but the remainder were **persecuted** and, in three cases, turned over to the Inquisition in Milan. **Zürich** demanded that Schwyz restore Protestant land and possessions. Schwyz refused and demanded the return of Protestant refugees.

8

### 1656

This conflict escalated into the **FIRST VILLMERGEN WAR**. Bern and Zürich declared war against five Catholic cantons. The Protestants were defeated at **Villmergen** (Jan. 24), reaffirming each canton's right to determine religious activity. However, Protestant and Catholic conflicts continued.

9

### 1663

**Renewal of the alliance with France**, enabling Louis XIV to draw mercenaries from the cantons despite opposition from Zürich and some of the Protestant cantons. 10

## 1663–1776

During more than a century there was no meeting of the federal diet, indicating the almost complete collapse of the federal connection. 11

## 1678

**Franche-Comté** (Treaty of Nimwegen) (See [1678–79](#)), hitherto under federal protection, was annexed to France. 12

## 1693

**The Protestant cantons agreed to supply soldiers** to the Dutch and later to the English. The Catholic cantons responded, agreeing to supply men to the Spaniards. 13

## 1707

**Efforts to extend the franchise** in Geneva to include more men were put down. 14

## 1707

**A popular insurrection in Geneva**, led by Peter Fatio, was suppressed with the aid of the Bern and Zürich oligarchies. 15

## 1708

**The house of Hohenzollern succeeded to the principality of Neuchâtel**. Louis XIV was prevented by the war (See [1701–14](#)) from pressing the claims of the prince of Conti. 16

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1648, Oct. 24](#))

## **g. [The Holy Roman Empire](#)**

**HOLY ROMAN EMPERORS:** Ferdinand III (1637–57), Leopold I (1657–1705),  
Joseph I (1705–11), Charles VI (1711–40), Charles VII (of Bavaria, 1742–45), Francis I  
(1745–65), Joseph II (1765–90), Leopold II (1790–92). 1

The territorial states of the Holy Roman Empire gained strength and independence  
during the 17th and 18th centuries. While each state determined its internal policies, the  
empire was dominated by two powers, Austria-Hungary in the east and Prussia in the  
west. The Imperial Diet continued to meet and make decisions regarding trade and  
foreign policy. 2

**Economy and Society:** After the Thirty Years' War, Germany suffered agricultural  
upheaval. There was a shortage of agricultural labor, and agricultural prices declined  
because urban populations had been decimated by the war. This decline encouraged the  
continued transformation of *Grundherrschaft* to *Gutsherrschaft*, eliminating the free  
peasantry east of the Elbe. The Junkers' continued strength encouraged this policy. The  
guild recess of 1731 marked the decline of guilds in Germany and the development of  
the **Verlagssystem** (contract or wage labor) west of the Elbe. The Verlagssystem was  
fueled by population increases in the 18th century. 3

### **1650ff**

**Development of *Ritterakademien*** to teach manners and other niceties to sons of the  
nobility. 4

### **1661**

Münster and Erfurt lost their status as **free imperial cities**. Magdeburg came under the control of the great elector (1666) and admitted a garrison. Surrounding territories eliminated the autonomy of many free imperial cities. Imperial control declined. 5

## 1655–60

**First Northern War** (See [1655–60](#)). 6

## 1659

**Grimmelshausen's *Simplicissimus***. 7

## 1661–64

**War against the Ottoman Empire** (See [1663–64](#)). 8

## 1667

**Samuel Pufendorf's** (1632–94) *De statute imperii Germanici* appeared and would become a standard text in Germany and Sweden. In it and *De jure Naturae et Gentium*, Pufendorf argued for a strong German state, but unlike Hobbes in England, he believed that the ruler had an obligation to assure the well-being of his subjects. 9


## 1667–68

**War of Devolution** against France (See [1667–68](#)). 10

## 1674

**The Dutch War**. Holy Roman Empire sided with Dutch against Louis XIV aggression. 11

## 1681

**The Reichskriegsverfassung**  *beta* **ung** (imperial military declaration) passed in the Imperial Diet. This established military organization on the basis of the circles of empire. It established a peacetime force of 40,000 men. 12

## 1688–97

**War of the League of Augsburg**, against Louis XIV (See [Oct. 30](#)). 13

## 1692–1701

**German princes elevated in rank:** Hanover an electorate; Augustus II, Elector of Saxony, became king of Poland and adopted the Catholic faith. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1632–54](#))

(See [1632–54](#))

## **h. [Scandinavia](#)**

**DEMOGRAPHY:** With the exception of Iceland, Scandinavian population grew in the 17th and 18th centuries, particularly after 1721 (end of the Great Northern War). Icelandic population remained steady, punctuated by the oscillations of natural disaster and famine. **Denmark's population** increased most rapidly in the 18th century; population in 1600 was about 700,000, in 1700 about 800,000, and in 1800, one million. **Finland's population** did not increase substantially until after the Great Northern War (See [1700–1721](#)), but then growth seemed to be closely tied to the availability of land (by 1750 about 420,000 and by 1800 about 833,000). Norway also experienced slow growth before 1750 and more rapid growth after 1750, spurred by declining death rates and increasing birth rates. 1

**Culture:** Scandinavian cultural development included scientific, political, and literary advances during the 17th and 18th centuries. **Linnaeus** (1707–78), a Swedish botanist, published his *Systemae Naturae* (1735). **Anders Celsius** (1701–44) invented the centigrade thermometer, although his version set the boiling point at zero degrees and freezing at 100 degrees. Two Swedish political theorists followed Lockean notions of politics: **Johan Henrik Kellgren** and **Nils von Rosenstern**. Scandinavian satirists included **Olof Dalin** and **Holberg**. **Hedvig Charlotta Nordenflycht** and **Gustaf Philip Cruetz** were writers and leading members of the **Tankebyggarorden**, a literary society in Stockholm modeled after similar French societies. 2

### **1. Sweden and Finland**

**Monarchs:** Christiana (1632–54), Charles X (1654–60), Charles XI (1660–97), Charles XII (1697–1718), Ulrika Eleanora (1718–20; she turned the throne over to her husband), Frederick I (1720–51), Adolphus Frederick (1751–71), Gustavus III (1771–92), Gustavus IV Adolphus (1792–1809). 3

**Sweden controlled Finland** but was challenged by Russia in the 18th century, finally relinquishing control in 1809. 4

**Legacy of the Thirty Years' War:** Sweden emerged as the dominant power in the Baltic region, but its power gradually declined over the next century and a half. Sweden gained control of **Pomerania (Treaty of Westphalia)** and sought control of **Poland**. Its territorial aggressions resulted in several wars and required huge military expenditures. 5

**Agriculture** remained unchanged during the 17th century. Peasants still used the strip system; barley was the primary crop, and crops frequently failed. Finnish settlers in northern and western Sweden still used the slash-and-burn technique; land was burned, cultivated, exhausted, and abandoned. 6

**Economy:** Swedes pursued mercantilistic policies and exported iron, copper, and timber. They encouraged **immigration** to provide the necessary labor force for such production, especially in mining regions and the Umeå Lappmark in the north, and created several colonial interests, including an **African Company** (1649-1717) and West India companies. 7

**Society: Lutheran pastors** had great sway within Swedish society and spread Lutheran teachings everywhere Swedish armies conquered. At the end of the century, the Swedish church received a new hymnal and began a new translation of the Bible. **Towns** became more important in the 17th century; their guilds maintained strict control of their crafts. The government tried to keep its Swedish workforce and encourage foreign workers to immigrate, regulating when and where workers might go within the country. 8

## 1648ff

Sweden expanded its colonial influence by establishing several colonial **tar companies**. 9

## 1650

**The riksdag's protests regarding noble control** of former crown lands stifled. These protests demonstrated growing impatience with state debts incurred in the wake of such benevolence. 10

## 1654

**Queen Christina**, the daughter of Gustavus Adolphus, abdicated the throne in favor of her cousin, **Charles Gustavus of Pfalz-Zweibrücken**. 11

## 1654–60

He became **CHARLES X GUSTAVUS**. His reign concentrated on military developments because of his attack on Poland. 12

## 1655–60

This attempt to gain new Baltic territory, the **First Northern War**, was concluded by the **Treaty of Oliva** and the **Treaty of Copenhagen** (1660; (See [1655–60](#))). 13

## 1655

Riksdag began the process of “**reduction**,” eliminating noble control of and benefits from crown lands, by ordering reductions on mines, forts, and other property. 14

## 1658, Feb. 26

**Treaty of Roskilde between Sweden and Denmark**. Sweden received the provinces of Skåne, Halland, Blekinge, Bohuslän, Trondheim (Norway), and the island of Bornholm. 15

**Charles XI** began to develop an **absolutist monarchy**. 16

## 1660s

**Education emphasized** by the establishment of several schools, especially a medical school (1663) and Lund University (1668). 17

## 1668

**National Bank of Sweden** founded after an abortive attempt earlier in the century. 18

## 1680

Under the pressure of the king, the estates passed a law by the terms of which all earldoms, baronies, and other large fiefs should revert to the crown. The riksdag also affirmed the king's right to reclaim grants to the nobles without the riksdag's intervention. This weakened the nobility and forced many to sell their lands, which increased the percentages of land held by free farmers and office-holding nobility.

19

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1627](#))

## i. [Poland](#)



### [THE PARTITIONS OF POLAND, 1772-1795 \(MAP\)](#)

**Monarchs:** John Casimir (1648–68), Michael Wisnowiecki (1669–73), John Sobieski (1674–96), Augustus II (1696–1704), Stanislas Leszczynski (1704–9), Augustus II (1709–33), Augustus III (1734–1763), Stanislas Poniatowski (1764–1795). 1

**The Legacy of the Thirty Years' War:** Poland had not suffered as greatly from the war as other central European powers. It remained neutral after the **Treaty of Stummdorf** (1635). Poland still had a weak government, owing to a lack of bureaucracy and a relatively weak army without a stable financial base. It also had few merchants, traders, or other members of a middle class. 2

**ECONOMY AND SOCIETY:** The Polish economy underwent steady decline between 1648 and 1795. The **Vistula grain trade** collapsed as a result of warfare. The Polish economy rested on this trade, exporting more than it imported. It had **few large cities** and these remained organized by burghers and guilds. Some of these cities made limited progress in the 18th century. However, the wars that ravaged Poland took a heavy toll on its cities, which were frequently captured or sieged. The **nobility** dominated Polish society but, unlike the nobility of many Western countries, did not necessarily secure economic wealth. Nobles with little or no land retained their position long into the 18th century because nobility rested largely on political and social obligations. Each noble held an **absolute veto** over any actions in the **Sejm** (parliament) and a **vote in electing the monarch**. Nobility also continued the tradition of dividing their land among all their children, male and female, which split many larger estates into increasingly smaller pieces. **Peasants** constituted the largest part of the population, especially if the many “peasants” with the rights of burghers are taken into account. Polish society was divided by **nationality**; Ukrainians initiated an uprising in 1647 and 1648. It was also divided by **religion**—Catholics, Orthodox, and Lutherans as well as Jews and Muslims. 3

## 1647–48

**Bogdan Khmelnytsky launched his Cossack uprising** against Poland. Initially he sought only to address his grievances to the king in person. John Casimir's ascension changed the situation, as did the killings of rebelling Ukrainian peasants by government officials.

4

## 1651, June 28–30

**Khmelnytsky defeated by King John at Berestczko.**

5

## 1652

**The Liberum Veto** (absolute veto of any member of the Polish Sejm) used by Jan Sicínski in a motion to prolong the Sejm. This use stopped the proceedings and paralyzed the Sejm.

6

## 1654

**The Treaty of Peryslavl** with Russia. Khmelnytsky swore an oath of allegiance to the tsar in exchange for assurances that the Ukraine would receive a large amount of autonomy, a promise the tsar ignored. The Ukrainian situation thus became incorporated into wider struggles for Polish territory.

7

## 1655–60

**War between Sweden and Poland** (See [1655–60](#)). Invasion of the Swedes. Poland lost its remaining Baltic territories (**Treaty of Oliva**, May 3, 1660).

8

## 1655

**Swedes took Warsaw.** They then demanded Kraków surrender. The king fled to the Silesian borders; the Polish paid homage to Charles Gustavus. 9

## Dec. 26

**Siege lifted at monastery of Czestochowa,** where the prior had organized a small force of soldiers to protect the **Black Madonna.** King John swore that the Virgin would be venerated (the Cult of Our Lady) and that he would free the serfs following restoration of Poland. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1637](#))

## **j. [Russia](#)**



### **[RUSSIAN TSARS \(1645-1917\)](#)**

**Rulers:** Alexis (1645–76), Theodore (1676–82), Peter the Great (1682–1725), Catherine I (1725–27), Peter II (1727–30), Anne (1730–40), Ivan VI (1740–41), Elizabeth (1741–61), Peter III (1762), Catherine the Great (1762–96), Paul (1796–1801). 1

**Economy:** The Russian economy rested on agriculture, particularly upon grain production. Estates relied on increasingly intense serfdom to provide the necessary labor and trade with Europe. The number of artisans and merchants expanded during the 17th and 18th centuries, and **the government encouraged some development through a new commercial code**. However, the Russian economy remained primarily agricultural. 2

**Society:** The 17th century was dominated by efforts to restructure Russian society and religion. Russia also expanded its territories in the 17th century, notably into the Ukraine and Poland, which added diversity within Russian lands. 3

Alexis tried to overcome financial difficulties by increasing the salt tax and legalizing and taxing tobacco. However, his administration was troubled by corruption, and increased taxes led to rebellion. 4

### **1648, May**

**Moscow revolted against taxes and corruption.** Alexis responded by arresting and executing some of the corrupt officials, but rebellion spread to many other cities. 5

### **1648–49**



**Education: Theodore Rtishchev** established a monastery in Moscow to encourage Kievan monks to come and teach languages and rhetoric there. Other schools were established during the latter half of the 17th century. They generally deemphasized science and followed a medieval arts-and-letters curriculum.

6

## 1649

**Ulozhenie, a new legal code** (See [1649](#)), improved government administration and solidified serfdom by eliminating the distinction between old settlers and new peasants, considering both as serfs.

7

## 1652

Russia experienced an **influx of foreigners** in the 16th and 17th centuries. Alexis provided them with a foreign settlement, **Nemetskaia Slobada**, northeast of Moscow. Foreigners later influenced Peter the Great's efforts to reform Russian society and culture.

8

## 1653

**Russian church council** accepted the verification of religious texts, the first in a series of church reforms. The verification project gained momentum under the **patriarch Nikon**. Nikon had the support of the tsar until a break in 1658. He expanded his reforms to include certain rituals (crossing oneself with three rather than two fingers, changing the spelling of Jesus, etc.).

9

## 1654–67

**War with Poland for the possession of the Ukraine** (See [1654](#)) after the cossack Hetman, **Bogdan Khmel'nitsky**, had placed himself under Russian protection. By the Treaty of Andrusovo (Jan. 20, 1667), Russia obtained the Smolensk region and the eastern Ukraine, with Kiev. The outcome of the war was of great importance, because the Russian gains first brought the Russians in contact with the Ottomans in southeastern Europe.

10

## 1656

**Russian government began debasing the currency** by adding copper to silver coins. 11  
Such debasement reflected Russian financial collapse in the 17th century and led to inflation.

## 1656–60

**War with Sweden** (See [1655–60](#)). 12

## 1662

**Copper coin riot.** 13

## 1664

**Russian post office established.** 14

## 1666–67

**Church council** considered the changes made by Nikon. They defrocked Nikon for his 15  
efforts to gain political power but supported his religious reforms. This acceptance led to  
a **SPLIT IN THE RUSSIAN ORTHODOX CHURCH**; the **OLD BELIEVERS**  
refused to accept the reforms although they included no changes in belief. In later  
decades Old Believers colonized various territories acquired in Russian expansion.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1459–99](#)) (See [1504](#))

## **C. The Middle East and North Africa, 1500–1800**

### **1. Overview**

In the 16th century, **a simpler political map** took shape in the region with the integration <sup>1</sup> of the Middle Eastern and North African lands into **three states**: the Ottoman Empire, Safavid Iran, and Morocco. **The Ottomans**, based until then in Anatolia and southeastern Europe, absorbed nearly all of the Arabic-speaking lands with the exception of Morocco and parts of the Arabian peninsula. Theirs became the dominant regional power, although **Iran** emerged as a formidable foe and bloody conflicts between the two countries erupted periodically.

Several major developments altered the political scene in the 17th and 18th centuries: **the Ottoman Empire became decentralized** as Istanbul's hold on the provinces weakened <sup>2</sup> and autonomous authorities sprang up almost everywhere; **the Safavid regime collapsed**, giving way to several decades of internal fragmentation and turmoil; and two new Middle Eastern countries were born: **Afghanistan and the Saudi state** in Arabia.

Alongside the shifts in the internal power relations came changes in the **region's position vis-à-vis Europe**. <sup>3</sup> While Middle Easterners remained virtually untouched by European culture, they now fought and traded with Europeans on a more extensive basis than before and on increasingly unfavorable terms. **Military conflict** with European countries raged along a wide front extending from the Black Sea area and the Balkans to the western Mediterranean. The region's armies were able to hold their own until the second half of the 18th century, when disastrous defeats by Russia and the easy fall of Egypt to Napoleon brought home to the Ottoman leaders the recognition that **global power had shifted definitely in favor of Europe**. This alarming sense prompted their 19th-century drive to modernize.

The region's **place in global trade** also weakened. <sup>4</sup> European merchants and governments grew increasingly strong in the Indian Ocean and the Mediterranean through the use of new trade routes, the control of shipping, and the acquisition of colonies with cheap

labor. With these assets they were able to **circumvent the Middle East** in their import of Eastern pepper and spices, **to compete successfully** with Middle Eastern products such as coffee and sugar, and to sell in the region some finished goods such as textiles in return largely for local raw materials. A **colonial pattern of exchange** (raw materials for finished goods) was beginning to develop in the early modern period, although it remained of limited economic importance for the Middle East before the 19th century because the bulk of the region's trade was still internal or directed toward Asia and Africa rather than Europe.

Like Europe, the Middle East experienced **a marked demographic expansion** during the 16th century. But population levels did not continue to rise in the following two centuries, when **plague epidemics** hit the region with greater frequency and added to the already high mortality rates. With about 28 million people in 1800, the society was still **primarily rural**, some 80 to 85 percent living in village or tribal communities and the rest in towns.

**Economic conditions** in this diverse region varied from place to place and fluctuated over time. But throughout, **agriculture** remained the predominant sector and **industry** continued to be based on small-scale artisanal production. Between them they supplied the population with its needs in food, raw materials, and manufactured goods at a level that maintained the **region's self-sufficiency**. Among the important institutional developments of the period were the emergence of **the guild system** in its full-fledged form and its leading role in regulating the urban economies.

**Religion** remained a central focus of identity as well as the ideological underpinning for a variety of social and political movements. The period saw the establishment of **Shi'ism as the state religion of Iran**, with the forced conversion of its largely Sunni population under Safavid pressure. **New Sufi orders** emerged throughout the region and often became vehicles of protest against the establishment. In Arabia, the Muslim puritanical movement of the **Wahhabis** rose to challenge Sufi practices and Ottoman authority and succeeded in establishing its own brand of Islamic state under the Saudi dynasty. Among the Christian minorities, **Catholicism spread** as a result of European missionary work, causing bitter schisms and a lasting **split of the Greek, Armenian, and other Eastern churches** into rival Orthodox and Catholic branches.

Religion also remained the core of **formal education and higher learning** throughout the period. Both continued to be the preserve of a relative few, especially as an Islamic **ban on printing** set limits on the diffusion of knowledge and literacy. But the largely **oral culture** that thrived at the mass level produced a rich corpus of skills, stories, plays, music, pastimes, and popular wisdom. Among the remarkable innovations of this oral culture was the **introduction of the coffeehouse** and its rapid emergence as the region's central institution of public socializing and entertainment. (See [The Middle East and North Africa, 1792–1914](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1512, Apr. 24](#))

## **2. The Middle East, 1501–1808**

### **a. The Ottoman Empire**



#### **OTTOMAN SULTANS (1451-1648)**

### **1. The Rise to World Empire**

#### **1512–20**

**SULTAN SELIM I.** In his first year as ruler Selim faced down a challenge to his throne by his brothers and nephews; he extinguished their **rebellion in Anatolia** and had them eliminated. His ruthlessness and harsh temper made him known as “the Grim” (*Yavuz*). His **conquest of Syria and Egypt** began the empire's absorption of the Arab lands of the Middle East and North Africa, which established the **Ottomans as heirs to the great Islamic imperial states**. <sup>1</sup>

#### **1514**

**First war with Safavid Iran.** Ottoman expansion and Sunni-Shi'ite religious antagonism brought the Ottomans and Safavids into rivalry for control of eastern Anatolia. Selim led a large army against Iran, and in the decisive **Battle of Chaldiran** in Azerbaijan (Aug. 23), his forces defeated Shah Isma'il's army and temporarily occupied the Safavid capital of Tabriz. The victory opened the way for **Ottoman expansion in eastern Anatolia and northern Iraq**. <sup>2</sup>

## 1515–16

**Annexation of Diyarbakr**, the principality of **Dulkadir**, and the greater part of **northern Iraq**, including Mosul.

3

## 1516

**THE CONQUEST OF SYRIA**, following the defeat of the Mamluk army in Marj Dabiq near Aleppo (Aug. 24). The Syrian lands as far as the frontier town of Gaza fell to the Ottomans. **Aleppo and Damascus** became the administrative capitals of two newly constituted provinces.

4

## 1517

**THE CONQUEST OF EGYPT**, following the decisive defeat of the Mamluk army at al-Raydaniyya (Jan. 22) and at Giza (April 2). Egypt was organized as a single province with its capital in Cairo. **The Holy Cities of Mecca and Medina** were also absorbed into the empire after the Hashemite emir of Mecca pledged submission to the sultan (July). The Mamluk state thus ceased to exist, but many of the defeated **Mamluk officers and administrators entered Ottoman service**. They continued to purchase new slaves, mostly Circassians, and gradually regained control of the government machinery of Egypt.

5

## 1520–66

**SULTAN SULEYMAN I (THE MAGNIFICENT)**. With the death of Selim I (Sept. 1520), his only son, Suleyman, inherited a powerful empire, which rose under him to the peak of its grandeur. Suleyman **added new territories in Europe, Asia, and Africa**, leading his army in person on numerous campaigns. He **systematized the institutions of law and administration**, for which he came to be known by his own people as the Lawgiver (*Kanuni*). In his reign began the rise to **power of the imperial harem**, as high-ranking women of the dynasty (especially the mother of the reigning sultan and his favorite concubines) acquired an unusual degree of political influence and public prominence. This power, which continued until the mid-17th century, has led to references to the period as **“the sultanate of the women.”**

6

Although Suleyman is the most celebrated of Ottoman sultans, various **problems associated with Ottoman decline** began to emerge during his reign: rural overpopulation, unemployment, inflation, and heavy taxation. These fueled discontent and popular revolts.

7

## 1520–21

**Anti-Ottoman revolt in Damascus**, led by **Janbardi al-Ghazali**, the Mamluk notable appointed by the Ottomans in 1516 to govern the newly conquered province. An Ottoman force defeated his troops in Damascus and killed him (Feb. 1521), ending his bid for independent rule. The governorship of Damascus was henceforth given to Ottoman officials.

8

## 1521

The Ottomans captured **Belgrade** (Aug.) and completed the **conquest of Serbia**.

9

## 1522, Dec. 20

The **conquest of Rhodes**, after some five months of siege. With the elimination of this center of Christian piracy, the Ottomans secured the maritime routes in the eastern Mediterranean.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1501](#))

## b. [Iran](#)



### [SAFAVID DYNASTY](#)

#### 1501–24

**SHAH ISMA‘IL, FOUNDER OF THE SAFAVID DYNASTY.** In 1501 Isma‘il occupied Tabriz and proclaimed himself shah. Within a decade he conquered the territories constituting present-day Iran as well as Iraq and parts of eastern Anatolia. His ascension to power culminated a long struggle by the **Safavid movement**, which had built a mass following in northwestern Iran and eastern Anatolia, especially among the Turkoman tribesmen. These followers of the Safavids, known as the **Qizilbash** (“**Redheads**”) because of their distinctive red headgear, felt a devotion to Isma‘il both as a temporal leader and as head of the Safavid religious order. Isma‘il, who claimed descent from the founder of the movement, the Sufi leader Sheik Safi al-Din (1252–1334), **embraced Shi’ism**, although some of his beliefs—in his own divine qualities, messianic mission, and infallibility—reflected the **religious syncretisms** of the contemporary Safavid milieu. 1

Isma‘il's advent to power signaled the **end of Sunni Islam in Iran**. He imposed Shi’ism as the state religion, forcing conversion upon the largely Sunni population of the country. Initially he had to import Shi’ite religious authorities from Lebanon, Iraq, and Bahrain, so few were their numbers in Iran. By the 18th century, the great majority of the population had become Shi’ites, and Shi’ite theologians dominated the religious establishment. 2

The Safavid dynasty founded by Isma‘il held effective power in Iran until 1722, 3

although nominal Safavid rulers remained on the scene as political pawns for many years after. The regime rested in good part on the **support of the Qizilbash**, who helped bring it to power. Tribal chiefs were granted **governorships** of provinces and high positions in the central government. The Qizilbash also controlled **military forces** that helped them maintain their influence. A second element in the ruling elite was the **Persian bureaucracy**, which was essential to the machinery of government. Although there were rivalries between the two elements, in the course of time they formed marital and political alliances that cut across group lines.

## 1501

**Muhammad Baha' al-Dawla**, an Iranian physician and scholar, published *The Quintessence of Experience*, a work based on his clinical medical experience, which contained the first known description of whooping cough as well as accounts of chicken pox and German measles. His manuscript also detailed the earliest description of syphilis in the East.

4

## 1504

Death of **Sayfi of Bukhara**, an artisan and poet who wrote more than a hundred odes, each dedicated to practitioners of different crafts. This form of poetry, called *shahr-ashub* (“city disturbing”), combined Sufi mystical terminology with details about specific crafts. The verses reveal technical, religious, and social aspects of the many **guilds** (*asnaf*) that flourished throughout Iran. Often these poems were written in a jargon understood only by guild members.

5

## 1505

Death of **Mulla Husayn Kashefi**, the author of *Rawzat al-shuhada'* (*The Garden of Martyrs*), the earliest text for the public recitation and remembrance of the martyrdom of the third Shi'ite imam Husayn (d. 680). The **commemoration of Husayn's death** during the Muslim month of Muharram became part of an annual public mourning ritual that reached its full dramatic potential in the later Safavid period in the form of the *ta'ziyeh*, or **passion play**, a distinctly Iranian Shi'ite form of popular religious remembrance.

6

## 1507

**The Portuguese capture of the island of Hormuz** in the Persian Gulf. It became a naval base and trade outpost. The shah, who had no navy, reluctantly accepted this European presence, which lasted until 1622, when the Portuguese were **evicted with British help**.

7

**1507**

The Safavids extended their control into the region of **Diyarbakr** in eastern Anatolia.

8

**1508**

The Safavids took **Baghdad and Iraq**.

9

**1510**

**Capture of Khurasan**. Shah Isma‘il absorbed the large province into his state after defeating the Uzbeks and killing their leader, Muhammad Shaybani, in a battle near Merv. The **Uzbeks** remained a formidable adversary of the Safavids throughout the century.

10

**1514, Aug. 23**

**Battle of Chaldiran**, in which Shah Isma‘il's army suffered a crushing defeat by the Ottomans, who acted in retaliation for Safavid support of Turkoman revolts in Anatolia. The **Ottoman victory** resulted from superior numbers as well as the use of field artillery and guns, not employed by the Safavid army on this occasion. The battle opened the way for the Ottoman conquest of Diyarbakr, Erzinjan, and other parts of eastern Anatolia as well as northern Iraq.

11

**1522**

Shah Isma‘il brought the famous **Timurid painter Bihzad** from Herat to Tabriz and appointed him director of the royal library. Bihzad's successors formed a **brilliant artistic school** that produced some of the finest Persian manuscript illustrations.

12

## 1524–76

**SHAH TAHMASP I.** The eldest son of Isma‘il ascended the throne at the age of ten, and for the first ten years of his reign, real power was held by a number of leaders of competing Qizilbash factions, whose feuding caused much political instability. In 1533 Tahmasp asserted his authority. One of his legacies was the **introduction of converted slaves into court and the military**. They were drawn from thousands of Georgian, Circassian, and Armenian prisoners captured in campaigns fought in the Caucasus in the 1540s and 1550s. **Female slaves** entered the royal harem, becoming mothers of princes and a force in court politics and dynastic quarrels. Some of the male slaves began to acquire positions of influence, reaching, under Shah Abbas, high offices that challenged the supremacy of the Qizilbash.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1490](#))

### **c. [Afghanistan](#)**

In the 16th and 17th centuries, the Mughal Empire of India and the Safavid Empire of Iran held between them the area that would emerge in the 18th century as Afghanistan. The **province of Herat** remained with Iran, while **Kabul** was administered by the Mughals. The contested **province of Qandahar** moved between the two empires during this period but by 1700 became part of the Iranian sphere. Unlike Shi'ite Iran, the populace of Afghanistan remained Sunni Muslim. 1

#### **c. 1700**

**The Afghan tribes of Ghilzay situated in Qandahar** became essentially independent of Safavid rule, as did their enemies, **the Abdali tribe located in Herat**. 2

#### **1709–22**

**Consolidation of Ghilzay control of Qandahar.** **Mir Vays**, leader of the Ghilzay Afghans, fell out with the Safavids and defeated their attempts to assert control over Qandahar, which he held until his death in 1715. His son Mahmud, who succeeded him, consolidated his command of the area. 3

#### **1722**

**THE AFGHAN INVASION OF IRAN.** Led by Mahmud, **the Ghilzays defeated the Safavid army** and entered Isfahan after a six-month siege (Oct. 1722). The Safavid shah Sultan Husayn abdicated after declaring the Afghan victor Mahmud his successor. **The Ghilzay Afghan dynasty ruled much of Iran and Afghanistan** under Mahmud 4

(1722–25) and his successor Ashraf (1725–30). But **Nadir Shah**, the Safavid general, mounted a campaign that **expelled the Afghans from Iran** and made him master of the country.

### 1737–38

**OCCUPATION OF AFGHANISTAN BY NADIR SHAH.** The ruler of Iran captured Herat, Qandahar, Ghazna, and Kabul. **The power of the Ghilzay was broken** in this campaign. Nadir favored the Abdalis and enlisted large numbers in his army for his invasion of India in 1739. His army comprised largely Sunni Afghan troops, since his own Sunni beliefs had alienated his Shi'ite Iranian soldiers. **His reign consolidated all of Afghanistan**, a situation that ended with his death in 1747. 5

### 1747–73

**AHMAD SHAH DURRANI, FOUNDER OF THE SADOZAY DYNASTY.** Following the death of Nadir Shah, Ahmad Shah, the Afghan commander of his bodyguard and a member of the Abdali tribe, proclaimed himself the ruler in Qandahar. He adopted the title *Durr-i Duran* (“Pearl of Pearls”), and after that the Abdalis were known as **the Durranis**. **He invaded India several times** and extended Afghan control from the eastern borders of Iran to Lahore, Kashmir, and Delhi. 6

### 1773–93

**TIMUR SHAH.** The son of Ahmad Shah inherited an extensive empire. He faced many revolts in his Indian possessions as well as internal difficulties in controlling the Durranis. In 1776 he **moved the capital from Qandahar to Kabul**. 7

### 1793–1800

**ZAMAN SHAH.** The fifth son of Timur ruled the Durrani Empire with the help of the chief of the Afghan tribe of Barakzay. His attempt to invade India alarmed the British, who induced the Iranian Qajar ruler Fath Ali Shah to support Zaman Shah's brother Mahmud in his struggle for power. With British help Mahmud advanced on Kabul, captured and blinded his brother, and assumed power. (See [Afghanistan](#)) 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [945, Dec](#))

#### **d. [Arabia](#)**

The Arabian peninsula, the birthplace of Muhammad and Islam, became of marginal importance in Middle Eastern history not long after the Arabs began their conquests in the 7th century. Various Middle Eastern states extended their formal authority to the coastal region of the Hijaz, site of Mecca and Medina, and intermittently to Yemen, but seldom to the interior of the peninsula. The Ottomans established a hold in Yemen and eastern Arabia in the 16th century, but by the 18th century their authority was confined to **the Hijaz, where the Hashemite emirs enjoyed autonomy** while acknowledging Ottoman suzerainty. Throughout the peninsula powerful family and tribal elites ruled over **essentially sovereign emirates**. Several of the dynastic regimes established in the 18th century—in Saudi Arabia, Kuwait, Oman, and Bahrain—have survived to this day.

1

#### **1745**

**BIRTH OF THE FIRST SAUDI-WAHHABI STATE.** Muhammad ibn Sa‘ud (d. 1765), chief of a tribal emirate based in Dar‘iyya in the central Arabian region of Najd, forged an alliance with **MUHAMMAD IBN ABD AL-WAHHAB** (1703–92), a theologian preaching a message of **puritanical reform of Islam**. Ibn Abd al-Wahhab criticized the laxities of Muslim observance. He sought to do away with all misguided innovations in Islam, such as the veneration of saints and Sufi rituals, and to return the faith to its fundamental scriptural principles. In the next 60 years Ibn Sa‘ud and his successors **extended their domination and the Wahhabi ideas over most of Arabia**. The first Saudi state was finally destroyed in 1818.

2

#### **1748–75**

Abbas al-Mahdi ruled as imam of Yemen.

3



**1749**

Ahmad ibn Sa‘id became ruler of Oman, beginning the rule of the **BU SA‘ID DYNASTY**, which remains in power today. 4

**1752**

Sabah ibn Jabir of the Banu Utub Arabs became ruler of Kuwait, beginning the rule of the **SABAH DYNASTY**, which still holds power today. 5

**1762–1812**

Abdallah ibn Sabah ruled as sheik of Kuwait. 6

**1765–1803**

**Abd al-Aziz** ruled as Saudi emir after the death of his father Muhammad ibn Sa‘ud, who had unified most of Najd under his rule. He continued the **expansion of Saudi control** in the peninsula. 7

**1773**

**The Wahhabis annexed Riyadh.** 8

**1775–1809**

Ali al-Mansur ruled as imam of Yemen. 9

**1782**

Ahmad ibn Khalifa of the Banu Utub Arabs became the ruler of Bahrain, establishing the rule of the **AL-KHALIFA DYNASTY**, which still holds power today. <sup>10</sup>

## 1783

Death of Ahmad, ruler of Oman; he was succeeded by his son Sa'id. <sup>11</sup>

## 1787

**The Wahhabis took Hail** and gained control of the region of **Jabal Shammar** in central Arabia. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1504](#))

### **3. North Africa, 1504–1799**

#### **a. Morocco**

##### **1505–24**

**MUHAMMAD AL-BURTUGHALI.** The sultan of the Banu Wattas (Wattasids) <sup>1</sup>  
**reigned at Fez** but retained no authority over the rest of the country. The remainder of Morocco was ruled by local tribal authorities and Sufi orders.

##### **1505**

**Portuguese occupation of Tangier and Agadir.** A series of Portuguese garrison forts <sup>2</sup>  
on the Atlantic coast called presidios was established during this period, while in the Mediterranean, Spanish forces threatened the Moroccan littoral. These **Christian invasions** prompted a renewed religious and martial vigor among the Muslim inhabitants of Morocco. Local tribesmen who claimed descent from the prophet Muhammad combined with Sufi leaders to eject both Europeans and the reigning Wattasid dynasty during the 16th century.

##### **1508**

Death of **Ahmad al-Wansharisi** of Fez, one of the best-known jurists in North Africa. <sup>3</sup>  
His multivolume work *al-Mi‘yar* compiled a large corpus of his *fatawa* (legal opinions), which shed light on social conditions as well as legal thought.

## 1509–17

**MUHAMMAD AL-QA'IM, FOUNDER OF THE SA'DI DYNASTY.** Originally from Sus, the **Sa'di family** took a strong position in support of jihad (holy war) against the Portuguese, a position that put them in immediate **opposition to the Wattasid policy** of appeasement and collaboration. The Sa'dis claimed descent from Muhammad and were called **sharifs**. The founder of their dynasty identified with the Sufi **al-Jazuli** (d. 1465), whose order had militantly opposed the European presence in Morocco. He began to build a territorial base in southern Morocco, which his sons **Ahmad al-A'raj** and **Muhammad al-Sheik** expanded after his death. By 1530 they held between them the **southern half of Morocco**. 4

## 1513

Death of **Ibn Abi Abdallah Ghazi**, a theologian and jurist from Meknes. He served as the official preacher of Meknes and wrote a three-volume history of the city. 5

## 1526

**Hasan ibn Muhammad al-Wazzani**, known in the West as **Leo Africanus**, translated from the Arabic his description of Africa, which furnished the Christian world with most of its geographical knowledge about North and West Africa. Born in Granada before its capture by the Spanish, al-Wazzani relocated to Fez. He was captured by European privateers off the North African coast and **converted to Christianity**. His learning and travel experience brought him to the attention of the pope, who became his patron. 6

## 1536

The Wattasids of Fez, alarmed at the Sa'di control of southern Morocco, declared war. In a truce negotiated by the religious leaders, they accepted **the autonomy of Sa'di Marrakesh**. 7

## 1541

Muhammad al-Sheik, Sa‘di ruler of southern Morocco, captured the Portuguese fortress of **Santa Cruz (Agadir)**. The victory strengthened Muhammad's political position over his brother Ahmad al-A‘raj, the heir-designate of the Sa‘di dynasty. 8

## 1545–57

**MUHAMMAD AL-SHEIK (AL-MAHDI)**. The Sa‘di ruler was proclaimed sultan in Marrakesh in 1545. In Jan. 1549 he **occupied Fez**, ejected the Wattasids, and became sultan of Morocco. The Sa‘dis defended their territory from both Christian and Muslim incursions, most notably by the Portuguese and by the Ottomans based in Algeria. Under them Morocco remained the only North African state to evade Ottoman occupation. 9

## c. 1550

The Portuguese evacuated their remaining forts on the Moroccan coast. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1504](#))

### **[b. Algeria, Tunisia, and Libya](#)**

In the 16th century the North African countries, with the exception of Morocco, were **absorbed into the Ottoman Empire**. The provincial administrations set up in Algiers, Tripoli, and Tunis soon developed an **autonomous character**, with local regimes run largely by the military. They were not, however, entirely independent of Ottoman authority: they continued to acknowledge **Ottoman suzerainty**, to draw on **Turkish recruits** for their armies, and to seek Ottoman diplomatic support and mediation in local disputes. 1

#### **1504**

The corsairs Aruj and **Khayr al-Din Barbarossa** accepted the patronage of the Hafsid ruler of Tunisia. They made the island of Jerba their base of Mediterranean operations for their jihad, or holy war, against Christian ships. The **corsairs**, as pirate captains, belonged to a highly valued and organized profession in Muslim North Africa. They banded together into guilds, or *ta'ifas*, for their mutual benefit. Most of them were Europeans who had converted to Islam. They played a **prominent role in the governments of Algiers, Tunis, and Tripoli**, the three ports that came under Ottoman control in the 16th century. 2

#### **1509**

The Algerian port of **Oran** taken by the Spanish. 3

#### **1510**

**Tripoli and Bougie** captured by the Spanish. Spanish victories prompted the inhabitants of Algiers to call upon Muslim corsairs to assist with their defense. The Spanish controlled all of the Algerian littoral through a series of coastal garrisons (presidios). They did not occupy Algiers but constructed a fort called the Peñon on an islet overlooking the harbor. They remained isolated in their coastal enclaves, dependent on naval support. 4

## 1515–16

Aruj and Khayr al-Din Barbarossa installed at Algiers at the request of the city's inhabitants. 5

## 1518

**ESTABLISHMENT OF OTTOMAN RULE IN ALGIERS.** Besieged by the Spanish, Khayr al-Din Barbarossa placed himself under the direct authority of the Ottoman sultan Selim I, who appointed him *beylerbey* (provincial governor) and sent him as military reinforcement a unit of Janissary musket-bearing infantry. In 1529, after a protracted struggle with the Spanish, he won full control of Algiers and began conquering the interior of Algeria. Garrisons brought the countryside into the sphere of Ottoman control, and provincial taxes were collected in yearly military expeditions (*mahallas*). But already by the late 16th century, real power rested with local Janissary commanders, not the Ottoman governor. 6

ALGIERS became the prosperous center of an economy based primarily on **privateering**, or state-sponsored piracy. Corsair wealth funded the development of an imposing city, with tall protective walls, a citadel (completed in 1590), gracious homes, fine public buildings, and various urban amenities. The **population** grew from some 20,000 to about 100,000 by the 17th century and included a mix of Turks, corsairs, native Algerians (*baldis*), Berbers, and Jews. Thousands of **Christian captives** taken on raids were held in prisons called *bagnios*. They were sold, ransomed, or used as slaves. 7

## 1528

The Knights of St. John, an order founded by the Habsburg emperor Charles V, established a garrison at Tripoli. 8

## 1533

**Khayr al-Din Barbarossa** was appointed admiral of the Ottoman fleet and took direction of Ottoman naval operations in the western Mediterranean. 9

## 1534

First Ottoman conquest of **Tunis** by Khayr al-Din Barbarossa. He was pushed out by Spanish forces, which established a garrison in the port. Al-Hasan, the Hafsid ruler of Tunis, became a vassal of Emperor Charles V. 10

## 1543

**Tlemcen** captured by the Habsburgs. 11

## 1551

**ESTABLISHMENT OF OTTOMAN RULE IN TRIPOLI.** The Ottoman fleet dislodged the Hospitallers of St. John from Tripoli. The corsair captain **Draghut (Turghut)** was appointed Ottoman governor of the province of Tripoli and began bringing the interior under Ottoman rule. The province remained under direct Ottoman control, through governors appointed by Istanbul, until 1629. 12

## 1569

Second Ottoman conquest of **Tunis**. The city was recaptured by the Europeans after their naval victory at Lepanto in 1571. 13





(See [1498](#)) (See [South Asia, 1000–1500](#)) (See [1490](#)) (See [1284](#))

## **D. South and Southeast Asia, 1500–1800**

### **1. India, 1500–1800**



#### **GROWTH OF BRITISH POWER IN INDIA (MAP)**



#### **MUGHAL EMPERORS (1526-1858)**

Early modern India continued to be marked by the pattern of alternation between larger, inclusive (imperial) states and smaller states or kingdoms based on regional power bases and linguistic/cultural formations. New in this period was a **dramatic increase in urbanization** and a greater **commercialization of agriculture and trade**—results of the expanded imperial system, which fostered integration of localities into larger economic networks both within the subcontinent and between South Asia and other imperial centers. Very little speculation has been put forward regarding demographic changes before the 19th century; the regions of greatest population density when censuses began to be taken are presumed to be the same as those during this earlier period as well (with the rice-growing areas of the eastern Gangetic Basin and the east coast having the highest population). The increasing size and number of urban centers established in the early modern period have been presumed to foster as well as absorb the population increases in the subcontinent. <sup>1</sup>

Initially in the north and ultimately over much of the South Asian subcontinent, the **Mughal Empire** emerged in this period to tie India to the larger Islamic world. Beyond economic integration with this larger system, the Mughals encouraged further integration through the opportunities offered to military and administrative elite <sup>2</sup>

migrating from Persia and the Arabic areas of the Middle East. Still, faced with the necessity of creating a shared political culture that would tie the immigrant ruling class to indigenous power structures, the Mughals fashioned a new **Indo-Persian cultural system** that created a shared elite culture focused on the emperor. Particular values—including Indian notions of good rule, Indian aesthetics, and hierarchical conceptualizations of the relationship between community and state—became incorporated within the ruling ethos.

At the same time in the south, the **Vijayanagara Empire** consolidated around a state ideology fashioned from Hindu theories of kingship and new claims to power by soldier-merchant groups. The elaboration of this state made clear the similarities of economic and political processes faced by both the empires. Key to success were the administrative and ideological ties established between the state and its constituent communities; the nature of these ties indicated that while one empire is called Islamic and the other Hindu, the Mughal and Vijayanagara rulers built their respective politico-cultural systems on the basis of many similar cultural assumptions that may be seen as typically South Asian in nature.

Toward the end of this period, the imperial systems in both the north and the south began to break apart. Across the subcontinent **successor states** arose, solidifying political and cultural coherence around regional identities expressed in local vernacular languages and literary works. The political and economic opportunities presented to local elite claimants enabled them to direct **cultural patronage** to solidify these regional cultures and identities. The ferment provided by the new political formations, and the contestations that naturally accompanied new claims to power, provided a period of great flux and creative reinvention of political forms and legitimations.

Into this flux moved a **variety of European actors**, brought to the subcontinent by their interest in trade and their new organization at home as commercial monopolies (the **East India Companies** of the English, the Dutch, and the French). These monopolistic enterprises facilitated the financing of ambitious pursuit of trade overseas. Still “bit” players in the unfolding drama, Europeans tried to ally themselves with different Indian princes absorbed by their internecine warfare, hoping to capitalize on the victories won by their allies.

## By 1500

**THE VIJAYANAGARA EMPIRE** developed, in its second half, into what is known as the **nayaka** state-system, in which administrative and political relations differed significantly from what had gone before. While the Vijayanagara rulers continued to hold ultimate power over a broad belt of territory, they shared authority locally with a number of military chiefs, or nayakas. Originally part of the great Telugu migrations


southward into the Tamil country in the 15th and 16th centuries, **Baliya merchant-warriors** who claimed these nayaka positions rose to political and cultural power and supported an ethos that emphasized nonascriptive, heroic criteria in legitimizing political power. The Baliyas were proud of their Sudra status, in a world previously dominated by a classical Sanskrit varna scheme that insisted that kings had to be Kshatriya (two castes higher than Sudras). The new egalitarian ethos made it easier for claimants from a variety of communities to succeed to political control.

### 1500s

**Kaikkolas** (weavers) and **kanmalas** (smiths) increased in power during the 15th and 16th centuries: set privileges were granted to them by nayakas and their subordinate local magnates. Indeed, the diversity of artisan and merchant communities in this period shows the increased importance of these professions in the emerging socioeconomic structure.

7

### 1500

Spread of the **Sikh** faith in Bengal. Founded by N  nak (1469–1538), who merged Hinduism with Muslim egalitarianism. Later turned militant under persecution by the Mughals.

8

### 1504

**Yusuf Adil Shah** of Bijapur, having annexed Gulbarga, established the Shi'ite form of Islam under state patronage, despite protest from many Sunnis.

9

### 1509

The Portuguese, under **Francisco de Almeida**, at Diu destroyed an Egyptian-Indian fleet that had, in the previous year, defeated a Portuguese squadron at Chaul.

10

### 1510

The **Portuguese acquired Goa** as headquarters, in place of Cochin.

11

## 1512

Golconda became independent (till 1687).

12

## 1526–37

**Bahadur**, the last active sultan of the “sultanate state” period, with the aid of Khandesh captured Mandu and annexed Malwa (1531), after which he captured Chitor (1534).

13

## To 1550s

In the heyday of the Vijayanagara Empire, the center retained full control of the nayaka chiefs, receiving a third of the revenues collected in the territories assigned to the chiefs. The nayakas had only limited lordship over territory and had to maintain from their income armed forces for the king.

14

## 1526–1761 (1857)

The **MUGHAL EMPIRE** in India was founded by **Babar** (1483–1530), descendant of Timur-I Lang in the fifth generation, who had seized Kabul (1504) and Lahore (1524) as compensation for loss of Ferghana and Samarkand. Decisive victory at **Panipat** over Ibrahim Shah Lodi gave him Delhi and Agra, which he defended in the **Battle of Khanua** (1527) against Rana Sanga of Chitor, chief of a Rajput confederacy.

15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [Southeast Asia, c. 900–1557](#))

(See [Southeast Asia, c. 900–1557](#))

## **2. Southeast Asia, 1500–1800**

Southeast Asia played a pivotal role in the changes that mark the early modern world. It was a maritime region, already to a large extent **organized around long-distance trade** and located in the midst of crucial trade routes. It encountered and interpreted in distinctive local ways the consolidation of the **Islamicate world** accomplished during the previous, postclassical period, and the following shift from that world system to one shaped by European expansion through trade and technology. Consequently, this part of Asia suffered most quickly and directly the impact of European intrusion; by 1650 Europeans had gained control of most of the vital ports and products through which the region had been connected to an expanding world economy. <sup>1</sup>

Four major kinds of change marked these three centuries in Southeast Asia. The first was the **rise of a number of new states**, fostered in part by external factors—new military techniques, the presence of Islamic models of state organization, and the expansion of commerce, which helped dynamic new leaders to emerge. Internal factors also facilitated these new state configurations, particularly the capacity of origin myths and political theories to be reinterpreted in defining commonalities and identities that fit new circumstances. The second change also related to ideology: between about 1400 and 1700, **three universalist faiths** based on sacred scripture became firmly entrenched in the region. An Islamic arc in the south; a Confucian orthodoxy in Vietnam and a Theravada Buddhist region in the rest of mainland Southeast Asia; and a Christian presence in the Philippines (See [1571](#)) were consolidated in the early modern period and are still the important configurations today. In the midst of the commercial and political changes altering the region, a preference emerged for textually based belief systems with sources of authority beyond the localities. <sup>2</sup>

The third major change related to a **dramatic expansion of commercial activity** in the region. This activity predated the appearance of Europeans, relating instead to the linkages forged as the Islamicate world system emerged. In the 15th century, significant activity by Chinese and Indian merchants had increased the circulation of silver and other metals in the area and initiated a demand for Indian cloth in exchange for spices <sup>3</sup>

grown for export. Before 1650, tons of pepper, cloves, and nutmegs were carried by Muslim traders (of various nationalities) across the Indian Ocean to markets in Egypt and Beirut. There Italian merchants bought and shipped them back to Europe. At the peak of early-17th-century commercial activity, the Chinese, Japanese, Spanish, Portuguese, and Indians all competed for the region's produce. During the second half of the century, however, many of these players withdrew and a small number came to dominate international markets in the region, most particularly the Dutch East India Company. These external changes around the dividing line of 1650 may also be seen as the point at which promising capitalist economic developments atrophied in the face of massive European domination.

Accompanying important economic changes were technological and scientific **innovations**, particularly in **military techniques**—the fourth major change. The increasing presence of firearms marked the opening of this period and influenced other military practices, including naval technologies and land-based fortifications for establishing permanent, defensible enclaves. Foreign traders proved especially adept in this new technology and, over the 16th century, were often impressed into the service of the most ambitious claimants to royal power in the region. In areas now known as Burma and Thailand, **new states were established** with the capacity to exercise unprecedented power. Relatively centralized powers also emerged in Java and Aceh, and in Makassar and Ayutthaya (Siam) in the early 17th century. Similarly, new naval techniques proved crucial for Aceh and Maluku.

Before 1750, the region had a low population density except in concentrated areas of Java (the northern coastal plain and the Mataram area), south Sulawesi, and Bali. Periods of strong rule and security would foster dramatic population growth in, for example, Aceh in 1550–1640, Makassar in 1600–1660, and areas of Java after 1650. By contrast, devastating contractions of numbers may be attributed to the practice, during warfare, of large-scale forced relocation of captured populations. For example, the Malayan population was dramatically depopulated by the conquests of Sultan Iskander Muda of Aceh from 1618 to 1624. (See [Southeast Asia, 1753–1914](#))

### a. The Malay Peninsula and Archipelago

#### 1511–1722

**JOHOR Sultanate (Malay).** The power structure in Johor reflected many features that originated in the Malacca kingdom. Johor continued the Malacca tradition of a maritime state dependent upon the rivers and the sea; Johor built, as well, on Malaccan

perceptions of a state, perceiving in the presence of a ruler with an illustrious and impeccable lineage the distinction between a “state” such as the Kingdom of Johor and any number of the small, individual **kampung** under the leadership of a minor chieftain which existed along the rivers, estuaries, and coasts of the Malay world. Court literature, such as the **Sejarah Melayu** (a work begun in the 15th century in Malacca containing later interpolations, including the early history of Johor) expounded the ideal of the ruler responsible solely to God.

The importance of the ministers' role, in efficiently handling mundane affairs of state, is shown by rivalries between **Bendahara** and **Laksamana** families in the 16th and early 17th centuries. The **Orang Kaya, or Council of Nobles**, consisted of these most powerful families, who formed individual centers of power within the kingdom. They performed services for the ruler, including assembling their men and leading them as a group in battle when the kingdom was at war, and acted as an intermediary between their people and ruler. They also played an essential role in international trade under a system of patronage to traders (offering protection and providing capital to traders in return for commission and share of profits).

**Orang Laut**, a broad term referring to **seafaring peoples in the Malay world**, in reality referred to numerous tribes and status groups inhabiting the islands and estuaries in the **Riau-Lingga Archipelagos, the Pulau Tujuh Islands, the Batam Archipelago, and the coasts and offshore islands of eastern Sumatra and southern Malay Peninsula**. They gathered sea products for the China trade; performed special services for the ruler at weddings, funerals, or on a hunt; provided transport for envoys and royal missives; and manned ships to act as ruler's naval fleet and to patrol the waters.

### Early 1530s

**Sultan Alauddin Riayat Syah**, successor to the last ruler of Malacca (Sultan Mahmud Syah, who died between November 1527 and July 1528), moved his residence to the Johor River and became the first ruler of the Malacca dynasty to establish a permanent settlement in Johor.

### 1564 and 1613

**Ruler of Johor** was **taken prisoner** during the repeated destruction of Johor capitals in 16th and 17th centuries by Portuguese and Acehnese. Both times the conquerors made a point of setting on the throne another ruler from the same royal family in order to fulfill expectations about how a kingdom could be perpetuated.



## 1641

**Capture of Malacca by the Dutch**, who thenceforth dominated the East Indies. The Dutch extended free passes to all Johor Orang Kaya to trade in areas restricted to other kingdoms; this enabled these traders to fly the flag of their patrons while conducting a lucrative trade under Dutch protection. 11

Johor had lost some of the areas that traditionally had been dependencies of Malacca, but it still controlled extensive areas, including Johor; Selangor; areas on the Kelang, Linggi, Siak, Kampar, Muar, and Batu Pahat Rivers; and the islands of Ungaran, Karimum, the Riau-Lingga Archipelagos, and Singapore. 12

## 1673

Resilience of kingdom shown when Dutch takeover of Johor Lama counterattacked by Johor's Orang Laut–manned fleet. 13

## 1691

Having successfully challenged power of **Laksamana** family by gaining control of young ruler and through the ruler using the royal drums and reedpipes (*nobat* and *nafiri*) as symbols to legitimize authority, **Bendahara Tun Habib Abdul Majid** nevertheless refused to sign any written agreements with Dutch until ruler reached his majority. 14

## 1699

**Assassination of Sultan Mahmud Syah**, last male ruler of Malacca dynasty in Johor, significantly undermined traditional values, especially the sacredness of the ruler; the depth and extent of loyalty accorded to him; and the special nature of his position within society. Many **Orang Kaya**, including **Bendahara** family, implicated in assassination, which served to undermine subjects' loyalty to succeeding Bendahara dynasty. **Orang Laut** had a strong reaction against assassination, refusing to recognize the new Bendahara dynasty, which subsequently was forced to rely on apparent and visible manifestations of power and on close, personal ties with powerful individuals within kingdom, a significant change from the traditional concept of power. 15

## 1709

Bendahara ruler **moved capital to Riau** to meet an invading Siamese force; about a quarter of entire population moved to assist Siamese against Bendahara ruler because of questionable legitimacy of new ruler. 16

## 1718

**Raja Kecil, Minangkabau** adventurer, claimed to be son of the last male heir of the Malacca dynasty, gaining mass support among Malay subjects and among almost all Orang Laut in Johor. 17

## 1722

**Sultan Sulaiman Syah**, new Bendahara ruler of Johor, regained throne with help of **Buginese**, warriors and seamen from southwest Sulawesi. Buginese regained control of coronation regalia, possession of which was key to ruler's legitimization. 18

**Raja Kecil**, accompanied by some of his loyal Orang Laut groups, such as the Orang Suku Bentan and the Orang Suku Bulang, established a **new kingdom in Siak** following his expulsion from Johor. 19

Major shift in power relationships in Johor resulted when the Buginese became an effective power bloc: replaced the Orang Laut role (in trading, patrolling, and military functions) and the Orang Kaya role (in the principal decision-making functions). 20

The ongoing tensions between Bugis and Malay ministers and officials is described in the **Tuhfat al-Nafis**, a Malay history primarily of the kingdom of Johor-Riau-Lingga (but also in other areas, e.g., West-Kalimanta, Siak, Kedah, and Terengganu) covering the early 18th century until 1864. 21

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## b. [Kedah](#)

Like Perak, Kedah was a Muslim state with a political structure and culture based on the model of the Malacca Empire, having a Muslim sultan at the center of power who was assisted by ministers drawn from powerful local families. 1

Unlike other Malay states such as **Perak, Salalngor, Pahang, and Negeri Sembilan**, which by 1896 had surrendered most control to the British, Kedah **maintained internal independence** and strong cohesion within the ruling class. Relatively limited economic resources precluded the formation of a large body of aristocrats; consequently, members of the ruling family were appointed to most political posts. Dependent more on rice crop than on trade, Kedah was also spared the disruption of the large-scale Chinese immigration that occurred in southern Malay states. 2

### 1713, 1722, and 1770

**Civil wars** in these years involved jostling within the Kedah royal family for control; Bugis served as mercenaries for various factions. 3

### c. 1741–1778

Muhammed Jiwa Abidin Syah (d. 1778). Provided stability and increased trade and rice crops. 4



### c. [Aceh](#)

Rise of Aceh clearly demonstrates impact of Islam and trade in contestation with Europeans. Portuguese efforts to intervene in Pasai and Pidie, and takeover of Melaka across the straits, drove elements interested in Islam, commerce, or local patriotism to unite in support of **Sultan Ali Mughayat Syah**. 1

#### 1520s

Sultan worked to unite the north Sumatran coast into a new and explicitly anti-Portuguese kingdom; ideological identity and authority of Aceh competed directly with Portuguese Melaka as center of Islamic spice route. (Similarly, **Banten** in western Java emerged as an Islamic kingdom in competition with the Hindu port of Sunda Kelapa, ruled by a Portuguese ally.) 2

#### 1534–38

Ottoman expansion (first to Egypt, Syria, and the Hejaz in 1516–17, then to Iraq in 1534–35) provided new military defense of Muslim spice-trading route in the Indian Ocean. First Ottoman fleet to combat the Portuguese in the Indian Ocean was launched by the governor of Egypt in 1537–38; this failed. 3

#### 1560s

Establishment of **direct commercial and diplomatic** relations between Ottomans and Aceh; this led to concept of pan-Islamic counter-crusade against the Portuguese in Southeast Asia (e.g., 1566 petition for assistance, sent from sultan of Aceh to Ottoman sultan). 4

## 1560–1580s

High point for Islamic military success in Southeast Asia and for Muslim-Christian polarization in the region.

5

## Early 1600s

Evidence that **Shari'a courts** in use in Aceh, to apply Islamic law in enforcing precepts relating to prayer, fasting, and religious orthodoxy and to deal with civil matters of debt, marriage, divorce, and inheritance as well as criminal matters of theft, drunkenness, and so on. Introduction of the **kadi** (law officer, an important figure in urban governance) dates from the 1580s. A number of Islamic leaders, from various parts of the archipelago, centered in Aceh during the 17th century, writing voluminously on religious topics both in Arabic and Malay. The last great mystic was 'Abd al-Ra'uf of Singkel, born around 1615. After studying in the Middle East, he returned to Aceh, served the sultan as secretary, and wrote widely on law and religion. His fame as a religious reformer spread widely, before and after his death sometime following 1693. (See [The Malayan Archipelago, 1798–1908](#))

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **d. Malaysia, 1509–1790**

Sultanate of Melaka served as a model for the Malay world but was not original. Funan, Champa, and Srivijaya in earlier periods had created a similar economic structure based on trade rather than agriculture. The Islamicate nature of the cultural system and the cosmopolitan character of society also had precedents in the area, but taken together these characteristics came to be perceived as the proper aspects of a Malay state. Cosmopolitanism of the state was legendary; the state served as the meeting place of two kinds of solidarities: one based on the traders' mother country identity (including religious solidarity), the other on identification with the local ruler and local law. <sup>1</sup>

#### **1500s**

**Nature of trade** in this mercantile state involved the whole ruling class as well as the sultan himself. Networks for long-distance trade intersected at Melaka, connecting Indian Ocean, Red Sea, and Persian Gulf tradeways. But in Melaka this trade connected to a **market economy** (where merchants conducted trade on their own behalf), not just the administered trade that characterized earlier empires (where trade was conducted on behalf of the sovereign); prices were fixed by supply and demand; and one could choose to become a merchant without having to secure a royal appointment to do so. Results included a vigorous monetary economy based on mass trade (rather than trade in luxury goods). <sup>2</sup>

The territorial base for the sultanate's realm composed three concentric circles. At the center were territories ruled directly by the sultan; in the middle were territories administered by appointees of the sultan; at the periphery were tributary, vassal, and allied kingdoms (some ruled by the sultan's kinsmen). Especially where the sultan's hold was weakest, the ruler would offer shares in commercial profits—a practice that provided the sultans with almost a third of the capital required to finance trading expeditions, and this reinforced the economic solidarity between the sultanate and its dependencies. <sup>3</sup>

## 1509–10

**Competing alliances of merchants** in Melaka took different stances toward the Portuguese: one group (including Chinese, some Tamils, and a few Javanese) inclined to accept them, anticipating new markets and an increase in demand for the commodities they conveyed. The other party (led by Gujaratis and supported by the local elite) saw them as competition and a threat to the moral solidarity between the sultanate and its dependency seaports. The second group prevailed in the short run and seized all the Portuguese they could in 1509, thus delaying advent of the European influence for two years.

4

## 1511

The Portuguese, under **Albuquerque**, captured **Malacca**, center of the spice trade. By this time, the crown was more interested in spice trade than establishing a land-bound empire. The Portuguese then sent envoys to open trade relations with native states and set up fortified posts to protect the trade.

5

## 1515

Portuguese governor ordered **cadastral survey**, which counted not land for taxation but irregular occupation of plots abandoned during 1511 uprising; this shows that the sultanate's economic basis depended on sea, not land.

6

## 1560s

First **Malay mosque** built under Sultan Muzaffar (d. 1564).

7

## 1580s

**Dutch** began to work in secret with Jambi to corner the pepper production in Sumatra.

8

## 1594



The Lisbon spice market was closed to Dutch and English traders, thus providing an incentive for direct trade with the Far East. The English and Dutch **East India Companies** (1600, 1602) presently destroyed the Portuguese forts in Malaysia. 9

## 1596

The Dutch set up a factory at **Palembang** (Sumatra). 10

## 1602

The English established themselves at **Bantam** (northwest Java). 11

## 1605

The Dutch seized Amboina, then settled in western Timor (1613). 12

## 1615

**British and Dutch** gained access to the **pepper trade** in Jambi (Sumatra). Competition 13 included Chinese, Malays, Makassarese, and Javanese as well as the three European trading monopolies.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **e. Maluku (Eastern Indonesia), 1500–17th Century**

In this period, emphasis on an origin myth underscored unities that were island-wide, area-wide, and region-wide. Ceremonies recognizing the origin myth connected five kingdoms, with Ternate depicted as the center. 1

#### **1500s**

**Islam** had been introduced over the turn of the century, but conversion touched only sultans and their own kin-based settlements. 2

#### **1550s**

**Ternate** and **Tidore** became the two most important centers in North Maluku, incorporating nearby areas. Expansion due to rapid increase in demand for cloves, which provided rulers with Indian cloth and iron implements, items that were highly valued. 3

#### **1535–70**

Under **Sultan Hairun** in North Maluku, rulers of area began to become much more identifiable by European concepts of kings; Sultan Hairun took on imagery of European rulers; consequently Portuguese treated him as the leader of the Malukan world, which reinforced the authority and power exercised by this kingdom over the other polities of eastern Indonesia. 4

#### **1570**

**Portuguese killed Sultan Hairun;** the Ternaten court mobilized resources of sufficient power to oust the Portuguese from Ternate; avenging his father's death gave the new sultan grounds for a campaign to make Ternate the single center in the Malukan world. He subdued Bacan and Tidore, then sent a conquering fleet to Banggai, Tobunku, Butung, and Salayar. Though some parts remained restive, the origin myth helped to underscore shared culture and the political claims of Ternate. 5

### 1570–83

Rule of **Sultan Babullah** witnessed the culmination of a centralizing process that reinforced the power of this ruler in North Maluku. Before this period the sultan was still a kin-based leader; afterward, he could act without the consensus of the elders of many settlements. 6

### By 1600s

**Islam had spread** to fellow rulers of Ternate and gradually to the rest of population. Since Muslim traders preferred to work in ports where they could find a mosque and where they could assume the protection of a Muslim ruler, the spread of Islam also brought important economic benefits to the sultan. (See [The Malayan Archipelago, 1798–1908](#)) 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1287](#))

### **3. Mainland Southeast Asia, 1500–1800**

#### **a. Burma**

Heritage of ethnic fragmentation complicated rivalry between developing religious and political centers. While the prestige of **Mon** capital at **Pegu** was on the rise following the revival of Mon strength in the 15th century (including a renewed patronage of Buddhism), the center of Burman power, Ava, steadily declined as it found itself the target of repeated raids by various Shan tribal groups. The early 16th century witnessed downward **Shan** pressure, reflecting the development of a greater cohesiveness and a hierarchical society among the Shan tribal groups leading to a process of expansion into more desirable lowland areas. <sup>1</sup>

Result was an **increasing cultural homogeneity** achieved in this period, beginning with policies of first Toungoo kings in the 16th century and continued in 17th and 18th, especially through integration of Shans and Mons into a Burman-dominated polity. **Maritime trade** played a reduced role when the capital was moved inland, but monetization of the economy continued throughout the 18th century. <sup>2</sup>

#### **1519**

Following the arrival during the 15th century of a few European travelers (Nicolo di Conti, c. 1435), the Portuguese by treaty secured trading privileges at Martaban, and an increasing portion of the foreign trade was conducted by Europeans. <sup>3</sup>

#### **By 1527**

**Ava** was under **Shan** control, with the killing of the Burmese king and the installation of a Shan prince on the throne. This led to the flight of Burman refugees southward to Toungoo, which was situated on the Sittang River. <sup>4</sup>

## R. 1531–50

**Tabinshwehti** founded new Burman dynasty originating at Toungoo. His goal was to establish a centralized state in the Irrawaddy basin. 5

### Late 1530s

He made successful attacks on the Mon capital of Pegu. 6

### By 1539

He captured Pegu. 7

### 1542

**Tabinshwehti crowned king** of Lower Burma. 8

### 1546

He extended his power northward to Pagan and assumed the title King of All Burma. With Portuguese mercenaries he attacked unsuccessfully both Arakan to the west and Siam to the east. (The Portuguese had secured trading privileges in Martaban in 1519, and Europeans were increasing their involvement in foreign trade.) 9

### Late 1540s

Tabinshwehti launched attacks on Martaban. 10

## R. 1551–81

**Bayinnaung**, successor to Tabinshwehti. Acted as a **model Buddhist king**: building and 11

repairing pagodas and monasteries, ordaining and feeding monks, and distributing copies of the **Tipitaka** (the Buddhist scriptures). By bringing **Mon** princesses into the palace and taking Mon chiefs as brothers, Bayinnaung sought to resolve the longstanding Burman-Mon rivalry. In the tradition of great Burmese kings, he exchanged missions with China, Bengal, Sri Lanka, and Portuguese Goa, reflecting his vision of a Burmese role in a wide diplomatic world. Bayinnaung himself launched ships on commercial voyages. He promoted commerce by appointing officials to supervise merchant shipping, by standardizing weights and measures, and by collecting and collating laws and judicial decisions. His was an exceptional rule because he was able to extend his overlordship over such a great distance from Pegu, his capital, into areas like Lan Sang, which had never before been under Burmese control.

### By Late 1550s

**Bayinnaung's** overlordship accepted by most Shan states.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1376–1557](#))

### b. [Siam \(Ayutthaya\)](#)

**Administrative centralization** of Siam attributed to efforts of **King Trailokanat** (r. 1448–88); but most of institutionalized form of government probably resulted from reign of King Naresuen the Great (r. 1590–1605). Under this king, Siam regained its independence from Burma and emerged as most powerful kingdom in mainland Southeast Asia. 1

Development of **overseas trade** can be dated as early as 1368. By the early modern period, Siam was a major source for sappanwood and pepper in the Chinese trading network. 2

Siamese **adopted Hinduism** along with **Theravada Buddhism**. Hindu concept of divine kingship, and accompanying rituals, provided important sources of legitimation. But in Siamese society, the claim to divinity operated without the internal checks characteristic of India, for Brahmans had little influence at the court. This may explain the pronounced aspect of absolutism in Siam. Yet Buddhism was dominant in the cultural system that emerged in the early modern period, particularly in providing signs of legitimation (and delegitimation in the face of popular unrest) for rulers. **Royal interaction with sangha** (groups of monks) provided especially important occasions for public statements of rulers' support of Buddhist precepts; nevertheless, Thai rulers closely controlled the sangha through cultural patronage (their support ranged from sponsorship of architecture and sculpture to public processions). 3

### 1538

As a measure of impact of military technology, King **Phrachai** (r. 1534–46) retained 120 Portuguese to instruct Siamese soldiers in musketry. 4

### 1550

**New fortification style** was introduced around the Siamese capital. **King Maha Thammarcha** (r. 1569–90) also purchased large supplies of foreign cannon. Consequently, by the time Naresuen the Great launched campaign to consolidate Siam, the Siamese royal army was well equipped and trained in the use of firearms. 5

### 1569

First **fall of Ayutthaya** to invading Burmese army. 6

### By 1579

China created the **Siamese Language Department** at the Official Translation Office, perhaps a measure of the importance of Siam as a trading partner. 7

### 1590

**King Naresuen the Great** regained independence and utilized political, economic, and military forces to transform fragmented kingdom into relatively centralized state. 8

Portuguese trading stations were established in the 16th century, and around the beginning of the 17th century large numbers of Japanese were active in Siam in war and trade. 9

### 1602

A Dutch trading post was established at Patani, where the English soon followed, until their withdrawal from Siam in 1623. 10

### R. 1656–88

King Narai most energetic in pursuit of trade with foreigners. His curiosity about Persian and French cultures made his court known for its openness. 11



## 1664

By a commercial treaty, the Dutch gained a monopoly of Siamese foreign trade, which was, however, thwarted by French intrigue; a French embassy and military expedition (1685) in turn failed to secure the acceptance of Christianity and French influence and led to 12

## 1688

A popular revolt that began a period of prolonged civil war. Prompted in part by reaction against Narai's openness, it became anti-European. European trade languished, but Chinese and Muslim trade continued at a high level to take up the slack. 13

## 1690s

By this time a dramatic **decline in trade** with Muslims and Europeans could be measured, although the Chinese trade helped to fill the gap. 14

## 1767

A **Burmese invasion** destroyed Ayuthia and compelled temporary acceptance of Burmese rule until 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1220](#))

### **c. [Cambodia](#)**

**Endemic instability characterized this period in Cambodia.** By **mid-15th century**, the Thai-oriented administration of **Angkor** region was overthrown by forces loyal to **Phnom Penh**, but by end of the 15th century, conflict developed among the new rulers. 1

A **Khmer** revival in early 17th century was followed by a Thai overlordship of Cambodia in the 18th century. From the 17th century, the traditional regions of dissidence could rely on Vietnamese support, setting in motion a whipsaw between Vietnam and Siam, with Cambodia in between. As the importance of foreign powers in Cambodian internal affairs increased, the pattern of increasing intrusion of the Vietnamese into Cambodian life was symbolized by Vietnamese activities that resulted in the sealing off of Cambodia from maritime access to the outside world. This occurred at the time that other Southeast Asian countries, especially Siam, were becoming more involved in the outside world. 2

Significant social changes occurred during this period: the decline in the importance of a brahmanical priestly class (which had effectively linked landholdings, control of slaves, religious practices, education, and the throne) and the increasingly widespread influence of the Thai on Cambodian life (including the transformation of the Khmer language, i.e., the replacement of Angkorean syntax with Thai syntax). The shift of the capital from the rice-growing hinterlands of northwestern Cambodia to the trade-oriented riverbanks in the vicinity of **Phnom Penh** took place during this period. Another important element at this time was the inability of the king to deliver protection and stability, which undermined his position in the eyes of his subjects. 3

### **1560–90**

Cambodian troops took advantage of Thai weakness (exacerbated by 1569 Burmese sacking of **Ayudhya**) to raid Thai territories. 4

## 1594

Defeat of **Lovek (Khmer)** by **Ayudhya**.

5

## 1620s

Territorial expansionist activities by the **Nguyen** overlords of Vietnam cut off Cambodia from maritime access to the outside world and resulted in the loss of thousands of ethnic **Khmer** to Vietnamese rather than Cambodian control.

6

## 1750s and Early 1760s

Relative calm with respect to invasions from Siam and Vietnam, but internal chaos from a series of coups and countercoups by rivals in the royal family.

7

## 1767

A Thai prince and supporters fled to Cambodia when **Ayudhya** fell to Burmese army.

8

## 1768

**Taksin**, new ruler in Siam, invaded Cambodia to defeat potential Thai rival who was trying to set up a competing Thai kingdom.

9

## 1770s

Continued Thai pressure on Cambodia while Vietnamese powers were distracted by internal threats (the **Nguyen** dealing with a populist rebellion led by the **Tay Son** brothers).

10

## 1772

Thai burned down **Phnom Penh**. 11

## 1778

Thai invasion of Cambodia. 12

## 1779

Thai placed their own protegé, seven-year-old Cambodian prince **Eng**, on throne under Thai guardianship. 13

## 1790

Boy prince **Eng** was taken to Bangkok to be anointed; returned to Cambodia in 1794. 14  
(See [Laos and Cambodia](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## **[E. East Asia, c. 1500–c. 1800](#)**

### **[1. Overview](#)**

The early modern period in East Asia involved deliberate **isolation** from many larger world patterns, though Vietnam was open to significant contact with other civilizations. **Consolidation of many established patterns in China and Korea contrasted with important new political and cultural developments in Japan.** <sup>1</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

(See [1521](#))

## 2. [China, 1522–1796](#)

### a. [The Remainder of the Ming Dynasty](#)

#### 1522–67

The period began with the completion of Ming political forms, sketched earlier (see (See [The Early Ming](#))). During the later Ming, **cultural developments and population growth** seized center stage. During the **Jiajing reign** of Shizong (b. 1507), Ming armies fought off the attacks of Altan Khan, prince of the Ordos, and “Japanese pirates,” many of them not originally from Japan, but so designated in contemporary sources. <sup>1</sup>

#### 1572–1629

The **Wanli reign** of Shenzong (b. 1563) was famed for its cultural achievements as well as for corruption, in-fighting, and the power of eunuchs at court. <sup>2</sup>

#### 1592, 1597–98

**Japanese invasions** of Korea, sent by Hideyoshi (1536–98), necessitated Chinese military assistance and were eventually repelled, though not without considerable loss of life and great expense. <sup>3</sup>

In **government**, Ming continued the trend begun in Song, and exacerbated in Yuan, of centralizing autocratic power. Taizu abolished the position of prime minister (1380), eliminating the last impediment to complete autocracy; he also began the practice of flogging ministers at court. The rise of a new administrative body, the Grand Secretariat, dated from the early 15th century. The tradition of remonstrating officials remained <sup>4</sup>

alive; especially famous in this regard was Hai Rui (1514–87), who risked life and limb in confronting his master. The Ming **military** built on the Yuan garrison model and the native militia system.

In **local government**, Ming instituted the *lijia* system for local tax collection and surveillance. Ming effectively created provincial-level government, and it would subsequently remain as such. Local governance became increasingly difficult, for as population grew steadily, the number of counties and prefectures did not keep pace, thus allowing the number of residents within a given magistrate's jurisdiction to mushroom. China's **population** returned to 100 million probably in the early 15th century and soared to perhaps as high as 200 million a century later. China's major cities of Song and Yuan did not continue to grow, but middle-level market towns sprouted around the country.

From the start of the Ming, efforts were made to repopulate northern China, sparsely populated under the Yuan, with migrant farmers so as to develop the **economy** there. Land taxes were graduated according to the arable quality of the land, and thus the far richer south paid an overwhelming percentage of the state's tax revenues. Under Grand Secretary **Zhang Juzheng** (1525–82), the rationalizing “**single whip**” laws simplified tax collection nationwide. The only major state monopoly was on salt, though by late Ming the government empowered a group of salt merchants with distribution responsibilities; they later became fabulously wealthy.

In addition, new crops from the Americas were introduced to China via the Philippines, effectively contributing to the capacity of agriculture to support a larger population.

In **education**, Taizu ordered the creation of a nationwide system, with schools in every county and prefecture, as a means of nurturing future officials for the state. He reinstated civil service examinations at the provincial and national levels (1370–71). Private academies, which prospered especially in the 16th century, also provided talented men for recruitment to state service. By the end of Ming, there were far more men who had passed the examinations than positions for them, a cause of social disorder. Stipends were kept purposefully low. The continued spread of **printing** resulted in greater access to the state bureaucracy and a seeping down of Chinese cultural traditions to local society.

Ming **intellectual life** was initially dominated by followers of the Cheng-Zhu school of Neo-Confucianism, such as Xue Xuan (1392–1464). The *Xingli daquan* (*Great Collection on Nature and Principle*), a digest of moral philosophy from the writings of 120 scholars of the Cheng-Zhu school, was published under imperial authority in 1416. Signs of a divergence from orthodox Cheng-Zhu teachings were evident in the naturalism and quiescence of Chen Baisha (1428–1500), a popular teacher from southern China. **WANG YANGMING** (**Wang Shouren**, 1472–1529) was the greatest thinker of his age and an eminent official as well. Although perceived as attacking the Cheng-Zhu school, he saw himself as developing from it a style of Neo-Confucianism that asserted

the importance of extending the individual's "intuitive knowledge." Influenced by Buddhist practice, he stressed meditation as the nurturing praxis for the mind to come to moral judgment, the "unity of knowledge and action," and the innate capacity of every man to attain sagehood. Wang's disciples, however, went their own ways. Irreverent iconoclasm eventually cost one of them, **Li Zhi** (1527–1602), his life. Wang's teachings were popular elsewhere in East Asia, especially in Japan.

Less vital than they had been earlier, Buddhism and Daoism remained eclipsed through the Ming. A number of thinkers, such as **Lin Zhao'en** (1517–98), taught the "unity of the three teachings" (namely, Confucianism, Buddhism, and Daoism). 10

In **scholarship** there was a growing trend toward compiling massive encyclopedias and compendia. One such project was supervised by the Hanlin Academy in Beijing: *Yongle dadian* (*The Yongle Encyclopedia*), into which entire works were transcribed—an imposing work of 12,000 manuscript volumes, completed in 1407. Following Tang, Song, and Yuan precedents, numerous dynastic legal and administrative codes were compiled. 11

Contacts between Chinese elites (and the late Ming court) and the **Jesuits** produced a short-lived but curious bond. **Matteo Ricci** (1552–1610) won toleration for the Jesuits by adopting Chinese ways; he lived in Beijing and served the court by, among other things, preparing a map of the world. **Adam Schall von Bell** (1591–1666) went to Beijing (1662), where he was charged (1630) with reforming the dynastic calendar; he cast astronomic instruments based on the latest Western technology, which was much appreciated by the Ming court. In addition to works of religious content, the Jesuits published works on mathematics and other sciences, providing an important conduit for Western knowledge to penetrate China. The first major Western work on Chinese history was by the Augustinian monk Juan Gonzalez de Mendoza, *Historia de las cosas mas notables, ritos y costumbres del gran reyno de la China* (1585). 12

The Ming is considered the literary apex for **vernacular fiction**. Such long novels, often lifeworks, included *Xiyou ji* (*Journey to the West*, also known as *Monkey*), by Wu Cheng'en (1506?–82?); *Shuihu zhuan* (*Water Margin*, also known as *All Men Are Brothers*), traditionally attributed to Luo Guanzhong (1330?–1400?); *Sanguo zhi yanyi* (*Romance of the Three Kingdoms*), also attributed to Luo Guanzhong; and *Jin ping mei* (*Golden Lotus*), a 16th-century novel whose author is unknown. During the Ming, **vernacular drama** continued to be popular. **Tang Xianzu** (1550–1616) wrote what is considered the greatest drama of the era, *Peony Pavilion*. 13

In **art**, Ming painting styles generally followed those of the Song. Emperor **Xuanzong** (b. 1399, r. 1425–35) was a fine painter in the southern Song fashion. **Dong Qichang** (1555–1636) was one of the great calligraphers and painters of the late Ming; he was an art critic as well. **Pottery** in the early Ming achieved bold effects by application of "three color" glazes. The **Jingdezhen** imperial kiln gained renown for its production of such pottery. In the late Ming, decoration in overglaze enamels, often in combination 14



with underglaze blue, was used to startling effect, especially in urban areas.

By 1500 a rotary disc cutter was being used to cut jade, highly valued in China since the 13th century B.C.E. By 1593 a **modern form of the abacus** was in use. <sup>15</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [The Qing Dynasty](#)



### [MANCHU \(QING\) DYNASTY \(1644-1796\)](#)

**Peasant rebellion and ethnic strife erupted at the end of the Ming dynasty**, and an impoverished central government was no longer able to meet these challenges. A rebel band under the command of **Li Zicheng** (1605?–1645) finally captured the capital at Beijing, and the last Ming emperor committed suicide. Several decades earlier, in eastern Manchuria, **NURHACHI** (1559–1626, **Taizu**) had organized militarily (1615) under eight banners a group of Tungusic tribes. Later, Mongol and Han Chinese living in northeastern China were incorporated into each of their own eight banners. In 1616 Nurhachi, who had had considerable contact with the Ming, took the title of emperor of the Hou Jin (or Later Jin) dynasty, following on the ethnic descent of his own people from the Jurchens of the 12th and 13th centuries, and took the clan name of Aisin Gioro. Only later (1634) did his people adopt the name **MANCHUS** (probably from the bodhisattva of learning, Manjusri). In 1618 his armies defeated the Ming and seized part of Liaodong, where he began to set up a government with local Han Chinese assistance. In the year before his death (1625), Nurhachi moved the capital to Shenyang (Manchu name, Mukden) and began to build a civil administration patterned closely on the Chinese model. There in 1636 the Manchus, under Nurhachi's son **Abahai** (1592–1643), proclaimed the **Qing Dynasty**, having already quelled the other northeastern peoples and attacked south of the Great Wall on several occasions. When Li Zicheng's forces took Beijing in 1644, a Ming general, **Wu Sangui** (1612–78), in collaboration with Manchu prince regent **Dorgon** (1612–50), allowed the Manchus to cross the Shanhai Pass into China unhindered rather than surrender to the rebels.

1644–1911

The **Qing dynasty** commenced when Manchu forces entered Beijing, attacked the rebel forces of Li Zicheng, and defeated them. 2

Whereas earlier conquerers had discriminated against the subject Han populace, the Manchus worked to establish good relations with the Chinese under their rule. The Qing carried over the Ming **governmental structure** in large part, save the addition of the Grand Council. There was Manchu-Chinese parity in the leadership of each of the six ministries. Local self-governance was handled through the *lijia* system taken over from Ming, with tax-collecting duties added to its functions in Qing. Through a community compact system, the laws and Confucian values were directly imparted to local people in periodic lectures. 3

The **population** surged to more than 300 million by 1750, as high as 400 million by 1850; changes in local administration did not keep pace. Sparsely populated areas such as Yunnan and Guizhou began to receive larger numbers of Han Chinese. 4

The **recruitment system into government service**—the civil service examination system—was carried over from Ming. These were highly competitive exams, held at three stages (local, provincial, and national or metropolitan). Once a person was appointed to a post, he usually held it for three years. With the rapid population increase of the 18th century and the lack of concomitant expansion of government, many graduates, unable to find employment, became professional scholars and teachers. 5

**Military** garrisons of the eight Manchu banners were distributed among strategic provincial cities, though Han Chinese were appointed in the provinces to the command of Chinese auxiliary troops. Four Chinese were sent as governors to hold the south and southwest during the Shunzhi reign at the beginning of the dynasty. 6

In **agriculture**, the development of faster-ripening strains of rice—30-day growing cycles were achieved in Qing times—made possible larger yields, which in turn meant more crops and the ability to sustain more people from the same amount of land. 7

## 1644–61

During the **Shunzhi reign** of Emperor Shizong (nephew of Dorgon), the Manchus, together with Han Chinese armies, consolidated Qing control, defeating various itinerant Ming pretenders and loyalist bands in the south by 1659. Conquest was accompanied by the imposition of the Manchu-style shaven head with the queue for men. Foot-binding, at first forbidden (1638, 1645, 1662), was ultimately permitted to Chinese only (1668). 8

## 1645–83

A Taiwan-based pirate band, claiming continued allegiance to the Ming, was begun by Zheng Zhilong (1604–61, executed in Beijing), and he was succeeded by his son, **Zheng Chenggong** (1624–62), known to Westerners as Koxinga from a rendering of his Chinese title, Lord of the Imperial Surname. They raided the southeast China coast, seizing Xiamen (Amoy, 1653) and Chongming Island (1656), attacking as far as Nanjing (1657), and finally expelling the Dutch from Taiwan after a prolonged battle (1661–62). In 1663–64, Balthasar Bort with a Dutch fleet helped a Qing army drive Koxinga's son, **Zheng Jing** (1642–81), from the Fujian coast back to Taiwan. Ultimately, the Qing sent an armada to put an end to the Zhengs' attacks on its coast, when Zheng Keshuang (1670–1707), Zheng Jing's son and the last of the Zhengs to control Taiwan, surrendered to the Qing. Taiwan was then brought under Chinese imperial administration as an appendage of Fujian province.

9

### 1673–81

**The Rebellion of the Three Feudatories** erupted when Wu Sangui and two other former Han collaborators with the Manchus, having been awarded healthy satrapies in the south for their efforts in bringing Manchu rule to China, revolted against the Qing. After eight years of fighting, the rebels were quelled with the help of other Han generals.

10

### 1661–1722

The **KANGXI REIGN** of Emperor Shengzu (b. 1654, personal rule began in form 1667, in fact 1669) opened an extraordinary period of cultural achievement, possibly surpassing the best of earlier dynasties. His was the longest reign in Chinese history. Kangxi acquired many of the habits and capacities of the well-educated Han elite. He was initially tolerant of Jesuit missionaries and very interested in the technology they introduced from the West, but later grew weary of their doctrinal squabbles. He was a patron of the arts and of learning, sponsoring major scholarly enterprises. He also made six personal tours of his empire to observe local conditions firsthand.

11

### 1670

A Portuguese embassy under Manoel de Saldanha, like that of Bento Pereyra de Faria (1678–79), won only confirmation of the status of Macao. The subsequent missions of A. M. de Souza y Menezas (1726) and F.-X. Assis Pacheco y Sampayo (1742) achieved no more.

12

## 1675

A revolt in Chahar was quickly suppressed.

13

## 1688

**Galdan** (1632?–97), chief of the Olöt (Eleuth, western Mongol) Dzungars, attacked Mongolia from Central Asia. Kangxi personally led the defense of the Khalka states of central Mongolia (1690). After several assaults, Galdan's forces were finally crushed (1696) near Urga, and Galdan took poison the following year. Qing military colonies were established in the region.

14

## 1689

The **Treaty of Nerchinsk** with Russia was China's first treaty with a European nation. Earlier, the Russian Poyarkhov explored the Amur River region (1643–46), and Khabarov built a fort at Albazin (See [1689](#)). Qing forces attacked Fort Albazin (1685–86), territory the Manchus considered their own. The treaty stipulated Russian abandonment of Albazin and of military pressure for commercial contacts and continued peace. L. V. Izmailov established a trading agent and Russian Orthodox church in Beijing (1720–21).

15

## 1717

The Olöt **seizure of Lhasa** under the direction of Galdan's nephew, Tsewang Rabdan (1697–1727), was learned of too late in Beijing to save a relief column from annihilation (1718). Well-prepared armies from Gansu and Sichuan drove the Mongols out of Tibet (1720), enthroned a popular Dalai Lama, and established imperial garrisons there.

16

## 1721

A revolt in Taiwan led by Zhu Yigui was suppressed.

17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Political, Social, and Cultural Patterns](#))

### 3. [Korea, 1392–1800](#)

#### 1392–1910

The **YI DYNASTY** (or **CHOSŬN**) lasted longer than any other in Korean history. **YI SŬNGGYE (KING T'AEJO**, r. 1392–98) built the dynasty through a combination of military might and the backing of the literati. The rising sociopolitical importance of this literati class marked the entire period. Yi Sŭnggye began with a policy of deference toward the Ming dynasty in China, both to keep the peace with China and to prop up his legitimacy at home. Embassies were sent to Beijing at regular intervals each year. “Japanese pirates” continued to harass the Korean coast from the island of Tsushima.

The hereditary literati class was known as the *yangban*, or “two orders,” because its members combined the civil and military functions of state control. During the Yi period, far more families acquired *yangban* status than under the Koryŭ aristocracy. The increased number of potential officials meant that the examination system loomed ever more important as a means of selecting the best. Likewise, *yangban* monopolized the civil service exams and hence access to office. There was a National Confucian Academy in the capital at Seoul. Examinations were held every three years, but they also could be taken at many irregular times. In the latter half of the 15th century, Neo-Confucian literati began to gain attention in the central government. These were *yangban* scholars of a moralistic bent, unlike the primarily scholar-official group of *yangban* who had been influential until then. The conflict between the two groups led to a series of four “literati purges” from 1498 to 1545.

The highest Yi **governmental body** was originally the State Council. Under it were the Six Ministries, which, as government became increasingly bureaucratized, grew in importance. In addition, the Royal Secretariat was responsible for handling documents of state that passed to and from the throne.

**Land** allocations in the Yi period followed guidelines established by T'aejo. Current and former officials received lands commensurate with their rank. **King Sejo** (b. 1417, r. 1455–68) revised this law (1466) to eliminate former officials from allocations. This system was later changed (1556) to a straight salary system. Improvements in agricultural techniques led to greater productivity for the peasantry. As early as 1430, a farmer's manual for Korea was published, *Straight Talk on Agricultural Matters*. Peasants were legally forbidden from abandoning the land they worked. Most were self-sufficient tenant farmers. They were responsible for a **land tax**, a tribute tax, and military and corvee duties, much like the system in Tang China. There was also a slave population. Over time, the landed estates of *yangban* families grew larger, especially after the state ceased allocating lands to them. This reduced the tax revenues coming into the central government and brought further misery to the peasantry. Changes were effected in the various taxes and duties, and Ever Normal Granaries were established throughout the country. By the middle of the 16th century, these dislocations had caused many peasants to leave their land and led to the rise of rebel forces. The Japanese invasions not only decimated the land, they also destroyed many land registers. Taxable lands in the early 17th century were reduced to a third of the figure prior to the invasions.

A monetary **economy** developed rather late in Korea. Paper (1401) and coin (1423, 1464) currency were issued but did not circulate widely at the time. Cloth was still the mainstay of transactions. During the 17th and 18th centuries, rural markets cropped up in ever larger numbers, with more than 1,000 by the end of this period. Commercial growth spurred the development of merchant organizations.

### 1400–1418

During the **reign of King T'aejong** (1367–1422), efforts to reconstitute an aristocracy were severely crushed as a Chinese bureaucratic structure was regularized. He had already abolished all private armies, a holdover from the late Koryŏ era, in an effort to centralize military control of the state.

### 1418–50

The **reign of King Sejong** continued this trend with the establishment of the Hall of Worthies, at which the finest scholars studied ancient Chinese texts and institutions.

### 1442



A gauge for measuring rainfall was invented, roughly two centuries before a similar invention emerged in the West. 8

### 1446

On orders of the king, a group of scholars devised an ingenious alphabet for the Korean language, *han'g*l. This invention was not received happily by many *yangban*, because it made learning to read much easier and broke their control over learning solely in the more difficult literary Chinese language. Sejong persevered, founding an Office for Publication in Han'g<sup>l</sup>. **King Sejo** later set up a similar office to translate Buddhist sutras into Korean. 9

### 1451

The state-sponsored *Kory*sa (*History of Kory*) was finished. 10

### 1457

The military structure was completely reorganized. 11


### 1469–94

During the **reign of King S**ngjong, rural-based Neo-Confucian scholars began to rise to center stage, rather than remaining influential as a group locally. They were principally influenced by the works of Zhu Xi (1130–1200) from Song-period China. 12

### 1471

After a number of earlier efforts, a national code of laws was promulgated. It effectively standardized the new *yangban* governing structure. 13

## 1495

*Tongguk t'onggam* (*Comprehensive Mirror of the Eastern Kingdom* (Korea)) was issued, <sup>14</sup>  
the first full history of Korea, covering from Tan'gun through the fall of Koryŏ .

## 1498

The first **literati purge**, during the reign of King Yŏnsan'gun (r. 1494–1506, b. 1476), <sup>15</sup>  
in which the older *yangban* elite sought to get rid of many of the Neo-Confucians. A  
second purge occurred in 1504.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#) 

(See [1493](#))

#### 4. [Japan, 1542–1793](#)



##### [TOKUGAWA SHOGUNS \(1603-1867\)](#)

### 1542 or 1543

**Portuguese** aboard a Chinese vessel landed near the island of Tanegashima, off the southern coast of Kyushu. They introduced the musket, which soon modified Japanese warfare. Other Portuguese ships followed and entered into trading relations with the lords of western Japan.

<sup>1</sup>

### 1549–51

**Francis Xavier** (1506–52), the famous Jesuit missionary, introduced Christianity into Japan, proselytizing among the feudal domains of the west and also in Kyoto, but with little success. On the whole he was well received, and in some cases the feudal lords even encouraged conversions in the hope of attracting Portuguese trade. But the doctrinal intolerance of the missionaries soon earned them the bitter enmity of the Buddhist clergy and led to proscriptions of the new religion in certain fiefs. Xavier left behind two Jesuits and the Japanese converts who formed the nucleus of the new church.

<sup>2</sup>

### 1568

**ODA NOBUNAGA** (1534–82) seized Kyoto and set up a puppet shogun, Ashikaga Yoshiaki (1537–97, r. 1568–73). Lord of the provinces of Owari, Mino, and Mikawa east of Kyoto, Nobunaga had acted in response to a secret appeal from the emperor. This daring blow gave him all but total control of central Japan.

3

## 1568–1600


The process of political disintegration had already run its course by the **period of national unification**, or **Azuchi-Momoyama period**, and in these few decades, through the efforts of three great leaders, the nation was again united as the periphery was gradually subjugated by the military hegemony of the capital region. This was unquestionably one of the most dynamic epochs of Japanese history. “Japanese pirates” were at their height and were active even in Thai and Philippine waters. Korea was invaded on two separate occasions. **Closer contacts with the Asian mainland and with Europeans resulted in an influx of new intellectual and artistic currents.** Buddhism was in decline and its monasteries were being deprived of their military power, but militant Christianity was at its peak in Japan, and lay learning was revived after the years of warfare. New skills and new products from the West profoundly affected the economy of the land, and in those years of relative peace Japan's wealth and productivity expanded rapidly. The private-customs barriers that had hampered trade were abolished, and the old monopolistic guilds (*za*) for the most part came to end.

4

The artistic and intellectual spirit of the period contrasted sharply with what it had been in the Ashikaga era. It was a more exuberant, expansive age. Earlier Zen-inspired stress on refinement and simplicity gave way to shows of great pomp and to ostentatiousness. Architecture, for example, demonstrated a love of gorgeous design and majestic size. Castles and palaces rather than monasteries were the typical structures of the day.

5

## 1570

**Nagasaki** was opened to foreign trade by the local lord, mura (sometimes dated 1567 or 1568). This small fishing village soon became Japan's greatest port for foreign commerce.

6

## 1571

**Nobunaga** destroyed the Enryakuji on Mount Hiei, thus eliminating the most powerful

7

of all the monasteries as a military force. In these same years he also waged usually successful wars against other Buddhist groups, especially the militant cliques of the True Pure Land sect (Ikko sect), as in the siege of their central monastery, Ishiyama hongani, in Osaka (1570–80). Nobunaga's violent opposition to Buddhism as an organized political force finally broke the temporal power of the monasteries.

## 1576

Nobunaga set to work on the **Azuchi castle** on the shores of Lake Biwa. This was the first great castle of Japan and heralded the beginning of several decades of widespread castle building. Azuchi was destroyed at the time of Nobunaga's death.

8

## 1577–82

**TOYOTOMI HIDEYOSHI** (1536–98), Nobunaga's brilliant, lowborn general, conquered much of western Japan from the Mori family in the name of Nobunaga.

9

## 1578

The death of **Uesugi Kenshin** (1530–78), together with the earlier demise of his great enemy, **Takeda Shingen** (1521–73), removed two formidable rivals of Nobunaga in eastern Japan.

10

## 1578

The conversion of **Fukushima Tomo Satoru** (Yoshishige, 1530–87), a powerful lord of Kyushu, to Christianity gave the foreign religion a greater foothold on that island, where it had become quite strong since the conversion of some lesser lords of the western littoral, such as **Mura** (1562) and **Arima** (1576). The Christians, who were for the most part confined to the fiefs with Christian lords, were estimated at 150,000 in 1582.

11

## 1582

**Nobunaga was killed** by a discontented general, Akechi Mitsuhide (1526–82). Hideyoshi returned from his western campaigns and destroyed Mitsuhide. A contest for power with the remaining members of the Oda family, supported by **TOKUGAWA IEYASU** (1542–1616), one of Nobunaga's vassal lords in eastern Japan, brought about the elimination of the Oda, and an understanding was reached with Ieyasu.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1460–97](#))

## 5. [Vietnam, 1527–1802](#)

The **Lê dynasty** ceased controlling the country in 1527, though the Lê nominally continued to reign until 1787. Several smaller states and contending Vietnamese parties arose, and the country was divided in half for much of the period under consideration. The 17th and 18th centuries also witnessed the arrival of ever larger numbers of missionaries and travelers from the newly expanding West. The period ended in a great rebellion and eventually the founding of an apparently secure regime, only to fall victim later to foreign powers. 1

### 1527

After eight kings were successively placed on the Lê throne (1505–27), and six of them assassinated, **Mac Dang Dung**, the head of one powerful family (the Mac), seized the throne and established the **Mac dynasty**. Other powerful families were unhappy, and all turned to China to act as mediator. China proposed a division of the land, with Mac ruling in the north and Lê, with its supporters, ruling in the south. During these years, the **Nguyên**, one of the most powerful families, was establishing a firm base in south central Vietnam, with a capital at **Huê**. This compromise lasted only a short time. In the civil wars that followed, the **Trinh**, another powerful house, actively supported the Lê in name, with a base at the capital in **Thang-long**. Throughout the period the population of Thang-long exceeded 100,000. Both Nguyên and Trinh cloaked their effort in the mantle of the Lê and sought to destroy the Mac. 2

### 1592

The Mac were effectively eliminated as a force. Trinh and Nguyễn continued their standoff, with the former still installing puppet Lê kings and running all affairs of government. From 1599 Trinh family leaders took over the title of prince, which was then passed on hereditarily. The Nguyễn were not amused.

3

The Trinh in the north tried to run an efficient government by periodically examining officials, though with limited results. The legal codes were made less stringent and tax laws were made fairer. The examination system was rebuilt, with public schools preparing students for them at various levels of the society. In the south, the Nguyễn ran an administration similar to that of the north, though after war later broke out with the Trinh, Nguyễn began to fashion a regime more appropriate to the south. Its examination system was geared to train men in three areas—administration, taxation matters, and ceremonial issues—a more practically oriented variant of the traditional Chinese model. Both used Confucianism to strengthen state control, as both sought control over all of Vietnam; the more Confucian a state one built, the more worthy of control over the entire land it appeared. Vietnamese Confucian scholars participated in reform efforts in the hope of stabilizing a bureaucracy that could control the military.

4

## 1624

With the arrival of **Alexandre de Rhodes** (1591–1660) and several other Jesuits, Catholic missionary work began in earnest, although Catholics had been in the country in the 16th century. In 1627, Alexandre was sent north into Trinh territory to found a mission. When it closed down (1630), there were nearly 7,000 Vietnamese converts; ten years later there were said to be 39,000 Christians in Nguyễn territory and 82,000 in Trinh lands. Alexandre lived in Vietnam for many years and learned the language extremely well; he compiled an early Latin-Vietnamese-Portuguese dictionary and is considered the pioneer in romanizing the Vietnamese language. This romanization system, *quốc ngữ*, enabled missionaries to acquire Vietnamese more rapidly. By 1700 there were 45 Vietnamese Catholic priests.

5

## 1627

Nguyễn-Trinh warfare erupted, lasting for several decades and involving huge campaigns (1648, 1661, 1672) by Trinh forces before a tentative peace agreement was reached in the late 1670s. The Nguyễn continued to gain control over the Mekong Delta region.

6

Domestic troubles were complicated by the arrival of European trading vessels in significant numbers from the early 17th century, first from Portugal and soon thereafter

7



from Holland. Relations with the West were initially less problematic than elsewhere in East Asia. From the early 17th century, though, Chinese traders outnumbered other foreigners in Vietnam; many Chinese families stayed for generations and established extensive trading networks throughout the region. English and French ships had arrived by mid-century. At first, the Trinh favored the Dutch while the Nguyen favored the Portuguese, but this changed over time. By century's end, the French were the most active in Vietnam. Catholic missionaries (Dominicans) had arrived in Vietnam by the middle of the 16th century, and Jesuits followed by the early 17th. Both Nguyễn and Trinh tried to use Catholic monks, especially the Jesuits, to acquire Western scientific information, although the clear success of the missionizing effort also made both regimes rather apprehensive.

### 1711

Despite efforts to centralize control over its villages, the Trinh had no choice but to allow village leaders to allot public lands within their ken. Eventually, local elites were avoiding taxation, adding to the onus on the poorer or less resourceful. By 1713, only a third of the populace was being taxed.

8

### 1730

The Trinh appointed officials to get peasants who had left their lands to return home; by 1740, it was estimated that a third of all villages under Trinh control had been deserted. Decline of social and public order meant that less land was under proper cultivation and less food was being produced. Famines ensued and rebellions brewed. Similar corruption and decay of the economic infrastructure characterized Nguyễn lands. This striking decline of social norms led to serious rethinking of traditional Vietnamese identity, including sharp words from women writers, such as Hồ Xuân Hương. Local rebellions became endemic, often coalescing around Buddhist temples, with monks arming their followers. Confucianism, closely associated with the discredited state, was openly abused. A crisis ensued.

9

### 1771–1802

The **Tây-son Rebellion**, led by three brothers surnamed Nguyễn from the village of Tây-son in south central Vietnam, erupted and quickly gained wide popular support. It first toppled the Nguyễn regime in the south in 1778 and then moved on the Trinh in the

10

north. The country was reunited. At first, an effort was made to prop up the Lê house, but that was eventually abandoned in 1787. Chinese armies invaded in 1788 in an attempt to seize Hanoi for the Trinh but were defeated by the brilliant general **Nguyễn Huệ** (1752–92), who proceeded to place himself on the throne.

## 1788–92

The **reign of Quang-trung** saw an effort to rebuild the economy through agrarian reforms and the establishment of communal population registers to return the wandering populace to the land. Tribute relations with China began again. The civil service examinations were reinstated, but in addition to competence in literary Chinese, successful candidates also had to demonstrate competence in works written in the demotic *nôm*. 11

In an effort to stimulate commerce and trade, a unified currency was instituted during the 31 years of Tây-son rule. Industry was also encouraged. Initial results were positive but proved short-lived. There were no strong rulers after the death of Quang-trung. As in other Southeast Asian societies and unlike elsewhere in East Asia, **Vietnamese women played a considerable role in commerce and trade**, including traveling aboard trading vessels internationally. 12

## 1788

Rebellious forces under **Nguyễn Anh** (1762–1820) took Saigon with French help. Successive victories ended with the capture of Huệ (1801). He took the throne as **Gia-long** (r. 1802–20) of the **Nguyễn dynasty**. 13

One of the great works of Vietnamese literature, *The Tale of Kiều*, was written by Nguyễn Du (1765–1820) at the end of the 18th century. A long poem or novel written in verse form, it combined Chinese characters and Vietnamese *nôm* ideographs. (See [Vietnam, 1802–1902](#)) 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## **F. The Pacific Region, 1513–1798**

The term “Pacific” is used here to refer to the “island Pacific,” not the Pacific Rim or the Pacific Basin. The latter two terms are generally used to describe the larger continental masses and nations that surround the Pacific Ocean, the Americas in the east and Asia and Australia in the west. <sup>1</sup>

### **1. The Pacific Islands in Pre-European Times**

The **Pacific Ocean** is the largest single feature of the globe, covering a third of the earth's surface. It contains some 25,000 islands totaling 1.6 million square kilometers scattered across about 88 million square kilometers of water. The region, which exhibits considerable physical and cultural diversity, is conveniently divided into **Melanesia** (islands of Solomons, Vanuatu, New Caledonia, Papua New Guinea, and parts of Fiji), **Micronesia** (small islands north of the equator), and **Polynesia** (many islands in the triangle stretching from Hawaii through New Zealand to Easter Island). The region contains several distinct types of island formations. Many of the Melanesian islands in the east are large continental masses with tall, densely forested mountains, deep valleys, large rivers, and swampy coastal areas. Many of the Polynesian islands are volcanic, with corrugated mountain ranges divided by deep valleys. The central and northern parts of the Pacific have low-lying coral islands surrounded by reef and sometimes just a meter or two above water. The physical geography of the islands helps shape their climate. Thus, the larger continental islands have warm temperatures, high humidity, and heavy rainfall. The atolls, with much smaller land masses, are more vulnerable to the elements. <sup>2</sup>

The Pacific was the last major habitable area to be settled by humans (See [Southeast Asia](#)). There was once much disagreement among scholars about how and by what route the Pacific Islands were settled, but recent archaeological, linguistic, and botanical research has resolved the controversy. It is now accepted that the ancestral homeland of Pacific Island peoples was in Southeast Asia, which was settled some 2 million years ago. From there, small numbers of people, probably in several waves, settled the then joint landmass of Australia and Papua New Guinea, perhaps 35,000 to 40,000 years ago. <sup>3</sup>

About 4,000 years ago, they branched out from the New Guinea mainland and reached island Melanesia, settling New Caledonia and New Hebrides (Vanuatu). By about 3,500 years ago, Fiji was settled. Five hundred years later, Tonga and Samoa were settled. In Samoa, from where no further migration seems to have taken place for the next 2,000 years, the basic institutions of Polynesian culture took shape. The Marquesas Islands were settled around 300 C.E., Hawaii and Tahiti around 600 C.E., and New Zealand 750 C.E.

The manner in which the islands were settled once aroused much debate. Andrew Sharp, a New Zealand scholar, argued that the Polynesians lacked the navigational technology and skill to embark on purposeful voyages of settlement across vast expanses of empty seas. Some of the islands were undoubtedly settled accidentally. However, combining oral and documentary evidence with practical seamanship, David Lewis has shown that ancient Polynesians had the knowledge and the skill to make a three-way voyage, to discover an island, return home, and then return to the new island to settle it. For the Polynesians, Lewis argued, the empty ocean was full of telltale signs (cloud formations, swell patterns, drift objects, patterns of bird flights), and they read these just as Western navigators read their charts. Purposeful voyages thus probably served as a major vehicle for the initial colonization of the islands.

Cultural diversity characterized the traditional Pacific, though most Polynesian islands exhibit linguistic and cultural similarities that are due, in part, to frequent trading and social contacts. The greatest diversity is found in the larger continental islands of Melanesia, where over a thousand languages are known to exist, most spoken by just a few thousand people. Ancestor worship, initiation ceremonies, warfare, and other such practices were an integral part of the traditional Melanesian world, as was subsistence agriculture. Melanesian societies were generally small in scale and egalitarian in ethos. Leadership was exercised by “big men” who achieved positions of power and authority through personal ability, ambition, adept manipulation of kinship and social networks, and the accumulation and strategic distribution of wealth. The position of big men was generally not heritable, though sons of big men, if they were able, had an advantage over other competitors.

Polynesian societies, on the other hand, were larger in scale and more hierarchically organized. Lineage defined and structured the social system. The lineage that could trace its roots back through several generations to a common founding ancestor, real or fictitious, claimed, and was accorded, a higher social standing and seniority. Its head was often the leading or paramount chief of the entire clan. Chiefs, variously known throughout Polynesia as ariki or *ali'i*, were thought to possess mana—moral power and authority—and had well-defined rights and obligations in relation to their people. They commanded respect and deference, exercised control over the production and distribution of the primary resources, and often received the first fruits of the land as symbolic tribute.

The chiefs exercised greater power in some Polynesian societies than in others. In Tonga,

Tahiti, and Hawaii, for example, their rule extended over large areas and thousands of people. Here, chiefs formed an exclusive and powerful class and married within that group. In Marquesas and New Zealand, the system of stratification was less developed. Micronesian societies exhibited traits found both in Melanesia and Polynesia. The smaller atolls in the Carolines, for example, were basically egalitarian in character, while high islands such as Pohnpei and the Marshall Islands had a highly developed system of chieftainships.

The population of the Pacific Islands at the time of European contact cannot be estimated with any accuracy. Some estimates place the population of Melanesia at 3.5 million, of which 3 million were found in New Guinea and 500,000 in the smaller islands of Melanesia. In Polynesia, the population numbered around half a million, though recent work suggests a much higher figure. In Hawaii, according to most conventional figures, the population at contact was around 250,000, but some recent researchers have put the figure at 700,000 to 800,000. The Micronesian islands probably had 100,000 to 150,000 people. People in the larger islands practiced some form of subsistence agriculture, while those in the smaller islands and atolls of the central and northern Pacific depended on the exploitation of marine resources. <sup>8</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **2. European Exploration, 1600–1800**

The first Europeans entered the Pacific Ocean in 1520. Between then and 1779, when Captain Cook died in Hawaii, hundreds of European explorers traversed the Pacific. In the 16th and 17th centuries, the main reason for the exploration was the search for the **Terra Australis Incognita**, which was believed to contain fabulous wealth. Later, scientific discovery and the search for alternative trade routes were important factors. The 16th century of European exploration was dominated by the Spanish and the Portuguese, the 17th century by the Dutch, and the 18th century by the English and the French. By the time of Cook's death, the islands had been charted and added to the world's rapidly growing corpus of geographical knowledge. The romance of the islands had entered European folklore, and the stage was set for more intensive European movement into the islands. Some of the main dates of European discovery are listed below.

1

### **1513, Sept. 25**

**Vasco Núñez de Balboa** became the first European to sight the Pacific Ocean, from the isthmus of Panama, and named it the Great South Sea.

2

### **1520, Nov. 28**

**Ferdinand Magellan** (Fernaο de Magalhaes) entered the Pacific and reached the Philippine Islands in 98 days, making no major discoveries en route. He was killed on Cebu.

3

### **1564–65**

**First Spanish colony on Philippines.** Good route discovered, Philippines to Mexico.

4

### 1567

**Alvaro de Mendana** (Spanish) set sail from Callao and early in 1568 sighted one of the islands of Tuvalu and Ontong Java before reaching the Solomon Archipelago.

5

### 1577–80

**Francis Drake** became the first English circumnavigator when he crossed the Pacific to the East Indies.

6

### 1595

**Mendana** left Callao in April on his second voyage to colonize the Solomon Islands. In May, he discovered a group he named **Las Marquesas de Mendoza** (Marquesas). He died in the Santa Cruz group in the Solomons on October 18, 1595.

7

### 1605–6

**Pedro Fernández de Quirós**, one of Mendana's captains, set sail again from Callao in December 1605 in search of new lands and unknown southern continents (**Terra Australis Incognita**). In April 1606, he sighted **La Australia del Espiritu Santo** (now Espiritu Santo) in the New Hebrides.

8

### 1642–44

**Abel Jansoon Tasman** (Dutch) sighted Tasmania, which he named **Anthony Van Dieman's Land**. He also explored **New Zealand** and parts of Tonga, Fiji, New Ireland, and New Britain. He proved that Australia was not part of a great Antarctic continent.

9

### 1722

**Jacob Roggeveen** (Dutch), sailing east to west, entered the Pacific in March, discovered Easter Island and Samoa. <sup>10</sup>

## 1766–67

**Captains Wallis** and **Carteret** entered the Pacific in search of the southern continent and discovered **Tahiti** and the Pitcairn Islands, respectively. <sup>11</sup>

## 1768

**Louis Antoine de Bougainville** entered the Pacific in January and visited **Tahiti**; subsequently, he went to **Samoa** and **Espiritu Santo**. His journal contributed greatly to the cult of the **noble savage** in France and Europe generally. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### 3. [The Philippines, 1500–1800](#)

The earliest historical sources on the Philippines show that the archipelago had trade and diplomatic relations with East and Southeast Asia from at least the 11th century C.E. Medieval Chinese accounts of the Philippines show a **plurality of ethnic groups** living in **decentralized societies** and trading in forest and ocean products. Ethnolinguistic diversity in the archipelago was considerable, and modes of living ranged from swidden agriculture to fishing and wet rice cultivation. <sup>1</sup>

Spanish sources from the 16th century depict societies made up of local communities (*barangay*) under the leadership of hereditary chieftains (*datu*) who sprang from a noble class. Philippine society at this time can be broadly divided into those who had the right to bring lawsuits and change their political allegiance and those who did not. Within each stratum there was considerable variation in status. Leadership in warfare, particularly marine raiding, was a key constituent of political authority. *Datus* acted as judges in lawsuits, exercised control over communal property, and received a portion of the harvest as tribute as well as military support from the nobles who owed them fealty. The unfree classes included people who had fallen into bondage through debt, those who inherited the status of bondage, and chattel slaves. Movement between the free and unfree classes was possible in some areas of the archipelago, but in others social status was fixed and unchallengeable. Most parts of the archipelago had oral cultures, although an indigenous script apparently based on Indian models was used for Tagalog in the 16th century. By the 15th century, entrepôt ports were present in Cebu, Butuan, and Manila. Internal trading networks were highly developed within the archipelago, especially in the Visayas, with rice, raw materials, manufactured goods, and slaves exchanged over a wide area. Commerce and raiding tended to be combined in a distinctive political and economic matrix, which was based on the seafaring expertise of the region's inhabitants. <sup>2</sup>

In the 1400s, **Muslim trading states** were established in the southern Philippines and in parts of Luzon, a development connected with the spread of Islam throughout island Southeast Asia at this time (See [The Malay Archipelago and Peninsula](#)). These states were often alliances of *datus*, who cooperated for military and economic advantage under the authority of a sultan. The rights and powers of sultans varied from state to state, depending in large measure on the charisma of individual leaders and their ability <sup>3</sup>

to inspire loyalty, although the more commercially developed polities had relatively stable ruling classes. *Sharif* status (claimed descent from the family of the prophet Muhammad) was a component in political leadership.

Strategic position and naval strength, together with commerce, made the sultanate of **Sulu** an important economic and political power. The other major Islamic kingdoms were **Buayan** and **Magindanao** on Mindanao, which rose to prominence in the 16th century.

4

## 1521

Ferdinand Magellan became the first European to reach the Philippines. He was killed in a conflict with local people under the leadership of **Lapulapu** on April 27.

5

## 1543

The expedition of **Ruy de Villalobos**, sent by Charles I of Spain, was driven off by local resistance. The name **Felipinas** was given to the areas around Leyte and was later applied to the whole of the archipelago.

6

## 1565

Establishment of a permanent Spanish presence in the archipelago under the command of **Miguel de Legazpi**.

7

## 1571

**Manila** became the center of Spanish power. Much of the area of the modern Philippines was nominally under Spanish control by 1576, although their actual authority was severely restricted in many areas, and Mindanao and Sulu remained completely independent. Spanish expansion was fueled by a desire to take control of the trade routes from Malacca and Eastern Indonesia and those to China, all of which had their terminus in Manila.

8

Socially, the Spanish colony was a mix of indigenous people (**indios**), Spaniards, a small but influential population of Chinese, and **mestizos** (those of mixed descent). In later times mestizos and creoles from the Spanish colonies in Latin America also came to the

9

Philippines. Ethnic segregation was practiced, causing political tension. **Socioeconomic inequalities** were considerable. At village level, the Spanish sought to co-opt local leaders by increasing their privileges, in return for which the leaders took responsibility for collecting taxes and organizing labor service.

A **governor-general** was the supreme political authority in the colony. He was officially subordinate to the **Council of the Indies** in Spain. The **Royal Audencia** (est. 1584) acted as the supreme court and was intended to check abuses of power by the colonial government. Provincial governors were virtually independent of Manila. 10

Under the **Galleon trade** system set up in the late 16th century, only China and Mexico could trade in Manila, isolating the Spanish Philippines from commercial contacts with the rest of the Pacific region. 11

**Augustinian friars** accompanied Legazpi (1565) and were followed later by the Franciscans, Jesuits, Dominicans, and Recollects. The friars became a powerful political and economic force, exercising considerable influence on the colonial government. Following a decision in the 1580s, the church did all its proselytizing in vernacular languages, making priests vital intermediaries between the colonial government and the people. In the first few centuries of Spanish rule, there was close cooperation between the church and the colonial administration, partly because the papacy gave the Spanish crown complete authority over the missionary enterprise in the Philippines. Printing and education were by-products of the friars' missionary work. A Spanish-Tagalog Christian tract was the first book printed in the Philippines (1596), and in 1611 the Dominicans founded the University of Santo Thomas. 12

**Revolts** among the indigenous people broke out sporadically after the establishment of Spanish rule, ranging from indio attempts to regain sovereignty, such as the abortive revolt of **Magat Salamat** and **Augustin de Legazpi** in 1587, to expressions of economic discontent (e.g., the rebellion of **Magalat** in 1596) to religious movements, like the revolt in the **Kagayan Valley** in the 1620s. 13

From the late 16th century, Sulu, Magindanao, Buayan, and the Spanish competed for dominance of the southern Philippine region. Under the powerful sultan **Quadarat**, Magindanao had become the most important commercial, military, and political force in the region by the mid-17th century. 14

## 1635

The Spaniards established a fort at **Zamboanga** on Mindanao to provide a base for expansion in the southern Philippines. Magindanao and Sulu subsequently fought a number of wars with Spain, punctuated by peace treaties and trade agreements. 15

## 1663

Zamboanga fort abandoned. Spain played no part in the southern Philippines for the rest of the 17th century. In this period the **Muslim states** consolidated their internal power and traded with the Dutch. 16

## 1717

Attempts by Governor **Fernando Manuel de Bustamente** to reform government finances. 17

## 1718

The Spanish reestablished the Zamboanga fort, reopening hostilities with the Muslims. 18

## 1719

Clerical opposition to Bustamente's reforms led to his murder by friars. 19

## 1734

Volume of galleon trade increased through pressure from the Manila business community. 20

## 1744

Outbreak of the rebellion of **Dagohoy** the result of religious and political discontents. The rebellion lasted for several decades. 21

Political competition in the southern Philippines continued in the mid-18th century. The sultanate of **Cotabato** dominated Mindanao. In 1751 a major war broke out between Spain and Sulu. Sulu forces carried out extensive raids in the Visayas and Luzon, which caused serious problems for the Spanish, whose financial resources were strained by the unremitting warfare. 22

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Historical Trends, 1000–1500](#))

## **G. [Africa, 1500–1800](#)**

### **1. [Overview](#)**

The arrival of Europeans and Africa's consequent participation in the new South Atlantic system were the primary events in African history during this period. The supply of slaves entering the South Atlantic system first affected West Africa, oscillated between West and West Central Africa in the 17th through the 19th century, and drew slaves from Central and East Africa in the 18th and 19th centuries. Historians have **vigorously debated the impact of European contact on Africa and the impact of the transatlantic slave trade on African development.** The debate focuses on whether the transatlantic slave trade built on long-established patterns or involved profoundly different political and economic forces leading to new patterns of economic dependence. 1

The **volume of slave exports** from Africa is also highly contested, although most historians agree on some broad estimates and on the fact that the trans-Saharan and Red Sea slave trades predated and then continued alongside the transatlantic slave trade. The exact numbers of slave exports will never be known for certain, but historians generally agree that **roughly 9.5 million slaves were exported along the trans-Saharan and Red Sea trade routes over 11 centuries, and roughly 9.5 million slaves were imported into the Americas over four centuries.** The similarity of these two figures masks considerable differences, however. The transatlantic slave trade estimates imports. When **mortality of the Middle Passage** is factored in (approximately 25 percent, although it was higher earlier in the trade and lower later), the exports from Africa rise to around 12 million slaves. More important, the volume of slave exports across the Sahara and up the Red Sea was relatively stable over 11 centuries, while **more than 70 percent of slave exports across the Atlantic occurred during the 150 years** from 1700 to 1850, when the trade was most active. The magnitude of the transatlantic slave trade, therefore, was much higher and its impact more concentrated than the longer-lasting trans-Saharan and Red Sea trades. 2

The acquisition of slaves was not foremost in the mind of the first Portuguese navigator as he sailed in 1434 to Cape Bojador, in present-day Mauritania—and successfully 3

returned. **Portuguese overseas exploration** of sub-Saharan Africa was motivated by a series of linked objectives. It grew out of the political and economic transformation in Europe, particularly the consolidation of royal power in Portugal and the realignment of economic forces favoring trade over agriculture there. It was linked to the developing sense of European cultural, religious, and political superiority over non-Europeans, fueled by the Christian-Muslim wars and the Reconquista of the Iberian Peninsula. It was part of a general geopolitical strategy to outflank what the Portuguese understood as a monolithic Muslim world: to assist the besieged Christian monarch of the East, Prester John (there was indeed a besieged Christian ruler of Abyssinia) and to bypass Muslim and Jewish merchants' control over the **trans-Saharan gold trade**, which supplied 70 percent of the Mediterranean demand for gold before the discovery of the New World. The Portuguese were also interested in the commerce of exotic spices, textiles, and luxury goods and found themselves excluded from the established trade routes of the Mediterranean. The trade in slaves dominates the history of this period, but it is important to bear in mind that the Portuguese and other European merchants were interested in trade in a wide variety of goods as well as in forming political alliances.

It is also important to remember that **Europeans were not yet able to impose their will on Africans**. Indeed, Europeans did not have significant military superiority over Africans until the widespread use of the repeating rifle in Africa in the 1870s. Moreover, when Europeans actually sought to impose their will on Africans—as the Portuguese did in Angola and in Mozambique—they quickly found that they had to **adopt African political and military tactics in order to survive**. And finally, Europeans suffered extremely high mortality in tropical Africa, which undercut any sustained effort to colonize and control African territory directly, except for the more temperate regions of South Africa and isolated offshore islands of West Africa, the Bight of Benin, and the East African coast.

Because force did not work, the success of European commerce in Africa depended upon **Africans' willingness to participate**. This raises two important questions, which lie at the heart of historians' efforts to interpret the impact of the slave trade on Africa: Why did Africans willingly exchange such vast numbers of young men and women of the most productive and reproductive ages? Why did Africans become the laborers of choice in the New World plantation economies?

The second question must be answered first. Since the 12th century, there had been a renaissance in the Mediterranean Basin of large-scale agricultural units associated with **sugar production**. Sugar was a demanding crop, requiring strict, regimented labor. Slaves were widely used on these new sugar estates, and they were drawn from a variety of sources, including religious wars, the slave trade from the Black Sea, and sub-Saharan Africa. With the fall of Constantinople in 1452, the Black Sea sources of slaves for the expanding sugar frontier of the Mediterranean dried up, leaving the African slave trade the largest single source. Moreover, **Africans had the misfortune of being part of two**

**great disease environments:** the Old World temperate and the Old World tropical. Africans therefore had childhood immunities to a host of nasty illnesses, which provided them with a statistically lower rate of mortality than European bonded labor or Amerindians and which made them simply a better investment—particularly when sugar plantations spread to the New World in the late 16th century.

The question of why Africans sold so many slaves also points to the intersection of a variety of processes. Captives had long been a byproduct of conflicts between groups in Africa. The volume of slaves increased as smaller polities fused into larger ones. The transatlantic slave trade favored the participation of larger enterprises, like states, as opposed to individual raiders or kidnappers. When states organized large military campaigns, these wars yielded more slaves. The demand for slaves unquestionably **encouraged the military expression of political power** and led to the development of **warrior aristocracies** throughout the regions of the continent engaged in the slave trade. While rulers might go to war for political reasons, warriors did so for the booty. Increased warfare and the pace of political consolidation sharpened perceived differences between groups, helped to crystallize **ethnic identities**, and heightened political instability, which in turn fueled more wars. Warfare and enslavement directed the investment of capital into horses and firearms (the means of destruction), into defensive walls, and into consumer goods at the expense of investment in the means of production, like agriculture, crafts, and mining.

Slaves were exchanged for an assortment of European and reexported goods from the Orient, especially Indian cloth. Cheap baubles and shoddy manufactures were included in this assortment, but so were firearms, metal utensils, hardware, fine cloth, iron bars, and cowrie shells, which served as a currency in much of West Africa. Moreover, the **barter terms of trade** (the composition of the assortment of goods exchanged for a slave “unit”) consistently moved in favor of African sellers, who demanded and received a larger volume and greater variety of goods over the course of the slave trade. Especially where kings controlled the slave trade (in Benin, the kingdom of the Kongo, and Dahomey, for example) many of these goods flowed outward from the political center through patronage systems. Rulers' efforts to control the slave trade were also expressed in the development of bureaucracies designed to regulate external commerce.

Rulers were not always successful in regulating the slave trade or in controlling its potentially dangerous consequences. The kingdom of the Kongo was a well-established polity in the interior, south of the Zaire River, when the Portuguese first arrived there in 1481. It was held together by military power, kinship, and the judicious redistribution of scarce goods. The BaKongo king, Alfonso I, initially welcomed the Portuguese, who came as traders and as missionaries. Alfonso sought to monopolize the new traders and to insert their new goods into the system of redistribution that tied outlying governors to the political center. He encouraged his son to convert to Catholicism and to be consecrated as bishop. He encouraged the court nobility to convert and invited the



Portuguese missionaries and craftsmen to settle in the capital. As Portuguese demand for slaves increased, outlying governors became more interested in dealing directly with the newcomers. Eventually, the redistributive system collapsed and the Kongo kingdom plunged into civil war. In this period of chaos, a noblewoman, **Beatrice Kimpa Vita**, who was a Catholic, led a millenarian movement that married Christianity and local BaKongo beliefs in an effort to create a new sense of community, to Africanize Church teachings, and to expel Portuguese missionaries. The Portuguese and their BaKongo allies executed her as a heretic in 1706. The Kongo kingdom never regained its former prominence.

African participation in the slave trade had contradictory consequences for Africa. On the one hand, it led to **political consolidation**. On the other, because it fostered warfare, it created conditions for **political dissolution**. Similarly, the slave trade favored commerce, since many imported goods found their way into internal circuits of trade. Yet the export of millions of human beings reduced the size of the domestic African market. Warfare also discouraged long-term investment in agriculture, mining, and industry. Three aspects of the many contradictory consequences merit further discussion.

First, Africa's participation in the South Atlantic system clearly led to the **export of many millions of young, productive men and women**. However, it also led to the importation into Africa of **New World cultigens**, including maize, sweet potato, and cassava, which have become staples throughout much of tropical Africa. These New World crops yielded higher caloric returns than indigenous crops per unit of labor, and, according to some historical demographers, arrested population decline during the slave trade era. On a continent where land-to-labor ratios have historically been high, economic development might have been quite different if these cultigens had been imported and people not exported.

Second, although the proportion of male to female slaves exported from Africa to the New World changed over time and by region, historians estimate that **60 to 70 percent of those entering the transatlantic slave trade were males**. Since warfare, kidnapping, and other forms of enslavement netted more females than males (because more males were likely to have been killed while resisting or defending or because they were more intransigent), what happened to those female slaves not exported overseas? The answer is that female slaves were retained in Africa because they were more valued than male slaves. The retention of female slaves in Africa hints at subtle changes in gender roles and contributed to both **polygyny** (many wives) and **patriarchy** (male power).

Finally, just as in the case of Beatrice Kimpa Vita, the slave trade contributed to new forms of resistance against established political rule. In West Africa, many ordinary Africans increasingly turned to Islam as a means of providing a model for a **new and different community**. Beginning around 1660 with Nasir al-Din, a more **militant Islam** emerged as a reaction against the old, established political order. Although the early jihads, or holy wars, actually contributed to the slave trade by producing captives, by the

late 18th century Hausa peasants and Fulani herders swelled the forces of Usman dan Fodio's militant Islamic movement. Many joined to protest the enslavement of Muslims by nominally Muslim Hausa aristocracy. Paradoxically, the success of this jihad led to the creation of the Sokoto Caliphate, one of the most powerful and dynamic polities in West Africa, which maintained itself through annual military campaigns. These campaigns yielded a steady supply of slaves to feed the demand for agricultural labor in the caliphate. (See [Overview](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1455](#))

## 2. [Regions](#)

### a. [Sudanic West and Central Africa](#)

#### 17th Century

The nomadic **Moors** of the western Sahara dominated the region. Two main groups constituted Moorish society in this era, the **Hassani** and the **Zawaya**. The Hassani, the military clans, ruled the Sahara north of Senegal and achieved political dominance over rival Moors, thanks to their military strength. The Zawaya, essentially clerical and commercial clans, occupied the southwestern Sahara and contributed the bulk of Islamic scholars and clerics. Most of the region's commerce was in the hands of the Zawaya. 1

#### 1591

A **Moroccan army under Djудар Pasha defeated the Songhay army**. Djудар Pasha's invasion of Songhay was triggered by the Moroccan desire to spread Islam and to gain direct access to Sudanese gold and slaves. Equipped with firearms, Djудар Pasha's invading force of 3,000 to 4,000 troops scored an easy victory over a Songhay cavalry equipped with lances and an infantry equipped with lances and bows and arrows. This was the **first recorded use of muskets in sub-Saharan Africa**. Songhay's defeat signaled the end of the last great Sudanese Empire. The decline of Songhay ushered in a period of intense but **localized political consolidation and economic development**. 2

#### 1599

In an effort to revive the Mali Empire's power, **Mansa Mahmud** attacked Jenne but was repulsed by Moroccan forces dispatched from Timbuktu. Mansa Mahmud's defeat marked the end of Mali's influence in the Middle Niger region; henceforth the kingdom disintegrated.

3

## 1618 Onward

The bulk of the Moroccan army returned, leaving garrisons in the important towns of the Middle Niger region and in Timbuktu. Decades after the Moroccan occupation of Timbuktu, descendants of the conquering troops began to assert their autonomy. These descendants, known as the **Arma**, exerted influence only in the regions neighboring their garrisons. The Arma became the overlords of Timbuktu, a position they would hold until the early 19th century. The Arma, however, faced **constant revolts from Timbuktu's inhabitants and from the nomadic tribes of the western desert**. Arma authorities regularly suppressed uprisings led by local Muslim scholars.

4

## c. 1537

The formation of the kingdom of **Kaabu**, which arose as a consequence of Mali's westward expansion. Malinke traders had migrated west to obtain gold and salt, paving the way for Kaabu to become the western seat of the Mali government. By the 16th century, Kaabu was the dominant power in the Senegambian region.

5

## c. 1500–1620

Hausa city-states gained strength in this era, largely because of their strong armies. Ruling aristocracies controlled these states' political, administrative, and military personnel. Underpinning the Hausa city-states' economies were productive peasants and lucrative trade routes. One major route linked Hausaland with the Volta Basin; another led to the Sahara. In the trans-Saharan trade, the Hausa exchanged slaves, cloth, gold dust, and kola nuts for horses, camels, and salt. From the 16th to the early 18th century, **Hausa states fought among themselves for supremacy**. As Hausa states gained strength, bitter rivalries developed. Military conflicts between Kano and Katsina erupted throughout the 16th century, as both states struggled for control over eastern Hausaland. In the 18th century, the city-state of Gobir clashed with Kebbi, Kano, and Katsina.

6

## 17th Century

The Mossi were one of several kingdoms to emerge in the political vacuum created by the fall of Songhay. Its development was hastened by the 17th-century expansion of **Yatenga**, a Mossi state that gained new territory by conquest. Mossi officials superimposed their own political structures throughout much of the Volta Basin, incorporating many non-Mossi peoples into their empire.

7

### c. 1730

The **Kano aristocracy** had developed formidable military capabilities and become the most powerful state in Hausaland. In the 17th and 18th centuries, new forms of **political and military offices** emerged in Hausaland. City-state bureaucracies greatly expanded, and officials established specialized government departments to oversee protocol, internal and external affairs, regional governments, and the treasury. Military rulers played an especially important role in city-states. In order to maintain security vis-à-vis their neighbors, these rulers made their forces more efficient and tightened their chains of command. Significant **expansion of central Sudan's economy, by means of slave labor**, occurred during the 17th and 18th centuries. Slavery and the slave trade underpinned the central Sudanese economy in this era. Besides contributing to land cultivation and pastoralism, slaves helped maintain the region's system of transport, trade, craft production, and communications. Their labor as caravan workers was particularly crucial to the trans-Saharan trade. Slaves also worked as soldiers and civil servants.

8

## 18th Century

Height of kingdom of **Salum**, western Senegal, and development of a military aristocracy. The kingdom of Salum's strategic location on the Salum River near the Senegambian coast enabled it to profit from the nearby salt deposits and the European slave trade. The Salum kingdom's **ruling warrior aristocracy** came to power through its control of the coastal slave trade. The kingdom eventually expanded toward the Gambia.

9

### c. 1710

**Biton Kulubali** and his largely slave army restructured Bambara society through force and founded the **Segu Bambara kingdom**, with its capital at Segu. The Bambara state of Segu expanded in the delta region of the Middle Niger, near trade routes and commercial centers. Biton Kulubali steadily gained young followers, who swelled the ranks of his slave army. Following Biton's death in about 1755, the state was racked by civil war. It was rebuilt by Ngolo Jara in about 1767 and remained an important regional center until 1860. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1481](#))

## **b. [Forest West Africa](#)**

### **15th Century Onward**

The first state to provide Europeans with a significant supply of slaves from the forests of eastern Nigeria, **Benin** owed its rapid development to its centralized kingship and its location along major West African trade routes. Benin's rulers extended their authority through military force and consequently maintained a monarchy that lasted through the 19th century. By the beginning of the 16th century, Benin had two hierarchies of power, centered on palace chiefs and town chiefs. The state earned revenue from its monopoly over certain commodities, taxation, and judicial fines. Benin was the most important African state the Portuguese came in contact with up to 1486. 1

#### **1562**

John Hawkins initiated the **British slave trade** by taking a load of 300 slaves from Sierra Leone. 2

#### **c. 1575**

The **Fon kingdom of Dahomey** arose amid the unstable conditions and rivalries spawned by the Atlantic slave trade. Located in the southern portion of present-day Benin, Dahomey developed into a highly centralized state. By absorbing other polities in its midst, it became a major power by 1700. 3

#### **1598**

**Dutch** established trading stations along the Guinea coast. 4

### c. 1606

**Dutch, Flemish, and Portuguese** traders active in Sierra Leone. 5

### 1612

**French** effort to operate a factory on the Gambia River failed. 6

### 1618

**British** established post at Bathurst, mouth of the Gambia River. 7

### 1621

**Dutch** founded trading stations on Gorée Island and at Arguin. 8

### 1626

The **French** established themselves at Saint-Louis at the mouth of the Senegal River. 9

### c. 1630–70

The first **Asante towns** began attracting immigrants in the early 17th century. Each developed its own political structure but shared certain common traits, including matrilineal descent. **State building progressed steadily**, spurred by the abundant human and natural resources of the region, aided by the **use of slave labor**. The Akan occupied and colonized the densely populated region between the eastern Ivory Coast and the Volta River, also noted for having the most productive gold deposits in the region. In addition to the trade in gold northward to the grasslands and to the Mediterranean via the trans-Saharan trade, the arrival of Europeans stimulated increased production of gold for 10



trade along the coast. Africans purchased as slaves or captured in wars of conquest were used within Akan society as farm laborers, miners, and porters.

In the late 17th century, Asante began to battle neighboring states for supremacy; by the early 18th century, Asante had become the strongest of the Akan centralized states. Its empire was based on military exploits and conquest. <sup>11</sup>

## 17th Century

Small states along the Gold Coast emerged, stimulated by the state building of the Asante to the north and by the commercial opportunities offered by the Europeans. The growth of this trade led to the formation of several small states along the Gold Coast, including **Adansi, Denkyira, Assin, and Akwamu**. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1434–68](#))

### c. [Northeast Africa \(Horn\)](#)

#### 1500

**Christian empire in Ethiopia reached its peak**, having no significant rivals in the region. Emperor granted land or tributary or service rights to deserving individuals in **feudal system** based on grants of territory in exchange for loyalty, but feudal aristocratic class did not develop at this stage. **Galla** peoples, Cushitic-speaking pastoralists, began migration into Ethiopia from the south. 1

#### 1500–1650

**Growth in trade** in Horn of Africa. 2

#### 1504

**Funj**, cattle-keeping nomads moving north along the Blue Nile, established sultanate after defeating Nubians. Abdallabi emerged as ruling clan and **Sennar** became their seat of government around 1616. The **Funj-Abdallabi sultanate** encouraged spread of Islam by scholars who introduced **Sufi mysticism**. 3

#### 1520–26

Portuguese mission under **Rodrigo de Lima** to Ethiopia. **Francesco Alvares** acted as chaplain, with objectives to establish **Christian alliance with Ethiopia** (following earlier mission in 1487). Alvares provided first detailed reports on the strength of the Ethiopian empire and church.

4

### 1529–43

**Ahmad ibn Ibrahim al-Ghazi led jihad** in Ethiopia growing out of wars between Ethiopia and the neighboring Islamic trading states. Ethiopia came to the brink of defeat, but the jihad lost momentum after the death of Ahmad in 1543.

5

### 1541–43

Soldiers from the **Portuguese fleet in Massawa fought with Ethiopian army against Muslim forces**. Muslim forces were decisively defeated and Ethiopia began to regain some lost territory, but empire remained weak until Restoration.

6

### 1555–1633

**Portuguese Jesuit missions** to Ethiopia. Conversion of two successive rulers. Remarkable influence and work of **Pedro Paez** (d. 1622). Conversion, however, led to repeated intrigues and wars against the Portuguese.

7

### 1640

**Portuguese expelled** from Ethiopia and Catholic missions prohibited.

8

### 1559

**Galla, adopting horses**, made renewed push toward Ethiopian plateau in wake of Muslim invasion.

9

### 1572–75

Ethiopian **emperor Serse-Dingil** (d. 1597) took over feudal armies under direct royal control and **defeated Ottoman attempt to conquer Ethiopia.** 10

## 1607–32

**Emperor Susenyos** of Ethiopia **incorporated Galla** into Ethiopian army and settled loyal Galla in strategic provinces. In 1622 he sided with the pro-Jesuit factions at the court and **proclaimed himself Catholic**, but he was unable to carry the court or country against the tradition of the Ethiopian church. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [R. 1344–74](#))

## **d. [East Africa](#)**

### **1. Swahili Coast**

#### **1500**

Most of **Swahili coast at an economic and cultural peak**, though Kilwa was in decline on eve of Portuguese arrival. All the towns by this stage were Muslim, speaking an early form of Swahili, while hinterland peoples remained animist. <sup>1</sup>

#### **1591**

**Mombassa fell to Portuguese** in alliance with Malindi. **Sheik Ahmad of Malindi** was made sheik of Mombassa. <sup>2</sup>

#### **1592–96**

**Portuguese built a factory on Zanzibar and established Fort Jesus** and put in place a garrison of 100 men at Mombassa to secure a foothold on the Swahili coast. Elsewhere, their presence was minimal, involving only the collection of tribute. <sup>3</sup>

#### **1652–1729**

**Omani Arabs struggled with Portuguese** for control of the Swahili coast. Omani raid led ruling dynasty in Zanzibar to proclaim its independence from Portuguese. <sup>4</sup>

## 1696–98

**Omani Arabs besieged Fort Jesus**, leading to surrender by the Portuguese in 1698. 5

## 1729

**Portuguese were finally driven out of Mombassa and other Swahili towns** by local forces. 6

## 1741

**Rise of Bas'idi dynasty** in Oman set stage for rise of Zanzibar under Omani rule in 19th century. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1500](#))

### e. [West Central Africa](#)

#### 1500–1600

Kongo kingdom dominated subregion south of lower Congo (Zaire) River as far as Luanda (modern-day Angola). From 1500 **Kongo was becoming a conquest state and trading empire and was sharply influenced by the arrival of the Portuguese.** It was ruled from a central capital by a monarchy and a class of urban nobles who presided over villagers and slaves. The political structure was centralized; officeholders, including provincial governors, were appointed by the king. 1

#### 1500–1700

**Social and cultural change in Kongo.** Trade in north African cloth and European goods, along with the presence of Portuguese teachers and priests, helped to create a **distinct court culture and enhanced royal power. Diminishing importance of matrilineality and of the village.** Increasing exploitation of villagers led to rebellion and to **Kimpassi cult, aimed at the elimination of suffering. Decline in the status of rural free women.** Among nobles, growth in patrilineal descent patterns. **Rapid expansion of the slave trade led to increased militarization of society and presence of two classes of slaves, those who were considered exportable and those who could not be sold.** 2

**Rund state, which was to become the wider Lunda Empire,** emerged between Kasai and Bushimai Rivers in southern present-day Zaire. **Luba Empire** had come into existence somewhat earlier in Shaba between Bushimai and Lualaba Rivers. Luba had a royal ideology based on **sacred kingship and rule by a secret association, the Bambudye,** who promoted state ideology and control. Population clusters in subregion of poor soils and a long dry season were linked by trade in raffia cloth, palm oil, fish, 3

copper, and salt. Copper crosses were used as standardized currency by 1500 but declined in size by 1600 and disappeared after 1700.

### 1506–43

Reign of **Alfonso I**, who became king after succession dispute. He was a **convert to Christianity under the influence of Portuguese missionaries**, and his rule was pivotal in opening up to Portuguese influence. Increased Portuguese influence **engendered internal crisis**. Alfonso made the Catholic Church the official religion and his **son Henrique was consecrated as a bishop in Rome** and directed the Christianization of the country in 1518–36. Revenue from the trade in slaves, ivory, and raffia cloth was used to attract Portuguese craftsmen, traders, and missionaries. The **growing wealth and Christianization of the nobility widened the gap between nobles and commoners** during Alfonso's rule. The nobility became literate Christians, and the royalty was strengthened by a slave guard. The Portuguese played an important role in the capital and in succession disputes in the kingdom. **The social structure changed from three strata (nobles, villagers, and slaves) to two (nobles and laborers/peasants). A tension emerged and grew between the nobility of Mbanza Kongo, the capital, and governors of outlying regions.** In Angola, the Portuguese placed themselves above the other strata and there emerged a group of **Afro-Portuguese mulatto traders** of mixed culture and language.

4

### 1514

**Slave trade** developed in Kongo from this date, under a **royal monopoly**. Increased demand for slaves encouraged outlying governors to deal directly with Portuguese traders, leading to political and military conflicts.

5

### 1526

**Kongo king Alfonso made a failed effort to abolish the slave trade.**

6

### 1548–83



**Introduction of maize cultivation** in Kongo. Other **NEW WORLD PLANTS**, including tobacco and manioc, along with pigs, were introduced in Kongo at about this time.

7

### 1560

**Smallpox epidemic in Kongo.** Along with the slave trade, new **DISEASES** had a significant effect on population.

8

### 1567

**Kongo routed by nomadic Jaga warriors** from the east during disarray following war with **Tio kingdom**.

9

### 1571–73

**Kongo kingdom regained with help of Portuguese troops**, but Kongo's regional dominance was lost as **Portuguese traders shifted focus to Loango**, north of the Congo River.

10

### 1575

**Portuguese established colony of Angola** as a slaving territory.

11

### 1576

**Paulo Dias** founded **Luanda** in Angola colony and began to trade in slaves.

12



(See [1497](#))

## f. [Southern Africa](#)

### 1. North of the Limpopo

1500–1700

Expansion of **Maravi state system in Chewa-speaking area of the Shire Valley**. The state was centered at Manthimba on the southwest side of Lake Malawi. It integrated pre-Maravi inhabitants through ritual and appointments, and expanded, around 1575, by settlement of lineage heads in adjacent territories. <sup>1</sup>

1514

By this date, **Swahili traders had established bazaars** for regional trade in the **Mutapa Empire**. <sup>2</sup>

1531

**Swahili traders** were ousted from Sena and Tete but remained in Zambezi region as agents for Portuguese. <sup>3</sup>

1550

**Portuguese began trading along the Zambezi River**. <sup>4</sup>

## 1575–1684

Portuguese transformed Swahili bazaars in lower Zambezi into *feiras*, central areas for Afro-Portuguese commerce, on land granted by local chiefs. The most celebrated *feira* was **Dambarane**. 5

## 1500–1800

**NEW CROPS** from Europe and Asia and the Americas entered southern Zambezi, including rice, yams, various fruit trees, groundnuts, cowpeas, and maize. New crops contributed to population increase. 6

## 1600–1700

**Chewa-Maravi** peoples became most important group in subregion north of Zambezi River; the **Portuguese were forced to cooperate with them** in the Zambezi Valley. 7

## 1624

**Jesuit missions** established along the Zambezi River. 8

## 1645

**Portuguese began to export slaves** from Mozambique to Brazil. 9

## 1677

**Two thousand Portuguese colonialists** arrived in Mozambique. 10



(See [1400–1500](#))

## **g. [Madagascar](#)**

### **1500**

Four **Swahili-speaking trading communities** had been established in the north, exporting **rice and slaves** to East Africa and Arabia. 1

### **1550**

End of immigration of main components of Malagasy population. **Aristocratic Zafikasimambo** emerged among the **Antemoro**, recent immigrants, in the east at Matitana. This **priestly caste** monopolized the privilege of slaughtering domestic animals, reduced freedoms accorded common people, and centralized power to create the first strong **Antemoro kingdom**. The **Portuguese** became the most active **slave buyers** in the northwest trading communities. They also traded for cattle, ambergris, and raffia cloth. 2

### **1600**

Many small independent chiefdoms were scattered across the island. 3

### **1600–1700**

There was **increasing contact with Europeans**; the focus of the slave trade shifted from East Africa and Arabia to the Cape of Good Hope and the New World. However, the 4

Portuguese took fewer slaves than the Africans and Arabs did. The **Comoro Islands** became the collection point for Madagascar's trade to East Africa and Arabia. The **Dutch and English** also began trading in Madagascar.

### 1600–1800

**English** were the most active traders of slaves to the New World from the island. 5

### 1643–74

**French** established fort in the southeast. 6

### 1645

**English Puritans** established short-lived colony at St. Augustine Bay. 7

### 1647–74

**Carmelite mission** started in Madagascar. **Lazerites and Capuchins** also participated. 8

### 1690

**Tsimanatona** established **Iboina state** with **Sakalava warriors**. 9

### 1700

By this time much of the west was under the **Sakalava Empire** and there were kingdoms in the highlands and in the south. 10

### 1721

**French annexed Mauritius**, renaming it Île de France. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1524–25](#))

## H. [Latin America, 1500–1800](#)



### [COLONIAL LATIN AMERICA, 1500-1750 \(MAP\)](#)

#### 1. [The Spanish Conquest](#)

**The conquest and colonization of Spanish America progressed outward from the earliest colony in Santo Domingo.** By 1600, the territory from New Mexico and Florida in the north to Chile and the Río de la Plata in the south was, with the exception of Brazil, under the rule of the Crown of Castile. 1

At the time that Spaniards engaged in the exploration, conquest, and colonization of America, Spain was a multiethnic society in the process of centralization and unification under the Crown of Castile (See [1479–1516](#)). The crucial element for unity was the imposition of the Christian faith on the entire population. The Catholic kings consequently expelled Jews and Muslims unwilling to become Christians. In the expansion of Christian control, the kings distributed land and people taken from the Muslim rulers. Using the same method in America, **the crown took advantage of the conquerors' individual initiatives while remaining the source of political legitimacy and organization in the New World settlements.** 2

The triumph of the Spaniards over incredible numerical odds was due to their ability to exploit the fissures of local societies and to adapt their military training to new conditions. Spaniards allied with discontented native lords and learned to use native weaponry. Interpreters and translators provided them with better knowledge of the societies they intended to dominate. **Through warfare and slavery, the Spanish conquest took a heavy toll on native lives.** The cruelty of the conquerors gave rise to the 3

**Black Legend**, popularized by Protestant European states in their wars against Spain. Besides the horrors intentionally provoked, contact with the conquerors caused **native inhabitants to suffer epidemics of diseases to which they had not developed immunological defenses**. Also, the introduction of European cattle destroyed the ecological system on which Indian agriculture was based. The conquerors quickly subdued those societies where centralized states had been established; in other areas, their advance was slower and suffered repeated setbacks.

The crown acted swiftly to prevent conquerors from becoming a new feudal aristocracy. <sup>4</sup> It reserved for itself the power to issue authorizations (*capitulaciones*) for the exploration, conquest, and settlement of new territories. It issued laws prohibiting Indian slavery. Christianizing campaigns also strengthened royal control over conquered territories, since the Church was directly subordinated to the crown. In their eagerness to convert natives to Christianity, members of religious orders carefully studied native societies to improve their methods of uprooting native religions. The crown prohibited non-Castilians from immigrating to the New World, but many foreigners could obtain legal permission to travel and settle there. Soon, the original conquerors gave way to a colonial bureaucracy.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. [The Caribbean and the Isthmus, 1499–1531](#)

**Santo Domingo**, called **Española**, became the first seat of Spanish government in the Indies. The Indian population rapidly diminished as a result of warfare, overwork, enslavement, and disease. 1

### 1499

Discovery of gold mines in Santo Domingo. 2

### 1501

The crown authorized the African **slave trade** under its monopoly, giving permission to Flemish, German, Dutch, Genoan, and Portuguese merchants to engage in it. 3

### 1502

**Nicolás de Ovando** assumed governorship of Santo Domingo. He brought 1,500 families to populate the island. 4

### 1503

Ovando carried out a ruthless campaign to control the Indian population. He distributed Indians in *encomiendas* (See [Administration](#)), to work essentially as slaves in gold mines for the Spaniards. The conquerors founded 15 towns on the island. 5

## 1508–11

**Juan Ponce de León** conquered **Puerto Rico**, founded **San Juan**, and discovered gold. **Juan de Esquivel** settled **Jamaica**. Conquerors organized enslavement expeditions to the nearby islands. First sugar mills established on Española. 6

## 1511

Establishment of the *audiencia* of Santo Domingo (royal tribunal and government), the first in America. 7

## 1511–15

**Diego Velázquez** conquered **Cuba**. Colonizers founded **Baracoa** (1512), **Bayamo** (1513), **Trinidad** (1514), **Puerto Príncipe** (1514), **Havana** (1514), and **Santiago de Cuba** (1515). They quickly defeated Indians and subjected them to such exploitation that it led to their extermination within a few years. Havana was relocated to the north coast (1519). 8

## 1509–13

**Alonso de Ojeda**, with royal authorization, founded a colony on the east coast of the Isthmus of Panama. **Diego de Nicuesa** founded **Nombre de Dios** on the Isthmus. Ojeda's settlers later united with those of Nicuesa, under the governorship of **Vasco Núñez de Balboa** (1474–1519). Balboa claimed discovery of the **Pacific Ocean** (South Sea) and declared it a possession of the Crown of Castile (1513). 9

## 1513–14

A jurisdiction independent of Española, **Castilla del Oro** (Darien), was created in the region of the Isthmus. **Pedro Arias de Ávila** (1442–1531) was named royal governor and brought some 1,500 colonists from Spain. 10

## 1514–19

Ávila dispatched expeditions by land and sea to adjacent areas. He founded **Panama** as the seat of government, refounded Nombre de Dios, and cleared a route across the Isthmus. Balboa continued explorations on the Pacific coast. He clashed with Governor Ávila, who ordered his execution. 11

## 1522–23

Under independent authority, **Gil González Dávila** and **Andrés Niño** led a combined land and sea expedition westward from the Isthmus. Dávila conquered the area around the Gulf of Nicoya and Lake Nicaragua, and Niño sailed to Fonseca Bay. Governor Ávila then dispatched **Francisco Hernández de Córdoba** to conquer **Nicaragua**. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Venezuela and Nueva Granada, 1521–1549**

#### **1521**

**Bartolomé de las Casas** (1474–1566), who fought against exploitative excesses by conquerors, failed in his attempt to found a peaceful settlement for Indians at Cumaná. 1

#### **1531–35**

**Diego de Ordaz** explored the region of the Orinoco but left no permanent settlement. In the western areas, ongoing colonization was established at an early date. 2

#### **1527**

**Juan de Ampíes** (or **Ampúes**), commissioned by the *audiencia* de Santo Domingo, founded Santa Ana de Coro. Emperor Charles V granted this territory to the **Welsers**, a great Augsburg banking family to which he was heavily indebted. 3

#### **1529**

The Welsers sent out colonists and established an administration. **Ambrosio Alfinger** became the first governor of **Venezuela**. Dreams of **El Dorado** prompted explorations through the valley of the Orinoco and into the Andes. The rule of the Welsers was extremely harsh for the Indians. This brutality, along with protests in Spain against granting land to foreigners, moved the crown to revoke their concession (1546–56). Spanish leaders undertook the conquest of Venezuela. An Indian confederation opposed their advance for ten years, but smallpox epidemics greatly diminished the natives' resistance. **Diego de Losada** founded **Caracas** in 1567. 4

## 1525

**Rodrigo de Bastidas** founded **Santa Marta**, the first permanent settlement in what was to become **Nueva Granada**. **Pedro de Heredia**, acting directly under royal authority, founded **Cartagena** in 1533. 5

## 1535–36

**Sebastián de Belalcázar**, Pizarro's lieutenant, coming from Quito, founded **Cali** and **Popayán**. 6

## 1536–38

**Gonzalo Jiménez de Quesada** (1495–1576), under commission from the government of Santa Marta, moved up the Magdalena River, reached the plateau of Bogotá, defeated and sacked Chibcha chiefdoms, and founded **Santa Fe de Bogotá** (1538). 7

## 1539

Advancing toward the Bogotá plateau, Belalcázar met **Nikolaus Federmann**, an agent of the Welsers. Federmann, Belalcázar, and Jiménez de Quesada disputed over jurisdiction. The crown resolved the controversy, confirming Belalcázar in the governorship of Popayán. 8

## 1549

The *audiencia of Nueva Granada* was created. It included Santa Marta, Cartagena, Popayán, and Santa Fe de Bogotá, the latter town becoming the seat of government for this large area. 9





## **4. Peru and the West Coast, 1522–1581**

### **1522**

Continuing exploration southward from Panama, **Pascual de Andagoya** (c. 1495–1548) <sup>1</sup> advanced into **Biru (Peru)**, where he learned of the rich and powerful **Inca Empire**. His ill health forced him to abandon plans of conquest.

### **1524–28**

**Francisco Pizarro** (1470–1541), under Ávila's authority and in association with **Diego de Almagro** (1475–1538) and **Hernando de Luque**, a priest, undertook the conquest of Peru. An initial expedition reached the San Juan River and a second the Gulf of Guayaquil and Tumbes, where they encountered more evidence of the Inca Empire. <sup>2</sup>

### **1528–29**

Pizarro went to Spain and concluded a capitulation with the crown by which he obtained <sup>3</sup> the right of discovery and conquest of Peru for a distance of 200 leagues south of the Gulf of Guayaquil and the office of adelantado, governor and captain-general. Almagro was assigned command of the fortress of Tumbes, and Luque was named its bishop.

### **1531**

Returning to Panama, accompanied by his brothers Gonzalo (c. 1505–48) and Hernando <sup>4</sup> and a small group of recruits, Pizarro organized a military expedition and sailed for the conquest. He consolidated his position at Tumbes and founded **San Miguel de Piura**, then gathered more recruits and moved into the interior. He reached **Cajamarca**, where the Inca **Atahualpa** had camped with his retinue.

## 1532, Nov. 16

Pizarro seized Atahualpa by surprise. While prisoner, Atahualpa ordered the assassination of his rival, his half-brother Huáscar.

5

## 1533

Despite Atahualpa's having paid an enormous ransom in gold and silver, Pizarro ordered his execution. Pizarro, with the help of Almagro, advanced toward **Cusco**, the Inca capital. **Manco**, brother of Huáscar, viewed the Spaniards as allies and they installed him as Inca. Pizarro distributed lands and *encomiendas* among his troops.

6

## 1534

**Sebastián de Belalcázar** (1495–1550) defeated Atahualpa's lieutenants and established control in the region of Quito. **Pedro de Alvarado**, governor of Guatemala, came with an expedition of 500 men to seize Quito. He abandoned his claims in exchange for monetary compensation.

7

## 1535, Jan. 18

Pizarro, having left Cusco, founded **Lima**, which became the capital of the later viceroyalty of Peru. Almagro led Spanish troops and Inca warriors to conquer Chile. In Cusco, Pizarro's brothers attacked Manco to obtain more riches. Manco rebelled and conducted a lengthy but unsuccessful siege of Cusco (1535–36). The Inca leader retreated to **Vilcabamba**, a region that became his kingdom.

8

## 1537–41

**Civil war between Pizarro and Almagro.** Having failed in his attempt to conquer Chile, Almagro clashed with Pizarro regarding jurisdiction over the city of Cusco. Almagro occupied the city but was defeated and executed. Spaniards gained control over the region surrounding Lake Titicaca (1538) and founded the city of **La Plata** (today's Sucre) in 1539. Settlements at **Chachapoyas** (1538) and **León de Huánuco** (1539) were

9

built on the northeastern frontier.

## 1541

Partisans of Almagro assassinated Pizarro and set up **Diego de Almagro the Younger**,<sup>10</sup> Almagro's mestizo son, as governor. **Cristóbal Vaca de Castro**, the royal judge, deposed him. Almagro died in battle in **Chupas** (1542).

## 1539

**Gonzalo Pizarro**, as governor of Quito, led an expedition across the Andes and reached<sup>11</sup> the upper Amazon.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 5. [The Río De La Plata](#)

### 1526–32

**Sebastián Cabot**, in the service of a group of merchants of Sevilla, set out with an expedition to reach the Moluccas but was diverted into the **Río de la Plata** while searching for a passage to the east. The expedition passed up the Paraná and Paraguay Rivers and founded a short-lived settlement, which Indians, having suffered punitive expeditions, destroyed. 1

### 1535

**Pedro de Mendoza** established permanent colonization of the area. 2

### 1536

Mendoza founded **Buenos Aires** (Santa María de Buenos Aires) on the estuary of the Río de la Plata. The Indian population became increasingly hostile. **Juan de Ayola** and **Domingo de Irala** led explorations up the Paraná and Paraguay. 3

### 1537

Abandoning Buenos Aires, **Juan Salazar de Espinoza** led colonists up to the Paraná and Paraguay and founded **Asunción**. Spaniards established strong ties with Guaraní Indians, adopting many of their customs. Mendoza died on his way to Spain, and colonists elected Irala as governor. 4

### 1542–44

The crown named **Alvar Núñez Cabeza de Vaca** to replace Mendoza. He reached Asunción with more colonists and encountered opposition from Irala, who again became governor and was confirmed by the crown. 5

## 1563

Establishment of governorship of **Tucumán**, under jurisdiction of the *audiencia* of Charcas. 6

## 1573

**Juan de Garay**, with colonists from Asunción, founded Santa Fe. Spaniards from the northwest settled at Córdoba. 7

## 1580

Garay led an expedition from Asunción and **refounded Buenos Aires**. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1524–25](#))

## 6. [New Spain, 1518–1574](#)

### a. [The Conquest of Mexico](#)

#### 1518–19

Continuing the explorations of Hernández de Córdova and Grijalva, Diego Velázquez and **HERNÁN CORTÉS** (1485–1547) organized a military expedition. Cortés assumed the leadership, and despite the orders of Velázquez followed the coast of Yucatán, subjugated Tabasco, and reached San Juan de Ulúa. As a token of goodwill, Tabasco natives gave Cortés several women, among them **Malitzin (Doña Marina or Malinche)**, a Mexica woman living in servitude, who became his common-law wife. She had a crucial role as interpreter and Spanish representative in the conquest. Cortés renounced the authority of Velázquez and, acting as a direct agent of the crown, founded **Villa Rica de la Vera Cruz**, where he left a garrison. The soldiers elected Cortés as chief magistrate and sent representatives to the crown for confirmation. <sup>1</sup>

Cortés gained support from the **Totonac**, who were subjects of the Mexica. He sent envoys to **Moctezuma**, ruler of the Mexica (Aztecs), who, uneasy about prophecies indicating the end of his rule, avoided confrontation with the Spaniards. Cortés defeated **Tlaxcala** armies and, knowing their enmity toward the Mexicas, formed an alliance with them. Cortés entered **Tenochtitlán** (Nov. 8, 1519) after defeating resistance at Cholula. Moctezuma received him cordially. Cortés, upon learning of a Mexica attack against Spaniards at Vera Cruz, imprisoned Moctezuma and forced him to accept the sovereignty of Charles V. <sup>2</sup>

#### 1520

Meanwhile Velázquez, named *adelantado*, sent an expedition under **Pánfilo de Narváez** <sup>3</sup>

to reduce Cortés to obedience. Cortés placed **Pedro de Alvarado** (1485–1541) in command at Tenochtitlán, went to the coast, and won most of Narváez's forces to his side, whereupon he returned to the city. Alvarado's ruthless attack against Mexica warriors during religious celebrations prompted them to revolt against the Spaniards and Moctezuma. Cortés was forced to evacuate Tenochtitlán with heavy losses (June 30). Moctezuma died or was killed during the evacuation. **Cuauhtémóc**, his nephew, assumed command of the Mexica and organized war against the invaders. At **Otumba**, Cortés defeated the Mexica army (July 7) and reached Tlaxcala, where he had allies and reorganized his forces. Having received reinforcements, Cortés established his base at Texcoco and undertook the invasion of Tenochtitlán by land and water.

### 1521, May 26–Aug. 13

With the help of native allies, enemies of the Mexica, Cortés captured Tenochtitlán and imprisoned Cuauhtémóc. Spaniards razed the Mexica capital and established **Mexico City**, which became the seat of government of the future viceroyalty of New Spain. The crown named Cortés governor and captain general of New Spain (Oct. 15, 1522). He distributed Indians in *encomiendas* to the conquerors.

4

### 1524

Cortés received 12 Franciscan missionaries, known as the **Twelve Apostles**, who organized massive Christianization of native peoples.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. [Expansion to the South](#)**

### **1522–24**

**Cristóbal de Olid** subdued Colima and part of Jalisco. Spaniards settled in Michoacán, territory of the Tarascans, who allied with Cortés. Alvarado subdued Tehuantepec. 1

### **1523–25**

Alvarado conquered the Quiché and Cakchiquel and founded **Guatemala City** (1524). He extended the conquest into **Salvador** and became governor of the general district of Guatemala. Expeditions from New Spain subdued Chiapas (1523–28). 2

### **1524–26**

Cortés sent Olid to conquer and settle **Honduras**. Olid rejected Cortés's authority but failed, and Cortés's lieutenant killed him. Cortés led an expedition to Honduras to establish his authority and founded **Trujillo** (1524), thereupon returning to Mexico. 3

### **1526–36**

Internecine strife in Honduras prevailed. Alvarado as governor founded **San Pedro** and dispatched an expedition to found Gracias a Dios, but he departed for Spain without definitively gaining control of the area (1536). 4

### **1527–35**



*Adelantado* **Francisco Montejo** failed in his attempt to conquer **Yucatán**. After eight years of effort, he was appointed governor of Honduras. He subdued Tabasco (1529–40). 5

### 1537–44

Governor Montejo conclusively subjugated Higuera, in Honduras, and founded **Comayagua** (1537). Alvarado returned and again became governor. 6

### 1542–44

Establishment of the *audiencia of Confines*, with jurisdiction over Chiapas, Yucatán (from 1549 to 1560), and Guatemala. 7

### 1544

**Gaspar and Melchor Pacheco** finally conquered and colonized the area. Founding of **Valladolid** and **Salamanca de Bacalar**. The area of Petén remained unconquered until the close of the 17th century. 8

### 1546

Led by their native priests, Maya revolted against *encomiendas* in eastern Yucatán. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

### **c. Expansion to the North and the Pacific Coast**

#### **1522–27**

Cortés subdued the region of the Pánuco River and founded a town. Indian revolt suppressed by Cortés's lieutenant (1523). The Pánuco district became subject to the crown, with **Nuño de Guzmán** as governor (1527). 1

#### **1529–31**

Guzmán, as first president of the *audiencia* of New Spain, conquered Chichimeca areas to the north and west of Mexico City, including Jalisco and Sinaloa. **Guadalajara** founded (c. 1530). This area was called **Nueva Galicia**, of which **Compostela** became the capital (1531). 2

#### **1531–50**

In the interior, Spanish expansion was slower. Spanish subdued **Querétaro** in 1531. **Francisco de Urdiñola** founded San Luis de Potosí in 1550. 3

#### **1532–33**

In search of a strait and of new lands, Cortés dispatched an expedition that reached northern Sinaloa and Baja California. 4

#### **1535**

Cortés attempted to found a colony in Baja California but failed. **Francisco de Ulloa** reached the head of the **Gulf of California** (1539). Alarcón, cooperating by sea with Coronado's expedition to New Mexico, reached the same district and traveled up the **Colorado River** (1540). 5

### 1539

Viceroy Mendoza sent the Franciscan **Fray Marcos de Niza** northward to investigate reports by Cabeza de Vaca about the legendary Seven Cities of Cíbola. He reached the Zuñi pueblos of New Mexico and returned with exaggerated reports. 6

### 1540–42

**Francisco Vázquez de Coronado**, governor of Nueva Galicia, led an expedition overland to the new lands, while **Hernando de Alarcón** went on by sea along the Pacific coast. Coronado reached the Zuñis, and his lieutenants reached the Moqui pueblos and the **Grand Canyon** of the Colorado. Coronado traversed northern Texas, Oklahoma, and eastern Kansas before his return. 7

### 1541

Natives of Nueva Galicia rose in revolt against abuses committed by Nuño de Guzmán. Viceroy Antonio de Mendoza subdued them. 8

### 1542–43

As part of his project for South Sea discovery, Viceroy Mendoza sent **Juan Rodríguez de Cabrillo** to search for a northern strait. Cabrillo and, after his death, the pilot **Bartolomé Ferrelo** explored the Pacific coast as far as **Oregon**. 9

### 1546

Discovery of rich silver mines in **Zacatecas**. 10

An *audiencia* was created to govern Nueva Galicia, Guadalajara becoming the political and ecclesiastical capital. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. The Gulf Coast, Florida, and the Carolinas**

### **1521**

**Juan Ponce de León**, under royal patent, failed to colonize Florida. 1

### **1526**

**Lucas Vázquez de Ayllón** established the colony **San Miguel de Guadalupe** in the Carolinas, but it was abandoned on his death. 2

### **1528**

**Pánfilo de Narváez** landed in Florida with colonists from Spain. After exploration he tried to reach the Pánuco River, but his expedition was shipwrecked on the coast of Texas. Most of the colonists died of hunger, disease, or at the hands of the Indians. 3

### **1536**

**Alvar Núñez Cabeza de Vaca** and three companions, after six years of captivity, escaped and traversed Texas and northern Mexico, reaching Culiacán. 4

### **1539–43**

**Hernando de Soto** (1499–1542) obtained a patent for the colonization of the Gulf coast. His expedition landed in Florida, traversed Arkansas and Oklahoma, and discovered the **Mississippi River** (1541). De Soto died (1542) and his companions continued to the area of the Pánuco. 5

### 1559–61

Viceroy Velasco dispatched an expedition under **Tristán de Luna** to colonize the region of the Carolinas (Santa Elena). Luna established a garrison at Pensacola, moved inland, and founded a settlement, whose inhabitants later moved to Pensacola. **Ángel Villafañe** replaced Luna as governor and tried to colonize the Carolinas but failed. The garrison at Pensacola was abandoned. 6

### 1562

**Jean Ribaut** failed to establish a French Huguenot settlement at Port Royal in South Carolina. **Laudonnière** founded Fort Caroline, on the St. John River (1564). As a result of these activities, Philip II ordered the expulsion of the French from Florida. 7

### 1565

**Pedro Menéndez de Avilés**, as *adelantado* of Florida, founded **St. Augustine**, captured Fort Caroline, and slew the garrison, securing Spanish control of the peninsula of Florida. 8

### 1565–74

Menéndez de Avilés built presidios and posts across a wide area. He supported the establishment of missions by **Jesuits** and later by **Franciscans**, as far north as Virginia. 9



## **7. Foreign Encroachments and Territorial Changes, 1580–1800**

England, France, and the Netherlands engaged in war against Spain and sought to dispute Spain's preeminence in the New World by attacking shipping and setting up colonies in territories controlled by Spain and Portugal (See [Portuguese America, 1500–1815](#)).

1

### **16th Century**

French corsairs early on attacked the Spanish fleet off the coast of Europe and at the Azores and Canaries and soon extended their activities into the Caribbean, attacking towns and trade. Portuguese repelled French attempts to establish themselves in Brazil. English privateers, with tacit approval of the British crown, became active in the Atlantic, Caribbean, and Pacific. **Francis Drake** raided the Pacific coast during his voyage around the world (1577–80). After the outbreak of war between Spain and England, the English made privateering an official activity. Many towns were held for ransom or sacked, among them Nombre de Dios, Cartagena, Santo Domingo, and Valparaíso. Coincident with the struggle for independence in the Netherlands, Dutch freebooters became active.

2

### **17th Century**

England, France, and the Netherlands started settlements in the Guianas. England colonized Bermuda and the Bahamas. A Dutch armada captured a treasure convoy from New Spain (1628). An English expedition captured Jamaica and established a colony (1655). Slaves and their Spanish masters fled to the bush. Slaves formed runaway (Maroon) communities and attacked English settlements. In the 18th century, the British and Maroons engaged in wars. English, French, and Dutch buccaneering in the Caribbean played an important role in disrupting Spanish-American commerce.

3



## 18th Century

Constant wars in Europe and control of the sea by Great Britain made it difficult for the Spanish crown to maintain a trade monopoly. British, French, and Dutch merchants developed extensive illicit commerce. Wars against Spain had as one objective the obtaining of trade concessions, in which the slave trade was a very important element. 4

### 1701–13

After the **War of the Spanish Succession** (See [1701–14](#)), Great Britain obtained the *asiento*, or monopoly of slave trade with the Spanish possessions, by the **Treaty of Utrecht** (1713) (See [1713, April 11](#)). 5

### 1728

**Montevideo** was founded to counter Portuguese **Colonia** (founded in 1680), where British and Portuguese carried on illicit trade with the province of the Río de la Plata. 6

### 1741

A British expedition failed to capture Cartagena, which had been heavily fortified as a bulwark of colonial defense. 7

### 1750

The **Treaty of Madrid** stipulated that Portugal give Colonia to Spain in return for seven Jesuit reductions (settlements for Christianized Indians) on the east bank of the Uruguay. 8  
The Guaraní of the reductions rebelled against the transfer, unleashing the **War of the Seven Reductions** (1752–56), which ended with Portuguese repression. Portuguese retained Colonia and the treaty was void.

### 1762

When Spain entered the **Seven Years' War** (See [1756–63](#)) as an ally of France, British expeditions captured Havana and Manila (1762). Spanish forces captured Colonia and occupied Rio Grande do Sul in Brazil. By the **Treaty of Paris** (1763) (See [1763, Feb. 10](#)), Spain ceded Florida to Great Britain in exchange for Havana and Manila, and returned Colonia and Rio Grande do Sul to Portugal. France ceded Louisiana to Spain, although French colonists opposed establishment of Spanish authority. 9

### 1771

Dispute between Spain and Great Britain over possession of the **Falkland-Malvinas Islands**. 10

### 1774

Spain established a garrison in the Falklands to defend the Strait of Magellan. 11

### 1776–77

Spain invaded Colonia and other Portuguese territories. Creation of the **Viceroyalty of Río de la Plata** helped to solidify Spanish control in that area. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## 8. The Spanish Colonial System, 1550–1800

### a. Population Development

The **native population** of the Americas declined drastically owing to the effects of war and epidemics. Unchecked proliferation of European livestock at the expense of Indian agriculture destroyed ecological equilibrium. In the **Caribbean**, depopulation was aggravated by the enslavement of natives to work in gold placers. Devastating epidemics spread throughout the islands (1519, 1530), reducing the population from an estimated 500,000 at the eve of the conquest to 22,000 in 1570. Yellow fever became endemic in the tropical lowlands and coasts of the Caribbean and circum-Caribbean. <sup>1</sup>

On the eve of the conquest, Indian population in **central Mexico** was estimated at 11 million. Severely affected by recurrent epidemics of European diseases (1519–24, 1529, 1545–46, 1558, 1576–79, 1588), the Indian population had no opportunity to recover, and by 1597 had plunged to 2.5 million. In **Peru**, the Indian population was an estimated 6 million at the beginning of the conquest. Affected by military mobilization, by the resettlement policy in new towns, and by deadly epidemics (1545–46, 1558, 1576, 1588), Indians were reduced to 1.3 million by 1590. Their decline was especially dramatic in the coastal areas. <sup>2</sup>

By 1650 the Indian population had reached its nadir in New Spain (Mexico) with 1.5 million. **Recovery began at the end of the 17th century**, when Indians numbered about 2 million. By the end of the 18th century, the Indian population had increased to 3.7 million. In Peru, the native population dropped to 1.5 million in 1570. Its recovery, at the beginning of the 18th century, did not follow a uniform trend. The portion of the population identified as Indian continually declined throughout the Spanish domains. Many Indians sought to be counted as **mestizos** to avoid tribute payment. <sup>3</sup>

Early on, **African slaves** were brought to the New World. The rapid decline of the Indian population in the Caribbean led to increased slave trade. By 1570 the Caribbean had 56,000 inhabitants of African origin, easily surpassing the Indian and white population. Most of the slaves were captured in Senegambia, Guinea, and the mouth of the Congo River. During the 16th century, 75,000 slaves were introduced in Spanish-American domains. Between 1600 and 1650, slave traders sold 125,000 slaves in the region. The <sup>4</sup>

uneven distribution of the sexes and the harsh conditions of slavery made reproduction and the formation of slave families difficult. Nevertheless, slaves formed unions with native women, which increased the size of the mixed population. Children of these unions were born free, since the child's status derived from the mother. Between 1651 and 1760, slave traders shipped some 344,000 slaves to Spanish dominions. Between 1761 and 1810, in response to the booming plantation economy, 300,000 slaves were imported, mainly into Cuba and Puerto Rico. However, by that time most of the black population in Spanish domains was free.

Much of the **Spanish population** was concentrated in urban settlements. The crown created the Casa de Contratación to control emigration to the Indies. Heretics, Moors, Jews, and their descendants were excluded from traveling to Spanish domains. **Most Spanish emigrants came from the territories subject to the Castilian crown, especially Andalusia and Castile**, although a few non-Spanish subjects of the Spanish king also migrated. Women were scarce at the beginning, but as the crown promoted family emigration, their numbers increased to a quarter of the total emigration. Some 240,000 Europeans came to America during the 16th century. Between 1601 and 1650, European emigrants totaled about 194,000. For the 18th century, estimates of Spanish emigration indicate a minimum of 53,000 individuals, coming mainly from northern areas of Spain—the Basque country and Catalonia.

Predominantly male migration at the beginning of colonization promoted unions between Spanish men and native women, which led to the growth of the **mestizo population**. Some were incorporated into the Spanish group, but illegitimate births were common among the mixed population. The mestizo rate of growth quickly surpassed that of the Indian population.

Mortality rates began to fall around the end of the 18th century. In 1803, **Francisco Javier de Balmis** (1753–1819), a Spanish physician, carried out a general campaign of vaccination against smallpox, helping to improve health conditions in the colonies. At the close of the colonial period, the estimated population of the Spanish colonies was 3,276,000 whites, 5,328,000 mestizos, 7,530,000 Indians, and 776,000 blacks. (New Spain, 1,230,000 whites, 1,860,000 mestizos, 3,700,000 Indians; Guatemala, 280,000 whites, 420,000 mestizos, 880,000 Indians; Peru and Chile, 465,000 whites, 853,000 mestizos, 1,030,000 Indians; Colombia and Venezuela, 642,000 whites, 1,256,000 mestizos, 720,000 Indians; Río de la Plata, 320,000 whites, 742,000 mestizos, 1,200,000 Indians; Cuba and Puerto Rico, 339,000 whites, 197,000 mixed, 389,000 blacks). The black population in all colonies, excluding Cuba and Puerto Rico, numbered 387,000.



## b. Administration

The Crown of Castile incorporated the new territories into its domains. Early on, Queen Isabella withdrew the authority granted Columbus and the first conquerors and established direct royal control. The structure of colonial government was fully formed by the third quarter of the 16th century. 1

After appointment to supervise preparations for the second voyage of Columbus (1493), **Juan Rodríguez de Fonseca** effectively became minister of the Indies and laid the foundations for the expansion of the colonial bureaucracy. The development of trade between the new lands and the metropolis led to the establishment of the Casa de la Contratación at Sevilla to control colonial commerce, emigration, and maritime enterprise (1503). Rodríguez de Fonseca presided over the newly founded **Council of the Indies** (Consejo de Indias), which was designed to administer the colonies and which exercised supreme authority over the Indies and the Casa de Contratación. The legislation for the Indies promulgated by the crown and the Council of the Indies was codified in the *Recopilación de Leyes ... de las Indias* (1680). At the beginning of the 17th century, the crown created a Junta de Guerra y Armadas de las Indias to administer the armed forces and the dispatch of fleets to the Indies, and a Cámara de Indias to control ecclesiastical affairs and appointments, as adjuncts to the Council of Indies. With the advent of the Bourbon dynasty (1700), the Council of the Indies declined in importance. In 1714, the office of Minister of the Indies was created with the establishment of a Secretaría de Guerra, Marina e Indias (1714). This secretariat underwent numerous changes, and before the close of the century, a separate **Secretariat of the Indies** was formed. 2

Direct royal government in the Indies was instituted with the appointment of **Francisco de Bobadilla** as judge and governor of Española and the removal of Columbus (1499–1500). A tribunal of three royal judges was created in Santo Domingo as a check on the governor (1511), and this body evolved into the *audiencia* (governance tribunal) of Santo Domingo, with authority over the Caribbean (1526). 3

On the mainland, during the first years, conquerors ruled with the titles of *adelantado*, governor or captain-general. The institution of adelantado was important during the 4

conquest. By agreement with the crown, the adelantado undertook the conquest of a specified area at his own expense, and in return the crown assigned him governmental authority and hereditary privileges. The institution helped to bring new lands under Spanish dominion, but the crown revoked individual privileges, since they threatened royal authority. Some conquerors rebelled against royal control, and this contributed to the decision to fortify the royal bureaucracy in the Indies.

The **Viceroyalty of New Spain** was created in 1535, with its capital at Mexico City, and included the Caribbean, Venezuela, the Philippine Islands, and all territories north of Panama. The New Laws created the **Viceroyalty of Peru** in 1542, with an *audiencia* at Lima, and included all Spanish territories in South America except Venezuela.

*Audiencias*, each with its specific area, were created in Guatemala (1542); Nueva Galicia (1548); Nueva Granada (1549); Charcas, or Upper Peru (1556); Quito (1563); and the Philippine Islands (1583–93). American-born Spaniards (**creoles**) gained access to government through direct royal appointment and through purchase of public offices.

The viceroys as direct representatives of the sovereign possessed wide civil and military authority. They were presidents of the *audiencias* of their capitals. The *audiencias*, comprising a president, *oidores* (judges), a *fiscal* (crown prosecutor), and lesser officials, exercised supreme authority within their districts, and the *audiencias* not directly under viceroys exercised governmental authority. The viceregal *audiencia* acted as an advisory council to the viceroy and in this function exercised legislative power. The *audiencias* dealt with judicial affairs and appeals going directly before the Council of the Indies, and they had authority to correspond directly with the crown. The status of *audiencias* varied according to the rank of the presiding officer, that is, viceroy, president and captain-general, or president. The presidents of the *audiencias* of Santo Domingo, Guatemala, and Nueva Granada had military authority and became presidents and captains-general. As such they were practically independent from the viceroys. Guadalajara, Quito, and Charcas remained as presidencies. In the absence of the viceroy or president and captain-general, the *audiencia* assumed the powers of government. Major administrative areas were divided into *gobiernos*, *corregimientos*, and *alcaldías mayores*, with the *gobiernos*, in general, the most important and frequently consisting of more than one province.

In accord with medieval Castilian traditions, the municipalities at first enjoyed a large measure of self-government under their *cabildos* (town councils), composed of *regidores* (councilmen) and *alcaldes* (mayors), the former elected by the householders and the latter by the councilmen. Before the close of the 16th century, the election of councilmen gave way to royal appointment, hereditary tenure, and purchase of positions. *Cabildos abiertos* (open town meetings) of all householders were at times held to discuss important matters. The municipal government exercised executive, legislative, and judicial authority within its district, although frequently under the control of royal officials.

The Spanish organized the Indian population in towns, called *reducciones* in Peru and *congregaciones* in Mexico, with municipal governments following the Castilian model. In many cases, traditional chiefs (*kurakas* or *caciques*) managed to preserve their authority in the new structure, occupying positions as mayors and councilmen. Indian mayors were responsible for the allocation of services and labor required from Indians by local entrepreneurs and public projects. Local Spanish officials had jurisdiction over the native towns in their districts. They supervised the fulfillment of compulsory labor for mining and public works. Protectors of the Indians were created for general and local districts to guard the interests of the native population. The *repartimiento-encomienda*, which developed early on, was an institution of great political, social, and economic importance. In the earlier period this institution involved the assignment of specified towns to conquerors and colonists. Indians from the *encomienda* gave tribute, labor, and service to the *encomendero*, who was obligated to provide them with protection and indoctrination in Christianity. The *encomenderos'* increasing control over the Indian population moved the crown to regulate the system. Fixed quotas of tribute were established, and royal officials (*corregidores*) took charge of the distribution of Indian labor and services. With the publication of the **New Laws** (1542–43), the crown assumed control of the many towns and *encomiendas*. Before the end of the century, the *encomienda* was essentially reduced to the right to enjoy the revenues from specified towns. It was abolished formally at the end of the 18th century.

8

**Fiscal administration** was directly under the crown through the Casa de Contratación and accountants called *contadores*, *factores*, *tesoreros*, and *veedores* in the New World jurisdictions. With the establishment of the intendants, those officials assumed administration of fiscal affairs. The Castilian institutions of the *residencia*, *visita*, and *pesquisa*, set up to assess the performance of officials and the situation of the regions, were implemented in the colonies. The principal sources of **crown revenues** were the *quinto*, or one-fifth of the products of the subsoil (gold, silver, precious stones); the *almojarifazgo* (customs imposts); the *alcabala* (sales tax); the tributes of the natives; the *media anata* (emoluments) of civil and ecclesiastical offices; and the sale of the *Cruzada* (papal bulls sold by the crown to subsidize ecclesiastical expenses).

9

The **Bourbon kings** implemented sweeping administrative **reforms** (See [1713, April 11](#)) to improve the economic efficiency of their dominions. Thus they elevated Nueva Granada, Panama, Venezuela, and Quito into the **Viceroyalty of Nueva Granada** (1717–39). They ordered inspections to obtain data to undertake further reform in Cuba and Louisiana (1763), New Spain (1765), and Peru (1777). From 1713 on, the Bourbon kings began to name mostly Spaniards to the *audiencias*, which caused creoles to protest. **José de Gálvez**, who acted as **minister of the Indies**, was the main architect of the change. The **Viceroyalty of Río de la Plata** (1776) and the captaincies-general of Venezuela (1773), Cuba (1777), and Chile (1778) were created. *Audiencias* were established in Buenos Aires (1783), Caracas (1786), and Cusco (1789). Under Philip VI, a system of intendants was established throughout the Indies (1769–90), which reduced

10



the viceroys' powers. At the end of the colonial era, the crown established tribute obligations for mestizos and other people of color previously exempted.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Church and the Missions](#)

Pope Alexander VI in the bull *Inter caetera* (May 4, 1493) assigned dominion over the Indies and exclusive authority to convert the natives to the Spanish crown. His bull *Eximiae devotionis* (Nov. 16, 1501) granted the kings the titles and the first fruits of the Church in the Indies. Julius II in the bull *Universalis ecclesiae* (July 28, 1508) conceded them universal patronage. The crown exercised the patronage of the Indies (*real patronato de Indias*) through the Council of the Indies and later through that body and the Cámara de Indias. <sup>1</sup>

The **religious orders** early obtained broad powers in the colonies. Mainly the **Franciscans**—but also the **Dominicans** and the **Augustinians**—carried out a massive campaign to Christianize the natives, especially in New Spain. The organization of the Church with bishops from the secular clergy diminished the influence of these orders and enhanced the power of the crown. The orders, however, remained important in extending Spanish control in outlying areas. Dominicans and Franciscans were active in Guatemala. **Capuchins** established themselves in the area of the lower Orinoco. Toward the end of the 17th century, **Jesuits** undertook the establishment of missions in Pimería Alta (Arizona) and in Lower California. In the south, they expanded into the territory of Araucanía (Chile) and developed an important **mission system** in Paraguay. Jesuits obtained complete authority to convert and organize the Guaraní east of Asunción. Portuguese slave raids forced the Jesuits to move their missions to the south. The Jesuits established a complete governmental organization under the rule of a father superior, and Indians received some military training to defend themselves from enslavement. Commercial agriculture of yerba mate helped to support the missions. The expulsion of the Jesuits (1767) led to the decline of the missions. <sup>2</sup>

**The Church enjoyed the ecclesiastical exemption (*fuero*), operating its own courts with jurisdiction over all cases involving the clergy and spiritual affairs.** The Church also had extensive wealth. By the close of the colonial period, the **Church probably controlled half of the productive real estate of the Indies.** During the Habsburg dynasty (1516–1700), the power of archbishops could rival that of high civil authorities, and quarrels over jurisdiction were frequent. At the end of the colonial period there were seven archbishoprics and some 35 dioceses. <sup>3</sup>

The **Spanish Inquisition**, operating under the Council of the Inquisition, was introduced and tribunals were established in Mexico City (1569), Lima (1571), and Cartagena (1610). These tribunals were in charge of repressing people who practiced religions other than Catholicism (Protestants, Jews, Moors) as well as those who used sorcery and witchcraft, uttered blasphemies, lived in bigamy, or practiced sodomy. In the 17th century the Inquisition brought to trial New Christians accused of practicing the Jewish religion. It condemned a few to execution and many to exile and prison. Indians were exempted from the Inquisition, but the bishops judged their religious infractions, generally understood as regression to idolatry. Campaigns against idolatrous practices were especially important in Peru (1610–60), where Jesuits encouraged the formation of a special tribunal to deal with such cases. Slaves were subjected to the Inquisition, generally accused of witchcraft against their masters and of blasphemy.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### d. Economic Conditions

**The crown fostered gold and silver mining in its colonies.** Rich silver deposits were first discovered in Peru, where POTOSÍ became the most important mining center from 1540 to 1585. During the early years of silver extraction, wage labor predominated, but with the organization of the **mita** (forced labor) in 1574 by **Viceroy Toledo**, workers were recruited on a compulsory basis. Indian communities also had to provide a fixed allocation of workers to **Huancavelica** to extract mercury, an essential element for silver amalgamation. Forced recruitment mainly affected provinces in the southern highlands. After 1590, Peruvian silver production decreased, partly owing to irregular mercury production. Only at the beginning of the 18th century did Peruvian silver mining show signs of recovery, encouraged by improvements in mercury production in Huancavelica. From the 1770s on, the steady supply of mercury propelled a silver boom in Peru.

Between 1590 and 1630, Mexico's mines became the most productive, with important mines in the districts of **Zacatecas**, **Guanajuato**, **Pachuca**, **Taxco**, and **San Luis de Potosí**. Mestizo and Indian workers went to the mines as free laborers attracted by higher wages, though eventually many became trapped in their place of employment by debts, and a system of debt peonage developed. From 1640 to 1680, mining production contracted, recovering in the last decades of the 17th century with the return to smelting techniques to offset mercury shortages. In the 18th century, silver production increased decisively, owing to the steady influx of mercury from the Almadén and Idrija mines in Spain.

Agricultural and pastoral landholdings developed. In New Spain, Spanish-creole sectors and religious corporations increased their **estates** (haciendas) during the second half of the 16th century in vast areas, especially in the Bajío region. As a result, white landowners controlled Indian crops such as maize and *pulque* (alcoholic drink made from *maguey*), which led to profiteering and price speculation highly beneficial to the elite. In Peru, great landowners made more limited advances, and middle-size haciendas predominated. Throughout the Spanish domains—especially in the Caribbean and coastal areas—sugar plantations and mills evolved on the basis of **slave labor**, while haciendas used forced Indian labor (*mita* in Peru and *repartimiento* in New Spain) and resorted to debt peonage to retain workers. Between 1590 and 1620, the crown ordered legalization

of illegal occupation of land through a procedure called *composiciones de tierras*, which allowed the consolidation of haciendas.

Mestizo and Indian peasants also participated in the commercial economy, producing foodstuffs for the market and working in haciendas, mines, and transport as wage laborers. **Indian villages** were the main source of temporary and low-cost labor for all Spanish-creole enterprises.

During the 16th century, silk production developed in Mexico, Puebla, and Oaxaca for the internal market and export to Peru, but it was soon replaced by Chinese silk in the Peruvian market. Cochineal and indigo were important export commodities in Yucatán and Guatemala. In Peru, New Spain, and Nueva Granada, **textile factories** (*obrajes*) produced cheap textiles for the internal market. Muleteers' convoys provided **transport** connecting the diverse economic areas of the viceroyalties.

**Overseas trade** was under direct crown control, and Seville, seat of the Casa de Contratación, had the monopoly of the American trade during the 16th century. An influential merchant class developed in Sevilla with connections to the designated trading ports in the colonies: **Vera Cruz, Cartagena, and Porto Bello**, which alone were allowed to trade directly with Spain. They imposed restrictions on intercolonial trade and limited trade with the **Philippines** for the colonies. Naval warfare and attacks by corsairs led to the creation of a system of **convoyed fleets** for the protection of gold and silver shipments, one each year for New Spain and one for Peru (1543–61). For the return trip, the fleets united at Havana and sailed together for Spain. **Market fairs** were held annually at Porto Bello and Jalapa (Mexico). Peru had the greatest trade volume and value between 1540 and 1585, but New Spain surpassed them between 1590 and 1620. After 1620, transatlantic trade suffered a contraction owing to the decline of mineral production. Recovery began about 1660 in Mexico. In the 1670s, because of peace treaties, privateering subsided. A new **contraband trade** developed that was mutually advantageous to Spanish merchants and to British, Dutch, Portuguese, and French smugglers trading manufactures and slaves.

Wholesalers dominated merchant guilds (**Tribunal del Consulado**) organized in the main capitals of the Spanish colonies (Mexico, 1592; Lima, 1613). Big merchants based in the colonies carried out a vigorous intercolonial trade despite restrictions. Chinese textiles reached **Acapulco** via the Philippines and were reexported to Peru in exchange for silver, mercury, and wines. In Central America, **Santiago de Guatemala** became a significant commercial entrepôt, exporting cacao, cochineal, indigo, and livestock to New Spain in exchange for silver, Mexican textiles, Chinese silk, and mules. **Venezuela** and **Guayaquil** exported cacao to New Spain in return for silver. Havana and Guayaquil became the most important shipbuilding centers, followed by Realejo, Maracaibo, and Cartagena. After 1640, trade with Asia decreased and interregional commerce lost vigor.

**Under the Bourbon dynasty new policies**, known as the **Bourbon Reforms** (See [Administration](#)), were introduced. The Treaty of Utrecht (1713) > (See [1713, April 11](#))

granted Great Britain the monopoly of the slave trade with the colonies and the right to send one vessel each year to Porto Bello to trade. The Casa de la Contratación was transferred to Cádiz in 1717. Monopolistic **chartered companies** were established in Honduras (1714), Caracas (1728), Havana (1740), and Santo Domingo (1757). In 1763, Charles III abolished the system of fleets and authorized eight other Spanish ports, besides Seville and Cádiz, to trade with the Indies. He also permitted intercolonial trade between New Spain and Peru and between Guatemala and Nueva Granada (1764–82), but internal custom houses were established and state monopolies of certain goods reinforced. The Casa de Contratación was abolished in 1790. Under the Bourbons, areas previously marginal in the colonial system were transformed into dynamic economies (Buenos Aires, Venezuela, Chile), while Peru and Upper Peru declined.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### e. Social and Cultural Evolution

The upper crust of society was composed of the high colonial officers, both civil and ecclesiastical, and wealthy Spanish and creole merchants. Mine owners, despite their economic importance, rarely achieved a high social standing. **Creoles**, descendants of Spaniards but born in American domains, resented the preference for Peninsulars in appointments to higher and lesser office, but both groups belonged to the **República de Españoles** (Commonwealth of the Spanish) and were connected through kinship, marriage, and business. **Several universities were open to colonial male students:** the **Royal University of Mexico** (1551), **San Marcos de Lima** (1551), **St. Thomas de Aquinas** in Santo Domingo (1558). Women could follow religious careers, but professing required a costly dowry only the wealthy could afford. Nuns belonged to the elite and were far more highly regarded than married women. Very few Indian or mestizo women reached the status of nun. Lower-class women worked as retailers, street vendors, servants. Marriage was under the jurisdiction of the Church. Divorce was allowed, but wives had to show proof of continuous mistreatment and cruelty to qualify. Authorities created special houses (*casas de recogidas*) to shelter fallen women and virtuous women without means of support. 1

The population of the viceregal capitals and other cities included a high level of slaves, who worked as domestic servants and in artisanal trades to support their masters. Urban Indians lived in segregated neighborhoods near the downtown areas of Lima and Mexico City. 2

Several individuals attained distinction through their religious piety and cultural pursuits. The first Spanish-American saints belong to this era: **St. Rosa de Lima** (1586–1617), **St. Mariana de Jesús** (1618–45), **St. Felipe de Jesús** (1572–97), martyr of the conversion of Japan, **St. Martín de Porres** (1579–1639), a mulatto. The Church became the main patron of the arts and architecture. The famous Gothic cathedral of Santo Domingo (1514–40) was planned by **Alonso Rodríguez**. **Francisco Becerra**, a Spanish architect working in Lima, Quito, and Cusco, planned the cathedral of Puebla (1576–1626), which was inaugurated in 1649 by Bishop **Juan de Palafox**. Becerra also began to build the cathedral of Lima in 1569. The cathedral of Mexico was initiated in 1573, according to **Claudio de Arciniega's** design. Although consecrated in 1667, it was completed only in 3

1813 by Valencian sculptor **Manuel Tolsá**. The cathedral of Cusco was consecrated in 1654. **Local schools of painting** developed in Mexico, Quito, Cusco, and Lima. Many Spanish-American authors gained widespread recognition, among them **Inca Garcilaso de la Vega** (1539–1616), **Juan Ruiz de Alarcón** (1580–1639), **Sor Juana Inés de la Cruz** (1651–95), and **Pedro de Peralta y Barnuevo** (1663–1700).

Despite the importance of cities as political and cultural centers, rural areas were predominant. Indians constituted the **República de Indios** (Commonwealth of Indians) and were supposed to live separated from Spaniards to avoid abuse. The Indian *kurakas*, or *caciques*, formed the upper crust of the population. Many Indians chose to dissociate themselves from Indian communities to avoid forced labor and tribute and migrated to other rural or urban areas, becoming *forasteros*. **The Mestizo population, distributed in urban and rural areas, became peasants, squatters, wage laborers, servants, and artisans and were exempted from tribute.** Spanish authorities and rural parish priests frequently owned haciendas and textile mills in Indian towns, compelling Indians to labor for them. Clerics often denounced Indian religious practices as pagan or idolatrous. Despite campaigns of repression, native beliefs survived and mixed with Christian beliefs.

In plantation areas, slaves frequently rebelled against their bondage, fleeing to liberated zones where they created free settlements. Colonial authorities tried to prevent the spread of **marronage**, sending raids against maroon villages or making treaties with them. Some slaves managed to obtain freedom by manumission or by self-purchase, becoming free people of color. Free and slave blacks re-created their African religious beliefs and influenced popular culture, especially in the Caribbean, circum-Caribbean, and coastal areas of Mexico and the Pacific.

The Bourbon campaign to reform colonial government by prohibiting office purchases adversely affected the position of upper-class creoles, who saw themselves displaced in favor of Peninsular bureaucrats. The institution of intendant diminished the power of the viceroys but did not increase the influence of elite creoles.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)



## f. [Insurrections](#)

During the 18th century, social groups and regions affected by the redefinition of colonial exactions on their labor force and resources, and by centralization under the Bourbon reforms, organized insurrectionary movements to resist or modify the terms of colonial control. In most cases these movements legitimized themselves as defending the traditional colonial system against the reforms; elsewhere, as in Paraguay, the renewal of old grievances fueled rebellion against Spanish authorities. Total confrontation with the colonial system, as in the cases of Chiapas and central Peru, was a rare occurrence. Class alliances were fragile, and this contributed to the failure of these movements to break the hold of the colonial state. <sup>1</sup>

### 1712, June–Nov. Maya Rebellion in Chiapas

Maya villagers faced increased fiscal and labor demands and forced sales, and their authorities lost ground to Spanish officials and curates in the struggle over control of villages and religious brotherhoods. In the village of Cancuc, **María de la Candelaria**, a young Maya woman, claimed to have seen the Virgin Mary, prompting a circle of notable Maya to organize a shrine to worship the Virgin. Maya pilgrims converged on the new sacred place, but curates disputed the authenticity of the miracle and labeled it idolatrous. Confrontation escalated and Maya from 21 towns gathered at Cancuc to pay allegiance to the Virgin Mary, openly renounced God and the king, and took up arms. They captured the village church, killed friars, plundered mestizo and Spanish estates, and massacred white and mestizo children in Ocosingo. Rebel leader **Sebastián Gómez de la Gloria** ordained priests and organized an independent religion of the Virgin Mary. Ethnic solidarity crumbled when Maya allies disputed concentration of power in the Cancuc leadership. Spanish authorities sent an army from Guatemala City and subdued the rebels. Almost 100 rebels were sentenced to death and many suffered physical punishment, forced labor, and exile. In the aftermath of the rebellion, measures limiting the labor draft and Indian services were adopted. <sup>2</sup>

## 1721–35

**The *Comuneros* of Paraguay.** Colonists in Paraguay resented the Jesuit missions where Indians could avoid the colonists' labor demands. Dissatisfied with Governor Diego de los Reyes y Balmaceda's pro-Jesuit policy, the local elite sought his dismissal. The Audiencia of Charcas sent **José de Antequera y Castro** to make inquiries in Asunción. Antequera made himself governor of Paraguay and, with the support of the colonists, expelled Governor Reyes and later the Jesuits. The viceroy of Peru, Marqués de Castelfuerte, ordered military action against the colonists, forcing them to readmit the Jesuits. Antequera left for Lima, where he tried to defend himself against charges of treason. In Asunción, **Fernando Mompó de Zayas** proclaimed the right of the people to elect their own representatives. His propaganda attracted poor colonists, traditionally excluded from political life in the city, who called themselves *comuneros* and elected a **Junta Gubernativa** to run the province. Antequera was executed in Lima. A new governor, Manuel Agustín Ruyloba, arrived and tried to eject *comuneros* from the city and its institutions, but he was assassinated when *comuneros* marched on Asunción to expel the Jesuits once again. *Comuneros* dominated the countryside, occupying estates and confiscating wealthy landowners' properties. As a result, the upper classes felt increasingly alienated from the movement. The viceroy of Peru ordered the governor of Buenos Aires to invade Paraguay and squelch the insurrection. Asunción landowners joined the occupying forces and defeated the rebels. Three *comunero* leaders were executed, while others suffered exile, physical punishment, and prison.

## 1742

**Juan Santos Atahualpa**, who proclaimed himself descendant of the Incas, led tropical lowland communities opposed to the presence of Franciscan missions as well as some Indian and mestizo peasants from the highlands in a campaign to oust colonists and friars from the eastern lowlands of central Peru. Several viceroys sent military expeditions in 1742, 1743, 1746, and 1759, and all failed against the guerrilla force organized by the rebels. The Spaniards established a system of forts to prevent an expansion of the movement into the highlands, which could have jeopardized mining production. In the neighboring districts, Indians were exempted from the *mita* (forced labor) in order to remove a grievance that could generate support for the jungle rebels. The rebels attempted to set up a permanent base in the highlands in 1752 but failed on account of weak local backing. Juan Santos Atahualpa kept control of the lowland area, however, and was never captured.

## 1780–82

**The Great Rebellion of Túpac Amaru and the Kataris.** New fiscal and commercial policies created broad sources of tension in the viceroyalty of Peru. Peasants felt particularly aggrieved by forced sales of goods (*repartimiento de mercancías*). **José Gabriel Condorcanqui**, *kuraka* of Tinta, Surinama, and Tungasuca, took the name **Túpac Amaru II** and led a rebellion against the abusive administration of certain local authorities. He ordered the execution of Corregidor Antonio de Arriaga in Nov. 1780. The revolt initially earned some support from the creole upper class in Cusco, who resented the recent policies, but the rank and file of the rebel army were Indian peasants who attacked landed property without regard to the owners' birthplaces. Creole sympathy, already limited, quickly evaporated. Túpac Amaru attempted to march against Cusco, whose defense was organized by local militias and Indian regiments led by *kurakas* loyal to the crown. A civil war broke out in the Indian ranks between loyalists and rebels. Túpac Amaru, his wife, Micaela Bastidas, and his family were imprisoned after his defeat at the hands of loyalist *kuraka* **Mateo Pumacahua**. Diego Cristóbal and Mariano Túpac Amaru took over as leaders of the rebellion, while Túpac Amaru and his family were executed in Cusco. In **Chayanta**, *kuraka* **Tomás Katari** denounced those who usurped his position and led a movement to reduce tributes. Local Spanish authorities imprisoned him, and when an Indian multitude attempted his rescue, his captors killed him, unleashing a full-scale rebellion. During the same period, a nonnoble Aymara Indian, **Julián Apaza**, taking the name **Túpac Katari**, gathered an Indian army to lay siege to La Paz, which was temporarily broken by royal troops. Andrés Túpac Amaru joined Túpac Katari in a renewed siege of La Paz, but promises of amnesty and internal dissension gradually dispersed their followers. Local elites, wary of the rebels' anti-creole sentiment, supported the repressive forces. The joint efforts of the colonial army, loyal *kurakas*, and creoles managed to crush the uprising. Rebel leaders were imprisoned and executed, and the properties of rebel *kurakas* were confiscated. These measures ruined the Indian nobility and severely reduced their hold on the Indian population, favoring Indian authorities directly named by the colonial state.

5

## 1781

**Comuneros of Nueva Granada.** The reorganization of state monopolies for rum, anisette, and tobacco to increase royal revenues adversely affected farmers in Socorro, a town of predominantly white and mestizo cultivators. Under the leadership of two creoles, **Juan Francisco de Berbeo** and **José Antonio Galán**, they refused to pay taxes and expelled the Spanish authorities. The rebels marched to Bogotá and negotiated a

6

treaty that rescinded the new fiscal program and gave creoles greater access to office. However, former rebel allies split after the agreement, which redressed the grievances of only one faction. Indians and landless workers wanted either to protect their holdings or to secure access to land, and slaves expected to gain their freedom. José Antonio Galán emerged as a leader of this more radical group, while the creole *comunero* leadership collaborated with the colonial authorities to capture him and defeat his followers. Galán was executed and many of his followers imprisoned. (See [Latin America, 1806–1914](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 9. [Portuguese America, 1500–1815](#)

In the era of colonial expansion, Portugal's main orientation was to maintain and exploit trade posts in Africa and India, where slave trade and commerce in exotic goods produced high profits. Attention shifted to Brazil only because of French and Dutch attempts to gain territories there. 1

Although no **Black Legend** has been popularized about Portuguese colonization, the extermination and enslavement of the native population equaled the exploits of Spanish conquerors. Native peoples in Brazil were organized mainly in tribes with no centralized structures and were engaged in constant warfare. The Portuguese intervened in these conflicts to escalate them as a means of obtaining Indian slaves. Indian enslavement continued practically unchecked throughout the colonial period, and a demographic catastrophe of unknown dimensions occurred, aggravated by warfare and disease. 2

### 1500–1521

Under **Manuel the Fortunate** (1495–1521), Portuguese merchants established some trading posts, bartering tools and metal artifacts for Brazil wood gathered by natives. 3

### 1521–30

**John III** (1521–57) undertook systematic colonization to counter French activities in Portuguese possessions. The king promoted private investment in colonization. 4

### 1530–32

**Martin Affonso de Souza** as captain-major of a colonizing expedition founded São Vicente and introduced sugarcane cultivation. 5

## 1532–36

The crown established the *donatários*, a system of feudal hereditary captaincies with nearly sovereign authority, but they did little to advance colonization. A more centralized administration with a governor-general at its head was established. Sugarcane cultivation expanded and Indian enslavement assumed wider proportions. Although African slaves were also used, their price was high in comparison to that of Indian slaves.

6

## 1549

**Thomé de Souza**, the first governor-general, founded **São Salvador** (Bahia) as seat of the government and established a colony. **São Paulo** was founded shortly after midcentury.

7

Jesuits undertook the conversion of the natives and established mission villages in Bahia.

8

## 1551

The bishopric of Bahia, subordinate to the archbishop of Lisbon, was erected.

9

## 1555

With the intention of creating an “Antarctic France,” **Nicolás Durand de Villegagnon** founded a colony on the Bay of Rio de Janeiro.

10

## 1565–67

**Mem de Sá** (1558–72) led Portuguese to destroy the French colony and founded the city of **Rio de Janeiro**. He promoted enslavement of unfriendly Indians.

11

## 1570

The crown issued decrees against enslavement of Indians, which colonists disregarded. 12  
Expansion of sugar mills led to an increase in the African slave trade and to further  
Indian enslavement, affecting even Indian cultures allied with the Portuguese.

## 1587

Dutch privateers attacked Recife. Attacks repeated in 1595, 1604, 1616, and 1623. 13

## 1594

French attacked Paraíba. Portuguese built a fort, which became the city of **Natal**. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 10. [The Portuguese Colonial System](#)

**Population.** At the beginning of Portuguese colonization, a large group of mestiços emerged as a result of intermixture between Portuguese men and Indian women. The heavy influx of African slaves from the mid-16th century on resulted in new racially mixed groups, children of African and Indian parents and of African and white parents. In 1583 the population was estimated at 25,000 whites and mestiços, 18,000 subjugated Indians, and 14,000 slaves. In the mid-17th century, considerable immigration occurred. Population was estimated at 150,000 to 200,000, three-quarters of whom were Indians, blacks, and mestiços or mulattos. In 1818 the population was estimated at 843,000 whites, 1,887,000 blacks, 628,000 mestiços, and 259,400 Indians. The bulk of the population was concentrated in São Paulo, Minas Gerais, Pernambuco, and Bahia. Originally the crown permitted any person of Catholic faith to enter Brazil, but after 1591 aliens were excluded. <sup>1</sup>

Portuguese **colonial administration** was not clearly differentiated from that of the metropolis prior to the union of the crowns of Portugal and Spain. The Mesa da Conciência e Ordens, with ecclesiastical and financial powers, was created in 1532. Upon the establishment of a more centralized government in Brazil, a commissioner of finances and a chief justice were appointed for the colony (1548). Corregidores, with judicial and military functions, were in charge of local administration. Municipal organization was patterned on that of Portugal. The fundamental code was the Ordenanças Manuelinas (1521). <sup>2</sup>

During the period of the union of the thrones of Spain and Portugal (1581–1640), Spanish administrative forms were introduced. The Casa da Índia was established (1591). The inspector of finance was created (1604), a supreme court was established in Bahia (1609), and the title of viceroy was introduced (1640). Under Philip III (1598–1621), the Ordenanças Philipinas, which permitted greater local autonomy, superseded the Ordenanças Manuelinas. <sup>3</sup>

By the close of the 18th century, the structure of royal government was fully formed. The **Overseas Council** (Conselho de Ultramar), created in 1642, exercised general religious and military authority over Brazil. Pará, Maranhão, Pernambuco, Bahia, São Paulo, <sup>4</sup>



Minas Gerais, Goiás, Mato Grosso, and Rio de Janeiro were captaincies-general, provinces of the first rank, under captains-general usually appointed by the crown. The viceroy, who was also captain-general of Rio de Janeiro, possessed legal authority over the captains-general in certain matters, but the latter frequently received instructions from the crown, with which they could correspond directly. A tendency toward local autonomy existed. Two superior judicial districts existed, with high courts at Bahia and Rio de Janeiro (founded in 1757), respectively. Appeals from these courts went directly to Lisbon. The municipalities, with their councils (*senados de câmara*), enjoyed a certain degree of self-government.

**Economy.** Restrictions were placed upon industry and agriculture that competed with Portuguese enterprises, and a government monopoly, which produced important crown revenues, existed for the exploitation of Brazil wood, mining of diamonds, and other activities. Customs duties were levied and a royal fifth (*quinto*) was collected on all gold mined. The mining of gold and diamonds and the production of sugar, cotton, and hides were the chief industries. Slavery, first Indian, then predominantly African, was the main form of labor in Brazil. Portugal controlled Angola and Portuguese traders supplied slaves to the Brazilian planters.

Commerce was a Portuguese monopoly until 1808 and trade was restricted to Lisbon and Oporto and carried out through convoyed fleets. In 1649 a monopolistic **Commercial Company of Brazil** was organized. In 1682, the also monopolistic **Maranhão Company** was formed. Both companies aroused opposition and were abolished in the first decades of the 18th century. During the Pombaline period, two more monopolistic companies were formed, but both were abolished after his fall. Pombal abolished the system of convoyed fleets.

**The Church.** The papal bull of Julius III conceded to the crown the right to nominate bishops, collect tithes, dispense church revenues, and receive appeals from ecclesiastical tribunals. The bishopric of Bahia was erected in 1551. In 1676 Innocent XI created the **archbishopric of Brazil**, with Bahia as the metropolitan seat, at the same time erecting the bishoprics of Rio de Janeiro and Pernambuco. The **Jesuits**, until their expulsion by the crown (1759), played an important role through conversion of the natives, extension of the Portuguese influence, and establishment of schools and colleges (1554). They had frequent clashes with the colonists, who abhorred the Jesuit campaign against Indian slavery. Jesuits, however, did not oppose African slavery and owned many slave plantations in Brazil. The **Inquisition of Lisbon** was in charge of religious infractions, but no tribunal was established in Brazil, all the cases being reviewed by *visitadores* (inspectors).

**Society and culture.** Sugar mill owners (**senhores de engenho**) and sugarcane growers occupied the highest social and economic positions, along with high royal officers and Portuguese merchants. Marriage and kinship ties solidified their social position. This elite minority sent its children to Portugal for higher education since, in Brazil, there was no

university-level instruction during the colonial period. Jesuits controlled most of the institutions of secondary education, with ten colleges and four seminaries. The most distinguished Brazilian-born scholar was the Jesuit **Antônio Vieira** (1608–97), a constant defender of the Indians, whose sermons achieved fame throughout the Iberian dominions. There was a significant population of New Christians (Jews recently converted to Christianity or their children) engaged in commerce, artisanal trades, and sugarcane growing, but Jewish collaboration with Dutch invaders weakened the New Christians' position and inquisitorial inspections frequently harassed them. Wealth from the gold rush and sugar commerce allowed the development of highly elaborate religious architecture and arts in the main cities. The most distinguished artist of this era was the mulatto architect and sculptor **Antônio Francisco Lisboa** (c. 1730–1814), called **Aleijadinho**.

The rural sector of society was predominant. Indians and African slaves occupied the lowest social position. Often, slaves fled to remote areas to form maroon communities. Slaveholders hired professional slave-catchers (*capitães de mato*) to recapture their slaves. Slaves could also obtain freedom by self-purchase or by manumission. People of mixed background (called mulatos, mamelucos, caboclos), although free, were subjected to discriminatory laws and customs. They lived as squatters, sharecroppers, artisans, wage laborers. Black slaves introduced customs and beliefs from different African societies, which played a major role in the formation of popular religiosity and culture in Brazil. (See [Latin America, 1806–1914](#))

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **[I. North America, 1500–1789](#)**

### **[1. Overview](#)**

For nearly 300 years before the founding of the American republic, North America had experienced a series of socioeconomic, cultural, and political transformations. In relatively rapid succession, European exploration, settlement, and colonial expansion culminated in an era of reform, revolution, and the birth of the United States and, later, the Dominion of Canada. The exploration and settlement of North America had roots in the transformation of European society from a relatively stable world of feudal agriculture to the dynamic world of commercial capitalism. During the early 16th century, European monarchs gave trading rights to commercial capitalists, encouraged their involvement in international trade, and facilitated European expansion overseas. Although Spain “discovered” the New World and soon controlled vast stretches of land in the Caribbean and South America, the Netherlands, France, and England later gained increasing access to North America. 1

European expansion and settlement in North America ushered in a new set of social and cultural interactions among diverse peoples from Africa, America, and Europe. While these interactions were salutary for Europeans, especially elite white men, they were quite destructive, even devastating, for the indigenous peoples (See [North American Chiefdoms](#)) and for Africans. Under the onslaught of European weaponry, diseases, and declining access to arable land, the Native American population in New England, for example, declined from nearly 120,000 in 1570 to about 12,000 in 1670 and continued to drop in subsequent decades. For their part, although the first Africans to arrive in North America occupied a status much like that of European indentured servants, they soon experienced treatment that foreshadowed their transition to a status of slaves for life. Thus, when the new nation embarked upon its political career with the Declaration of Independence in 1776, it did so with huge gaps between its democratic promise and its reality as an elite, slaveholding, white male republic. Progress toward government by, for, and of the people would take years to achieve in North America. While Canada would remain within the British colonial empire, its future was profoundly shaped by developments in the new republic south of the border. 2

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **2. Exploration and Settlement, 1500–1719**



### **EARLY SETTLEMENTS ON THE CONTINENT OF NORTH AMERICA (MAP)**

#### **a. The French in North America**

**1508**

Fishing expedition of Thomas Aubert of Dieppe resulted in first recorded case of Amerindian taken to France for official display. 1

**1524**

**Giovanni de Verrazano**, sent out by Francis I, probably explored the coast from Cape Fear to Newfoundland. 2

**1534–41**

Voyages of **Jacques Cartier**. On the first voyage he sighted the Labrador coast, passed through the Straits of Belle Isle, and explored the Gulf of St. Lawrence. He returned to France with **Taignoagny** and **Domagaya**, the sons of **Donnacona**, the chief or “lord of Canada.” With Taignoagny and Domagaya serving as guides, on his second trip (1535–36) Cartier sailed up the St. Lawrence, stopped at the site of Quebec, and proceeded to the La Chine Rapids and the site of Montreal. Several members of this 3

voyage contracted scurvy and died, but others recovered when they took an Indian cure for the disease. On the third trip (1541), unsuccessful attempts were made to establish a settlement at Quebec, and therewith the French efforts to colonize the St. Lawrence Valley came to an end until the 17th century.

In the southeast and the southwest, the presence of the Spaniards hampered the activities of the French. 4

## 1542

Cartier departed for France and left Roberval in charge. Most of the 200 members of his party were released convicts, primarily men, from the French jail. 5

## 1562

Admiral Coligny, as part of his plan to attack Spain, sent **Jean Ribaut** to establish a colony in Florida. A colony on Port Royal Sound failed, but in 1564 Ribaut and **Rene de Laudonniere** established **Fort Caroline** on St. John's River. 6

## 1598

**Marquis de La Roche** attempted to found a colony on Sable Island. The survivors were rescued five years later. 7

## 1600

**Pontgrave, Chauvin, and De Monts**, with a grant of the fur-trade monopoly, made another unsuccessful attempt to colonize, this time at **Tadoussac** on the lower St. Lawrence. 8

## 1603

Pontgrave, accompanied by **Samuel de Champlain**, explored the St. Lawrence as far as La Chine Rapids. Champlain also explored the Acadian coast. Champlain followed the New England coast as far as Cape Cod and returned to France in 1607. 9

## 1608, July 3

Champlain, acting as lieutenant for De Monts, founded the settlement of **Quebec**. In the following year, accompanied by a party of **Algonquin and Huron Indians**, he ascended the Richelieu River to the lake that now bears his name. 10

## 1610

Poutrincourt reestablished Port Royal. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The English in North America**

### **1. Exploration**

Following the voyages of the **Cabots** (See [1497, May 2–Aug. 6](#)), the English showed little interest in the New World until the second half of the 16th century. 1

#### **1562**

**John Hawkins**, having taken a cargo of slaves in Africa, disposed of them in **Espanola**. 2  
The Spaniards made efforts to stop a second slave-trading voyage (1564–65), and on his third voyage (1567–68) Hawkins was driven by a storm into the harbor of Vera Cruz, where his fleet was largely destroyed.

#### **1572–80**

**Francis Drake**, nephew of Hawkins, carried out reprisals on Spanish commerce. Sailing 3  
in 1577, he became **the first Englishman to circumnavigate the globe**.

#### **1576–78**

After unsuccessful efforts by explorers of the **Muscovy Company** to find a northeast 4  
passage to China, English efforts were concentrated on the search for a northwest passage. **Martin Frobisher** sailed from England in June 1576, explored the Labrador coast, crossed Hudson Strait, coasted along Baffin Land, and entered the inlet known as **Frobisher Bay**. In 1577–78 he made a second voyage (See [1576](#)).

#### **1568**



**Sir Humphrey Gilbert** took possession of Newfoundland in the name of Elizabeth but lost his life on the return voyage. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Dutch and Swedish Settlements](#)

#### 1602

The **United East India Company** was chartered by the states-general of Holland. 1

#### 1609

The company employed **Henry Hudson**, an Englishman, to search for the northwest passage. He sighted land at Newfoundland, explored the New England coast, rounded Cape Cod, proceeded south to Virginia, probably entered Chesapeake Bay, entered Delaware Bay, and exploree the **Hudson River** to Albany. Friendly relations with Iroquois Indians. 2

#### 1612

Dutch merchants sent **Christianson and Block** to Manhattan Island to engage in fur trade. A post was established in 1613. 3

#### 1614

**Fort Nassau**, later Fort Orange, built near present Albany. Exploration by Adrian Block of Long Island Sound, Connecticut coast, Narragansett Bay, and Cape Cod. As a result the **New Netherland Company** was formed and given monopoly of trade between the 40th and 45th parallels. Fur trade carried on and the coast explored. 4

#### 1621

The **Dutch West India Company** was chartered and given a monopoly of trade in Africa and America. <sup>5</sup>

## 1626

**Peter Minuit** became director-general of the company. He purchased **Manhattan Island** from the Indians for \$24 and founded the settlement of New Amsterdam. Meanwhile the attention of **Gustavus Adolphus** of Sweden was called to the Delaware country. In 1637, the **New Sweden Company** was organized, chiefly as a result of the encouragement of two Dutchmen, Samuel Blommaert and Minuit. <sup>6</sup>

## 1629

Under the urging of **Killiaen Van Rensslaer**, a wealthy Amsterdam jeweler, the Dutch government established the patroon system, which provided huge estates to wealthy Dutchmen in exchange for settling 50 tenants on the land within a four-year period. <sup>7</sup>

## 1638

Two Swedish vessels arrived on the Delaware and **Fort Christina** was established. This intrusion of the Swedes angered **Peter Stuyvesant** of New Netherland, who urged the West India Company to occupy New Sweden, which was done in 1655. <sup>8</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Colonial History, 1641–1737**

#### **a. New England**

##### **1641**

The **Body of Liberties**, a code of 100 laws, was established by the general court of the Massachusetts Bay Colony. 1

##### **1643, May 19**

The **New England Confederation** was formed by Connecticut (Hartford, Windsor, and Wethersfield), New Haven, Plymouth, and Massachusetts Bay for purposes of defense. 2

##### **1646**

In Massachusetts, **John Eliot** began his missionary work among the Indians, translating the Bible into Massachusetts dialect, 1661–63. 3

##### **1647**

Christian and civil authorities intensified attacks on persons claiming to possess supernatural powers as healers and prophets. Over the next decade and a half, **Massachusetts and Connecticut officials hanged 14 people, mainly women, for witchcraft.** 4

##### **1662**

**Charter of Rhode Island and Providence Plantations**, kept throughout the colonial period and the constitution of the state until 1842.

5

## 1662

Puritan ministers initiated the “**halfway covenant.**” This policy allowed children of all baptized Puritans to become active members of the church and helped to concentrate power in the hands of certain established families.

6

## 1664

**Union of Connecticut and New Haven**, because of the latter's fear of annexation to New York.

7

## 1675–76

**KING PHILIP'S WAR** in New England. Displaced by European settlements and ravaged by disease, the population of New England's Native Americans dropped drastically, from 120,000 in 1570 to 12,000 in 1670. **Metacom** (called **Philip** by the Europeans), son of **Massasoit**, chief of the **Wampanoags**, believed only armed resistance could stop the European advance. In 1675, Metacom formed a military league comprising most of the Indians from Maine to Connecticut. Full-scale war ensued. Bitter fighting continued into 1676. **Chief Canonchet of the Narragansetts** was shot (April 1676).

8

## 1680

**New Hampshire** was separated from Massachusetts by royal charter.

9

## 1684

**ANNULMENT OF THE MASSACHUSETTS CHARTER.** The independent course of Massachusetts had long irritated the crown. In 1679 **Edward Randolph** arrived in Boston as collector of the customs, bearing instructions for the colony to relinquish

10

jurisdiction over New Hampshire, which authorities transformed into a royal colony. Friction continued, as did Randolph's complaints against the colony, until legal action in 1684 annulled the charter.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [New York, New Jersey, and Pennsylvania](#)

### 1664

**Grant of New Netherland**, from the Connecticut to the Delaware, to the king's brother, **James, duke of York**. The grant included the eastern part of Maine and islands south and west of Cape Cod. The region between the Hudson and the Delaware was granted by the duke of York to **Lord Berkeley** and **Sir George Carteret**. <sup>1</sup>

### 1664, Aug. 27

**SURRENDER OF NEW AMSTERDAM** to the English. Name of the colony changed to **New York**. On Sept. 24 surrender of Fort Orange, whose name was changed to **Albany**. <sup>2</sup>

### 1676

Line of demarcation between East and West New Jersey. **Settlement of Quakers** in West New Jersey (1677–81). <sup>3</sup>

### 1681, March 4

**CHARTER OF PENNSYLVANIA** signed, granting to **William Penn** the region between the 40th and 43rd parallels, extending 5° west from the Delaware River. These limits brought the colony into conflict with New York on the north and Maryland on the south. The dispute with Maryland was finally adjusted when in 1767 two surveyors, **Mason and Dixon**, ran the present boundary between the two states. The form of government of the colony was to be determined by the proprietor. The first body of colonists, primarily Quakers, arrived in 1681 and a frame of government was provided <sup>4</sup>

for the governance of the colony. The government guaranteed political liberty and religious freedom.

### 1682–83

Penn arrived in the colony and **Philadelphia** was laid out (1682). Penn entered into a treaty with the Indians (1783) which had the effect of keeping the colony free from Indian wars.

5

### 1688

**A group of Germantown Quakers issued the first notable antislavery document in British America.**

6

### 1702

**New Jersey reunited** as a royal province.

7

### 1715–50

**SETTLEMENT OF THE PIEDMONT**, partly by newcomers and old settlers, who crossed the fall line into the areas, and partly by German, Swiss, and Scotch-Irish entering at the port of Philadelphia and pushing southward through the valleys, especially the Shenandoah. **German immigration**, which began with the founding of **Germantown, Pennsylvania** (1683), increased greatly after 1710.

8

### 1720–26

**William Burnet**, governor of New York, began efforts to counteract French attempts to hem in the English colonies in the west. He prohibited trade between the Iroquois and the French. In 1722 he established a trading post at Oswego and carried on negotiations at Albany with the Six Nations. **A treaty with the Senecas, Cayugas, and Onondagas** (1726) added their lands to those of the Mohawks and Oneidas, which were already under English protection. The intensification of the fur trade heightened **intra-Indian rivalry**, enabling Europeans to extend their control farther west and deeper into the

9



interior of Indian lands.

## 1732

**Benjamin Franklin** (1706–90), journalist as well as statesman, published *Poor Richard's Almanac*. 10

## 1735

Trial in New York of **John Peter Zenger**, printer of a paper, for libel. The court contended that it should decide the libelous nature of the statements made and that the jury should determine the fact of publication. **Zenger's lawyer, Andrew Hamilton, argued that the jury must decide whether or not the publication was libelous.** He won his suit, thereby materially safeguarding the freedom of the press. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Virginia, Delaware, and Maryland](#)

#### 1640–1710

Lure of America and dreams of becoming landholders drew settlers, many as indentured servants, to the colonies. During the 17th century, 75 to 85 percent of the people who came to the Chesapeake area came as **indentured servants**. Since life expectancy remained precarious until the 1640s, **landowners often willed property to their wife rather than to their oldest son.** 1

#### 1647

**Margaret Brent**, a single woman and large landholder, **acted as attorney for Lord Baltimore**; she saved the colony from mutinous soldiers and from a Protestant revolt against the Catholic government. 2

#### 1652

Parliament assumed control of Maryland and suspended the governor. 3

#### 1659

Virginia proclaimed Charles II king of England, Scotland, and Ireland and restored the royal governor, **Sir William Berkeley**. 4

#### 1660

**Virginia sanctioned slavery in colonial law.** Laws on slavery soon proliferated. Among other things such laws stipulated that the **child's status as free or slave followed the condition of the mother and declared that baptism did not make a person free.** After **Bacon's Rebellion** (1676), such laws became more restrictive. Slave statutes banned interracial marriage, punished white women who bore black children, and **seized the property of free blacks and stripped them of their rights.** Courts later declared that a master could not be charged for murder if a slave died of injuries received during punishment for insubordination.

5

## 1661

Charles Calvert became governor of Maryland. In 1675, upon the death of his father, Cecilius Calvert, the second Lord Baltimore, Charles succeeded as proprietor and third Lord Baltimore.

6

## 1676

**Bacon's Rebellion** in Virginia. Led by **Nathaniel Bacon**, this revolt set discontented freemen against the colony's elite. Those in rebellion believed **Governor Berkeley's** policy toward the Indians was too lax. **The rebels wanted the Indians killed or removed and an end to rule by the wealthy.** Bacon led his followers on an unauthorized attack of a village of friendly Indians. **Soon middling and poor farmers, indentured servants, and even slaves joined the rebel army.** Jamestown was burned, but the rebellion collapsed with the death of Bacon. After the rebellion, the elite tried to ensure that the **interracial alliance** found in Bacon's rebellion would not recur. In particular, elites made a conscious decision to enact laws that would create a free white society and an enslaved black one.

7

## 1693

**College of William and Mary** founded in Virginia.

8

## 1750

By midcentury, **as life expectancy increased** and stable families emerged, landholders increasingly left their property to older sons instead of wives.

9

## 1756

**Blacks** made up about 40 percent of Virginia's population of over 293,400 and about 30 <sup>10</sup> percent of Maryland's 140,000.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **d. [The Southern Colonies](#)**

##### **1663**

**Grant of Carolina** by the king to eight proprietors, including the earl of Clarendon. The grant included land between 31° and 36° north latitude. 1

##### **1667**

**Grant of the Bahamas** to the Carolina proprietors. 2

##### **1669**

**Adoption of the Fundamental Constitutions**, drawn up for Carolina by **John Locke**, which provided for an archaic feudal regime totally unsuited to the needs of a frontier colony. 3

##### **1708**

In Carolina, for the first time in any colony, blacks outnumbered whites. 4

##### **1715**

**Defeat of the Yamassees** and allied Indian tribes in Carolina. They were driven into Spanish Florida. 5

## 1719–29

**REORGANIZATION OF THE CAROLINAS.** Popular discontent and disputes over the disposition of **Yamassee land** led the Board of Trade to replace the proprietors and establish royal governments in both North and South Carolina. <sup>6</sup>

## 1722

**Slaves** had increased to nearly 65 percent of South Carolina's population of 18,350. African slaves made the cultivation of rice in the colony profitable by introducing the “mortar and pestle” technique for removing rice grains from husks. In the **Stono Rebellion** (1739), some 20 miles west of Charleston, slaves launched a full-scale effort to gain their freedom. Before the uprising was put down, 30 whites and 44 blacks had lost their lives. <sup>7</sup>

## 1733

**FOUNDING OF GEORGIA**, the last of the 13 English colonies on the continent. <sup>8</sup>  
**James Oglethorpe** became interested in the settlement of the region. An advocate of a strong policy against the Spanish and a humanitarian interested in improving the condition of imprisoned debtors, he conceived the idea of a **buffer colony between the English and the rival French and Spanish settlements**. In 1732 he secured a charter granting to him and his associates the region between the Savannah and the Altamaha Rivers from sea to sea.

## 1735

Slavery in Georgia was banned. However, in 1749, after rice culture spread to the colony, the ban was rescinded. <sup>9</sup>

## 1750

The population of **Charles Town**, the region's major urban center, rose to nearly 10,000, <sup>10</sup> representing an increase of more than 500 percent between 1700 and 1740.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **4. Wars of England with France and Spain, 1651–1763**

### **1651–73**

**The British Navigation Laws.** These applied mercantilist doctrine to colonial trade. <sup>1</sup>  
The **Act of 1651**, designed to strike a blow at Dutch shipping, required that colonial products be shipped to England in ships of Great Britain or the plantations. This law was reenacted in 1660, with the additional provision that certain enumerated articles of colonial production could be shipped only to England. The **Staple Act** of 1663 required that articles of European production destined for the colonies must be shipped first to England. The **Act of 1673** imposed intercolonial duties on sugar, tobacco, and other products.

### **1670**

The **Hudson's Bay Company** incorporated and given a monopoly of the trade in <sup>2</sup>  
Hudson's Bay Basin.

### **1689–97**

**KING WILLIAM'S WAR**, with France. This was the American phase of the general <sup>3</sup>  
war against Louis XIV known as the **War of the League of Augsburg** (see (See [1688–97](#))). The French were aided by the Indians of Canada and Maine, while the Iroquois supported the English.

### **1696–98**

A **Board of Commissioners for Trade and Plantations** was organized (1696) and a <sup>4</sup>  
navigation act of the same year was designed to prevent further evasion of earlier



regulations. Since the war with France had interrupted the usual trade, the New Englanders had taken up manufacturing. The **Woolens Act** (1698) forbade the colonists to ship wool or woolen products from one colony to another.

### 1702–13

**QUEEN ANNE'S WAR**, the American phase of the War of the Spanish Succession (See [1701–14](#)). In 1702 the English plundered and burned **St. Augustine in Florida**, while in 1704 the French and Indians surprised Deerfield in the Connecticut Valley. In 1707 the English organized an **expedition against Acadia**. Acadia became the British province of **Nova Scotia** (1710) and the name of **Port Royal** was changed to **Annapolis Royal**. By the **Treaty of Utrecht** (1713), Great Britain secured recognition of its claims in the Hudson's Bay country and the possession of **Newfoundland and Acadia**. The claim of the British to the Iroquois country was also admitted, and **St. Christopher** was ceded to Britain. The French were excluded from fishing on the Acadian coast but were allowed to retain **Cape Breton Island**. The *asiento* (**license**) gave the English the exclusive right for 30 years of bringing African slaves into the Spanish possessions.

5

### 1733

**The Molasses Act**. In response to pleas from the West Indian planters, Parliament enacted the Molasses Act, which placed prohibitive duties on sugar and molasses imported into the colonies from other than British possessions. In 1732 Parliament had stopped the importation of hats from the colonies and had restricted their manufacture.

6

### 1739

**WAR BETWEEN SPAIN AND ENGLAND (War of Jenkins' Ear)**, (See [1739–48](#)). Dissatisfied with the provisions of the Treaty of Utrecht with respect to trade with Spanish possessions, British merchants had resorted to extensive smuggling, which, in turn, had led to the seizure of British ships and the rough treatment of British sailors by the Spaniards. The loss of Jenkins' ear was merely one of many similar episodes.

7

### 1743–48

**KING GEORGE'S WAR**, the American phase of the **War of the Austrian Succession**

8

in Europe (See [1740–48](#)). The outstanding event in the war in America was the **capture of Louisburg** (1745). In the interior, an abortive attempt of the northern colonies to conquer Canada spurred the French and Indians to attack the frontier as far south as New York (1746–48).

## 1748

The **Treaty of Aix-la-Chapelle** (See [1748, Oct. 18](#)), based upon European rather than colonial considerations, restored all the conquests of the war. In America the treaty was merely a truce, for Nova Scotia, the Ohio Valley, and the Cherokee country continued to be areas of conflict. In order to strengthen the British hold on Nova Scotia, Lord Halifax sent out 2,500 settlers in 1749 and founded the town of **Halifax**. In the Ohio Valley, traders from Virginia and Pennsylvania pushed westward as far as the Indian villages on the Mississippi. Virginia frontiersmen made a settlement at **Draper's Meadow** on the Greenbrier River in 1748. 9

## 1749

The **Ohio Company**, organized by a group of Virginians and a number of prominent Englishmen. The company obtained a grant of 500,000 acres on the upper Ohio and sent out **Christopher Gist** (1750) to explore the region as far as the falls of the Ohio. 10

## 1753

**Marquis Duquesne** sent an expedition of 1,500 men to occupy the Ohio country. In the same year Governor Robert Dinwiddie of Virginia sent out **George Washington**, a young surveyor, to demand the withdrawal of the French. He proceeded to Fort Le Boeuf but was told that Dinwiddie's letter would be forwarded to Duquesne. It was quite clear that the French would not leave peacefully. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## 5. [Reform, Resistance, and Revolution, 1763–1789](#)



### [UNITED STATES DURING THE REVOLUTION \(MAP\)](#)

#### 1763–75

Expansion beyond the mountains. About 200,000 Indians lived in the region west of the Appalachian Mountains and stood as a barrier to the swift occupation by European settlers. Nonetheless, European settlers increasingly moved into the region. The **Watauga settlement** in eastern Tennessee was made in 1769 and was augmented by the arrival of Virginians and North Carolinians under **James Robertson** and **John Sevier** (1770–71). **Richard Henderson**, of North Carolina, together with his associates organized the **Transylvania Company**, purchased land from the Cherokees, and established the Transylvania settlement in Kentucky in 1775. **Daniel Boone** was Henderson's agent and cleared the wilderness road to Kentucky. The **settlement of Kentucky** (1775–77) was facilitated by the peace forced on the Indians as a result of **Lord Dunmore's War** (1774). <sup>1</sup>

#### 1763–75

**The Preliminaries of the American Revolution.** By 1761 the British government was thoroughly aroused by the systematic evasion of the **Molasses Act** of 1733 through colonial smuggling and by the illicit trade that the colonies had carried on with the enemy during the War of the Austrian Succession and the Seven Years' War. British officials felt that the trade prolonged French resistance. To prevent smuggling, the <sup>2</sup>

British resorted to **writs of assistance**, general search warrants that made possible the search of all premises where smuggled goods might be found. This aroused the opposition of merchants, who alleged that the writs were illegal. In 1761, when Boston customs officers applied for the writs, the merchants contested their use. **James Otis** argued cogently against their legality before the Massachusetts Supreme Court. Although the court decided they were legal, the argument of Otis did much to shape public opinion.

## 1763–65

**George Grenville** in power in England. The acquisition of the vast territory from France in America necessitated increased revenues for defense and Indian administration. The ministry decided to enforce the navigation laws, tax the colonies directly, and use that revenue to maintain an army in North America. Powers of the admiralty courts were enlarged, and colonial governors were instructed to enforce the trade law. The decision to station a peacetime army of about 10,000 soldiers in North America generated resentment from above and below. Colonial elites feared the army would undermine their “liberty,” while workers feared competition from soldiers for low-wage work in the port cities. 3

## 1764

Decreeing of the **Sugar Act**, with the avowed purpose of raising revenue in the colonies and reforming the old colonial system, both economically and administratively. 4

The **Colonial Currency Act** prevented colonies from paying their debts in England in depreciated currency and forbade issues of unsound money. This edict created a shortage of money in the colonies at a time when the Sugar Act injured the West Indian trade of the colonies, which had previously supplied the necessary specie. 5

## 1765

Disregarding colonial protests against the two previous measures, Grenville pushed through Parliament the **Stamp Act**, providing for stamps on commercial and legal documents, pamphlets, newspapers, almanacs, playing cards, and dice. 6

The **Quartering Act** was passed, providing that in the event of insufficiency of barracks in the colonies, British troops might be quartered in public hostelrys. 7

## May 29

**Patrick Henry** introduced into the Virginia House of Burgesses a series of resolutions boldly challenging the position of the British government. 8

## June

The Massachusetts general court sent an invitation to colonial assemblies to send delegates to meet in New York and consider the Stamp Act. Meanwhile **the arrival of the stamp officers led to riots in various cities**, including Boston, where the house of Lieutenant Governor Thomas Hutchinson was sacked. 9

## Oct. 7

**Stamp Act Congress** at New York. Twenty-eight delegates from nine colonies drew up memorials to the king and Parliament and adopted a **Declaration of Rights and Liberties** (Oct. 19). Americans rallied to the cry “Liberty, Property, and No Stamps” and forced most stamp distributors to resign by November. A multiclass alliance of merchants, intellectuals, and workers also organized the Sons of Liberty to coordinate resistance to the measure. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Table of Contents

### Page 5

#### V. The Modern Period, 1789–1914

##### A. Global and Comparative Dimensions

##### 1. European Global Domination, 1800–1914

- a. Developments in Major Empires
- b. Intensified Imperial Competition
- c. Major Land-Based Empires
- d. Spread of Modern Industrialism
- e. Development of Modern Political Systems
- f. Cultural Patterns

##### 2. Intensifications of Global International and Economic Relations, 1860–1914

- a. International Agreements
- b. The Redefinition of the World Economy
- c. International Diplomacy

##### 3. Technological Developments, 1800–1914

- a. Energy and Power Sources
- b. Materials and Construction
- c. Machines and Industrial Techniques
- d. Agricultural Production and Food Technology
- e. Transportation and Communication

##### 4. Polar Explorations

- a. Early Explorations
- b. Early Modern European Expeditions
- c. 19th-Century Explorations
- d. 20th-Century Explorations

## B. The French Revolution and Europe, 1789–1914

### 1. Overview

### 2. The French Revolution, 1789–1799

#### a. Causes of the Revolution

#### b. The National Assembly

#### c. The Legislative Assembly

#### d. The National Convention: The Revolution's Most Radical Phase

#### e. The Directory

### 3. The Napoleonic Period, 1799–1815

#### a. The Consulate

#### b. The First Empire

### 4. Western and Central Europe, 1815–1848

#### a. Social, Cultural, and Economic Trends

#### b. European Diplomacy

#### c. The British Isles

#### d. The Low Countries

#### e. France

#### f. The Iberian Peninsula

#### g. The Italian States

#### h. Switzerland

#### i. Central Europe

#### j. Scandinavia

### 5. Revolutions in Europe, 1848–1852

#### a. France

#### b. Hungary

#### c. Austria and Bohemia

#### d. Italy

#### e. Switzerland

#### f. Germany

### 6. European Diplomacy, 1848–1914

### 7. Western and Central Europe, 1848–1914

#### a. Social, Cultural, and Economic Trends

- b. Britain
- c. The Low Countries
- d. France
- e. The Iberian Peninsula
- f. Italy and the Papacy
- g. Switzerland
- h. Central Europe
- i. Scandinavia

8. Eastern Europe and the Balkans, 1762–1914

- a. Russia
- b. Poland
- c. The Balkans

C. The Middle East and North Africa, 1792–1914

1. Overview

2. The Middle East and Egypt, 1796–1914

- a. The Ottoman Empire
- b. Iran
- c. Afghanistan
- d. Arabia
- e. Egypt

3. North Africa, 1792–1914

- a. Morocco
- b. Algeria
- c. Tunisia
- d. Libya

D. South and Southeast Asia, 1753–1914

1. India, 1800–1914

2. Southeast Asia, 1753–1914

- a. Mainland Southeast Asia
- b. Peninsular and Island Southeast Asia

E. East Asia, 1793–1914

1. China, 1796–1914



2. Korea, 1800–1910

3. Japan, 1793–1914

4. Vietnam, 1802–1902

F. The Pacific Region, c. 800–1914

1. The Pacific Islands, 1794–1914

2. The Philippines, 1800–1913

3. Australia, 1788–1914

4. New Zealand, c. 800–1913

G. Africa, 1795–1917

1. Overview

2. European Exploration, 1795–1895

3. Regions

a. Sudanic West and Central Africa

b. Forest West Africa

c. Northeast Africa (Horn)

d. East Africa

e. West Central Africa

f. Southern Africa

g. Madagascar

H. North America, 1789–1914

1. The United States, 1789–1877

a. Overview

b. The Early National Period

c. The Civil War

d. Reconstruction

2. The United States, 1878–1914

a. Overview

b. New Political, Social, and Diplomatic Issues

3. British North America, 1789–1914

a. Overview

b. The Dominion of Canada, 1789–1877

c. Newfoundland, 1855–1878

[d. Canada, 1878–1914](#)

[e. Newfoundland, 1878–1914](#)

[I. Latin America, 1806–1914](#)

[1. Periodization](#)

[2. The Wars of Independence, 1806–1872](#)

[a. Causes](#)

[b. The Río De La Plata](#)

[c. Paraguay](#)

[d. The Banda Oriental \(Uruguay\)](#)

[e. Chile](#)

[f. Peru and Upper Peru \(Peru and Bolivia\)](#)

[g. Venezuela, Nueva Granada, and Quito \(Gran Colombia\)](#)

[h. New Spain \(Mexico\)](#)

[i. Guatemala and Central America](#)

[j. Brazil](#)

[3. Latin America, 1820–1914](#)

[a. Overview](#)

[b. South America](#)

[c. Central America](#)

[d. Mexico](#)

[e. The Caribbean](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [The Spread of Diseases](#))

## **V. The Modern Period, 1789–1914**

### **A. Global and Comparative Dimensions**

Global relationships changed significantly during the 19th century. Western European states and world-views came to dominate and frequently to control directly most of the rest of the world. In this way, the transformation of western European societies in the previous centuries extended to much of the rest of the world. The new patterns of global relationships can be seen in two very broad areas: (1) the West's power over the rest of the world in military, economic, and political spheres, and to some extent the cultural spheres as well, and (2) the intensification of international and interstate relationships in diplomatic and political terms by the beginning of the 20th century. <sup>1</sup>

#### **1. European Global Domination, 1800–1914**

The changing relationships involved in the growing global dominance of Western societies can be seen in three important developments: (1) Western imperialist expansion, (2) the spread of industrialism, and (3) the development of modern state systems in all of the major regions of the globe. <sup>2</sup>

##### **a. Developments in Major Empires**

During the 19th century, major European empires expanded (especially the British, French, and Russian empires, along with the new United States) while older empires, both European and non-European, experienced significant losses. <sup>3</sup>

**1800–70**

**BRITISH EMPIRE.** Following the conflicts of the Napoleonic era, the British Empire emerged as the strongest global imperial force, with different manifestations. <sup>4</sup>  
**SETTLEMENT COLONIES** were consolidated in **Canada, Australia, and New Zealand**, and they received increasing rights of self-rule within the British imperial system. These rights were defined for Canada following a major rebellion in 1837 by the **Union Act** (1840) and the **British North America Act** (1867), for Australia by the **Australia Colonies Government Act** (1850), and for New Zealand by the Constitution of 1852. As they emerged as virtually independent commonwealths in the 20th century, they, along with the United States, were basically parts of the extended European world. **INDIRECT CONTROL** through commercial and naval domination was the basis for British imperial authority in many parts of the world. The **Ottoman Empire** was protected by British policies from Russian, Austrian, and French expansion as well as from internal challengers like **Muhammad Ali** in Egypt (See [1831–41](#)) (who had revolted and invaded Syria in 1831), and British commercial interests expanded in the region. Britain similarly became the dominant force within **Iran**, ruled in the 19th century by the **Qajar dynasty**. British domination of foreign trade in **China** was confirmed by British victory in the **First British War** of 1841–42 (often called the **Opium War**) (See [1841–42](#)) and the **Treaty of Nanking** (1842). British naval power similarly ensured British domination in coastal regions of the Indian Ocean and **Africa**. **DIRECT IMPERIAL RULE** emerged as an important style of domination in **INDIA** by the middle of the 19th century, when control by the **East India Company** was formally replaced by making India a Crown colony. Direct imperial rule was, however, only one of many different forms of British world power in the 19th century.

## 1800–70

**FRENCH EMPIRE.** France had lost much of its global empire in the world wars of the 18th century and the final defeats in the Napoleonic era. In the first half of the 19th century, France reemerged as a major global force, both through its growing economic power and its military forces. It was Britain's major rival for influence in the <sup>5</sup>  
**Mediterranean** region and had expanding commercial and cultural influences in the Middle East. France also developed settlements, trade stations, and military posts in **Senegal** and elsewhere along the coasts of West Africa and Central Africa. In the **Indian Ocean** basin and Asia, France gradually expanded in control in Madagascar and other island areas and, by 1874, gained full control of **Indochina**. Direct French rule in North Africa began in 1830 with the French invasion of **Algeria**, where European settlement was encouraged.

## 1800–70

**OTHER OVERSEAS EMPIRES.** The other major European overseas empires remained relatively stable or declined. The **DUTCH** consolidated their control in the islands of Southeast Asia, where they developed a system of direct colonial rule by the end of the century. The **Portuguese Empire in Africa** expanded inland from coastal trading settlements, especially after the formal suppression of the slave trade in 1836 transformed the nature of commerce in Angola and Mozambique. The commercial ports of Goa in India and Macao in China remained under Portuguese control, but **Brazil** was lost in the Latin American wars of independence. These wars also brought an end to most of the **SPANISH EMPIRE** in the Americas, and Spain was only a minor global force by the middle of the century.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Intensified Imperial Competition

Late in the 19th century, the expanding empires engaged in major competitions for influence and control throughout the world. This global struggle was part of the partition and disintegration of some older major empires, like those of the Ottomans and the Chinese. In **AFRICA** the competition resulted in the direct European military occupation and control of virtually the entire continent by 1914. In North Africa, **Egypt** was occupied by Great Britain (1882), French protectorates were proclaimed in **Tunisia** (1881) and **Morocco** (1912), and Italy claimed control of **Libya** (1911) (See [1911–12](#)). In Africa by 1914, older European empires maintained small but expanded enclaves, the **Spanish** in Morocco, **Río de Oro**, and Río Muni, and the **Portuguese** in Guinea, **Angola**, and **Mozambique**. The **BRITISH** and the **FRENCH** empires gained the largest share, with a number of French colonies established in West Africa and Equatorial Africa as well as Madagascar, and British control established in **Nigeria**, southern and eastern Africa, and, through a nominally joint control with Egypt, in **Sudan**. By the end of the 19th century, **new Western imperial powers** also had important colonies in Africa. The **German Empire** won control of Togo and Cameroons in West Africa and established colonial control in **Tanganyika** and **Southwest Africa**. Italy gained control over Eritrea and much of **Somaliland** in East Africa, and **King Leopold of Belgium** took control of the Congo River basin with the creation of the **CONGO FREE STATE** in 1885 (See [1885, April](#)). In addition, **Liberia** was created in 1822 as a colony for freed slaves returning from the United States, and although it was nominally independent, it remained an economic colony of the United States. By 1914, Ethiopia was the only noncolonial area, and it would be conquered and briefly controlled by Italy in the 1930s.

### 1800–1914

**EMERGING AMERICAN EMPIRE.** In the Western Hemisphere, the new United States began major continental expansion. Vast territories were gained by treaty and purchase arrangements with European powers and subsequent military conquest of indigenous peoples in those areas. This was the method of acquisition of the **Louisiana**

1

2

**territories** from France (1803), **Florida** from Spain (1810–19), **Oregon** from Great Britain (1846), and **Alaska** from Russia (1867), whereas **Texas, California,** and the rest of the southwestern region were gained as a result of the U.S. victory in a war with **Mexico** (1846–48). This expansion was temporarily interrupted by the **American Civil War** (1861–65), but in the second half of the 19th century, the United States began important overseas expansion. Some of this involved extension of the American economic and political sphere of influence, as in the beginning of relations with **Japan** initiated by **Matthew Perry** in 1854, and growing American interests in China. The growing domination by the United States of many independent states in **Latin America** led to temporary military occupations in support of U.S. economic interests in many places, like **Nicaragua** (1912). The U.S. also gained direct control of overseas territories, including **Hawaii** (1898) and the Virgin Islands (1917), and, as a result of the **SPANISH-AMERICAN WAR** (1898), the U.S. established control in the **Philippines, Puerto Rico,** and Guam. By the end of World War I, the United States had emerged as one of the major global empires as well as a powerful economic force.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Major Land-Based Empires](#)

During the 19th century, several European land-based empires emerged as great powers, while large empires in Asia lost territories and influence. However, all of these empires came to an end during **World War I**, either emerging in significantly different forms or disappearing as political entities. <sup>1</sup>

**RUSSIAN EMPIRE.** In the final years of the Napoleonic era, Russia began a major era of expansion, winning control of areas in the **Caucasus** in a war with **Persia** (1804–13) and of **Finland** in a war with Sweden (1808–9), as well as building forts in **Alaska** in North America. Expansion in Europe was limited, but the establishment of independent states in former Ottoman territories, especially **Serbia** (1817) (See [1815–17](#)) and **Bulgaria** (1878) represented expansion of Russian influence. Complete control in the Caucasus was gained with the conquests of **Daghistan** (1859), **Circassia** (1864), and **Kars** (1878) (See [1875–78](#)). The largest expansions were in the east (See [1848–49](#)), with the conquests and annexations of **Kazakhstan** by 1854, **Uzbekistan** (1856–76), and **Turkmenistan** (1868–85). Expansion in the Pacific northeastern territories was completed with the ceding by **China** of territories north of the Amur River in the **Treaties of Aigun** (1858) and **Peking** (1860) (See [1858–60](#)). By World War I, the Russian Empire was the largest in the world, but during that war the tsarist system of rule was overthrown in the **Russian Revolution of 1917**. Baltic and eastern European areas were lost, but imperial control of all of the Asian territories was maintained, although in a form called the Union of Soviet Socialist Republics (USSR). <sup>2</sup>

**PRUSSIAN EMPIRE.** The steady expansion of Prussia during the 19th century is a major dynamic of European history, but Prussia did not emerge as a major global power until after the **UNIFICATION OF GERMANY** under Prussia led by **Otto von Bismarck** and the **Hohenzollern** dynasty and the formal establishment of the **German Empire** under **William I** in 1871. The new empire actively sought territorial expansion and spheres of influence. By 1914, Germany had gained control in Africa of **Togo** and **Cameroons**(1884), Tanganyika (1885), and Southwest Africa (1890); had won concessions in China and economic influence in the Middle East; and was one of the major global naval powers. Its defeat in World War I brought an end to this empire, and it was replaced by a purely European state of considerably reduced size. <sup>3</sup>



**AUSTRO-HUNGARIAN EMPIRE.** During the 19th century, the Habsburg Empire did not expand significantly, although its influence grew in southeastern Europe as **Ottoman** power declined, and it gained control of **Bosnia** in 1878. The Habsburg rulers faced serious internal challenges in their multinational empire, and the imperial system was reorganized as a **dual monarchy** of Austria and Hungary. Although this did not resolve the challenges posed by growing nationalist movements, it allowed the empire to survive major defeats by France and Prussia, and revolutionary threats, especially in 1848. It was not until the defeat in World War I that the empire disappeared and was replaced by a cluster of small, nationally defined states. 4

**DECLINING ASIAN EMPIRES.** The older major land-based Asian empires experienced serious losses during the 19th century. The **Mughal Empire** in India came to a formal end with the establishment of direct British colonial rule in 1858. 5

The **OTTOMAN EMPIRE** undertook major modernizing structural reforms throughout the century, beginning with the attempt to establish a “New System” by **Selim III** at the end of the 18th century, and reaching a culmination in the regime established by the **Young Turk Revolution** in 1908 (See [1908, July](#)). Despite significant changes, the Ottoman Empire experienced a steady loss of territories to major European states and to nationalist movements supported by various European powers. Nationalist revolts led to the establishment of independent **Serbia** (1817) and **Greece** (1830), and international agreements in 1878, 1908, and 1913 resulted in the loss of all of the rest of the Ottoman territories in the Balkans except for a small area along the Sea of Marmara. European conquests between 1830 and 1912 took all Ottoman territories in North Africa, along with Cyprus (Britain, 1878). The Ottomans joined the losing alliance in World War I, and the empire formally came to an end with the peace settlement, which split the new Republic of Turkey from the Arab territories (See [Nov. 1](#)). 6

The **CHINESE EMPIRE** experienced a steady loss of control within its domain as the European powers and the United States established spheres of influence. The empire lost control of **Taiwan** (1874) and **Korea** (1885) to Japan and territories in the Pacific northeast to Russia in 1858–60. The Chinese defeat in the **SINO-JAPANESE WAR** (1894–95) showed the weakness of the empire in the face of foreign power. The empire also experienced a series of major revolts, which weakened its internal power as well. The **Boxer Revolt** (1899–1901) showed strong opposition to foreign influence and reform efforts, but it was crushed by a combined military force of foreign troops. The empire came to a formal end with the **CHINESE REVOLUTION** (1911–13), which forced the abdication of the emperor and the establishment of the **Chinese Republic**. 7



#### d. Spread of Modern Industrialism

The transformation of societies as a result of the **INDUSTRIAL REVOLUTION** began <sup>1</sup> in **England** in the 18th century. The industrialization of society spread from Great Britain to most of western Europe in the first half of the 19th century and then to the rest of Europe and, in differing ways, to much of the rest of the world by 1914. Industrialization developed along with increasing **urbanization**, growing commercial ties, and improvements in means of transportation and communication.

The **IRON AND STEEL INDUSTRY** was a key to the process of industrialization and <sup>2</sup> reflects its spread and development in the 19th century. Although ironworking originated in ancient times, 18th century improvements in production processes of cast iron and wrought iron made iron a more important product for growing modern industries, and it became a key to modern industrialization. In 1820, world output of **pig iron** was about 1 million tons, whereas in 1910, it was almost 65 million tons. The industry was transformed by new production processes that created steel for many different uses. The **BESSEMER PROCESS** (1856) for steel production, developed by Henry Bessemer, was a key step in this process, followed by the development of **open hearth furnaces** by William and Frederick Siemens (1864–68) in Britain and the construction of the first furnaces for continuous steel production by Benjamin Talbot in Pennsylvania (1899). The modern iron and steel industry primarily developed in **Great Britain**, and the British industry dominated the world markets for many years, with British output of pig iron exceeding all of the rest of the world's until 1871. However, as global industrialization occurred, British production of pig iron was surpassed by the **United States** in 1890, **Germany** in 1904, and the **Soviet Union** in 1931. The greatcoal and iron ore resources of the **United States** allowed the American iron and steel industry to become the world's largest by the early 20th century. However, important steel industries had also begun to emerge by that time in **Japan** and **China**, and in India under the leadership of the **TATA FAMILY**.

**TRANSPORTATION** and **COMMUNICATION** developments were important aspects <sup>3</sup> of the global processes of industrialization. **RAILROADS** made bulk transportation cheaper and easier, and railroad construction played an important role in industrialization. The first railroads were built in **Great Britain** in the first quarter of the 19th century, and

the first railroad was built in **France** in 1828. By 1850, rail networks had been established across western Europe and in the eastern United States. The first railroads were built in **India** in the 1850s, and in **China** and **Japan** in the 1870s. Great transcontinental projects were developed late in the 19th century, beginning with the completion in 1869 of the **Union Pacific–Central Pacific line** crossing the United States, and in 1885 with the **Canadian Pacific Line** extending across the Rocky Mountains to the Pacific in Canada. Construction of the **TRANS-SIBERIAN RAILROAD** began in 1891, and the line from Moscow to Vladivostok was completed in 1916, making it the longest rail line in the world. Other major continental rail schemes were planned but only partially completed. The **Berlin–Baghdad Railroad** was an important scheme for the expansion of German economic influence in the Ottoman Empire, and much of it had been constructed by 1914. British imperial aspirations in Africa were expressed in the 1889 slogan “**Cape-to-Cairo**,” which suggested that a band of colonial possessions be linked by a great railroad system.

**CANALS** were also important in the transportation systems of emerging industrial societies; in fact, the construction of two major canals transformed the patterns of global maritime movements. The **SUEZ CANAL**, linking the Mediterranean Sea and the Red Sea (and ultimately the Indian Ocean) was completed in 1869 and reduced the need for west-east shipping to go around the African continent. It changed military and commercial shipping patterns and made Egypt a major global strategic location. The **PANAMA CANAL** was opened in 1914 and transformed strategic and commercial shipping in the Western Hemisphere. It joined the Atlantic and Pacific shipping routes in Central America, eliminating the need to go around South America (or through the Arctic regions).

**URBANIZATION** accompanied the industrialization of societies, and the proportion of populations living in cities grew as societies were transformed. At the end of the 18th century, throughout the world the overwhelming majority of all populations lived outside of cities. In **Great Britain**, the proportion of the population living in urban areas was 25 percent in 1831, became more than 50 percent in 1851, and had reached 77 percent by 1901. In **Prussia**, and then **Germany**, the transition period was longer, beginning with 26 percent in 1816 and becoming more than 50 percent in 1900, whereas **France's** population was still slightly below 50 percent urban at the end of the 19th century. In the later industrial powers, populations of both **Japan** and **the United States** became more than half urban around 1920, whereas **Russia's** population remained more rural, only 13 percent urban in 1900.



### e. [Development of Modern Political Systems](#)

During the 19th century, outside Europe's colonies, states and political systems were increasingly organized along the lines of nation-states with constitutions rather than as dynastic sovereign monarchies. The limitation of monarchical power through instituting **constitutional monarchies** was an important part of this process. Another important development was the establishment of **republics**, with recognition of the need for consent or participation by the people, as an alternative to monarchies. The development of **nationalist consciousness**, the demand for and writing of **constitutions** as definitions of new state systems, and the creation of **republics** were interacting parts of the transformation of the political context in the Western world, and the spread of these ideals throughout the world in the 19th century represented important aspects of the expansion of the West. <sup>1</sup>

#### 1789–1917

**REVOLUTIONARY TRANSFORMATIONS.** The 19th century was marked by major efforts to transform political systems and societies. **THE FRENCH REVOLUTION** (See [1792, Sept. 21–1795, Aug. 22](#)), beginning in 1789, was a major starting point, bringing an end to the old dynastic political system in France and inspiring revolutions elsewhere. Throughout the century, major episodes of revolution, often beginning in France, influenced the development of political systems, inducing even conservative forces to establish constitutional regimes that either established republics or set limits on the powers of monarchs. **REVOLUTIONS OF 1830 AND 1848** (See [Revolutions in Europe, 1848–1852](#)) were especially important times of political change. Major system-defining revolutions and constitutional reforms transformed the nature of the **Austro-Hungarian Empire** in 1848–49 and 1867 and the **Russian Empire** in 1864, 1905–6, and finally in 1917. Outside of Europe, such changes took place in the **Ottoman Empire** in 1839, 1876, and 1908; in **Japan** in 1868 and 1889; and in **China** in 1911. <sup>2</sup>

## 1776–1914

**NATIONAL INDEPENDENCE MOVEMENTS.** Many of the states of the modern world were created as a result of revolutions and movements of national liberation opposing control by large multinational states. These movements exhibited an awareness of identity as a **nation** rather than simply being revolts against rule by foreigners. The **AMERICAN REVOLUTION** (1776–83) (See [1775–83](#)) ended British control in thirteen North American colonies and resulted in the creation of the **United States**. The new nation consciously identified its political system as a **republic**, in contrast to the British monarchy, and defined its political system after achieving independence in a **constitution** written by a representative constituent assembly. The American experience was an important beginning for the combination of nationalism and constitutionalism, and it contrasted with other late-18th-century revolts against foreign rule, which reflected essential premodern styles. The revolt of **Tupac Amarú** in Peru (1780–82) (See [1780–82](#)) was a revolt (by Native American forces, in contrast to later revolts in South America) against forced labor and Spanish rule. Similarly, the independence of **Egypt** from **Ottoman** rule proclaimed by **Ali Bey al-Kabir** (r. 1768–73) was an act of a military commander rather than a nationalist. However, by the early 19th century, a growing proportion of major revolts represented combinations of nationalism and constitutionalism.

**LATIN AMERICAN WARS OF INDEPENDENCE** (See [Causes](#)) combined efforts to define independent political life in republican constitutions with growing nationalist sensitivities. In **MEXICO**, a peasant revolt led by **Miguel Hidalgo y Costilla** and, after his death in 1811, by **José Maria Morelos**, led to a declaration of independence in 1813 and promulgation of a constitution in 1814. Attempts to establish an imperial or constitutional monarchy in 1822–23 under **Agustin de Iturbide and Archduke Maximilian of Austria**, with the aid of French troops in 1863–67, were unsuccessful. Mexico was ruled by a series of presidents who sometimes assumed dictatorial powers under a succession of republican constitutions. The war with the United States in the 1840s and French intervention in the 1860s helped to strengthen Mexican nationalist sentiments. The climax of these developments was the **Mexican Revolution**, which began in 1911 and overthrew a presidential dictator. The revolutionary **constitution of 1917** provided a nationalist and socially radical foundation for 20th-century Mexican politics. Similar combinations of nationalism, constitutionalism, and republicanism provided the basis for the rest of the countries in Latin America that gained their independence from Spain and Portugal in the 19th century. By World War I, all independent countries in the Western Hemisphere were constitutional republics with varying degrees of nationalist identity.

**EUROPEAN NATIONAL LIBERATION MOVEMENTS.** In the multinational states of Europe, many movements of national liberation developed. Some were successful in

creating independent states, and most of these state systems were defined by modern constitutions, but they were more frequently constructed as constitutional monarchies than as republics. A major factor in the break with the earlier dynastic state systems was the disruption caused by the **French Revolution** and **NAPOLEON's** conquests. In the conquered territories, Napoleon created new political systems, which, even if they did not last, overturned political institutions and traditions. In addition, local responses to the French conquerors gave strong impetus to the development of nationalist sentiments. Resistance to the French invasion of **SPAIN** strengthened a sense of national identity. Leaders of the resistance convened a **Cortes**, or assembly, in 1810 in Cádiz, and promulgated the **Constitution of 1812**, which affirmed the right of the people to determine the laws within a constitutionally limited monarchy. Although it was never fully implemented, its radical idealism meant that constitutionalism would be a major issue throughout modern Spanish history, and it influenced the drafting of constitutions elsewhere, especially in Latin America. During the 19th century, a sequence of constitutions and conflicts defined the evolution of the Spanish political system, which remained basically a constitutional monarchy, with a brief republican period (1873–74) (See [1873–74](#)). Napoleon's conquests in **ITALY** resulted in the establishment of short-lived republics in a number of areas. After the defeat of Napoleon, the **kingdom of Sardinia** played a leading role in developing the constitutional political system of the emerging unified Italy. The **unification of Italy** was completed as a constitutional monarchy in 1870. **PRUSSIA** provided a similar basis for the unification of Germany in 1871, with the important development of a constitutional monarchy with strong powers reserved for the emperor. The conservative German constitution provided a model for conservative constitutionalists elsewhere and had some influence in the articulation of the **Meiji Constitution of 1889** in Japan. **BELGIUM** provided another important nationalist, constitutional experience. In the Napoleonic peace settlement, Belgium was included in the kingdom of the Netherlands, but a nationalist revolt in 1830 led to Belgium's independence and the establishment of a constitutional monarchy whose structure influenced constitutionalists in the Middle East later in the century. **OTTOMAN** territories in the Balkans also experienced nationalist revolts. **Serbia** began a successful revolt in 1804 and gradually expanded its territories and independence throughout the century, becoming an internationally recognized constitutional monarchy in 1882. **Greece** had a successful war for independence (1821–29) and emerged as a constitutional monarchy as well.

**GLOBAL CONSTITUTIONAL MOVEMENTS.** In major states outside of Europe, there were significant efforts to create constitutional regimes. In the **OTTOMAN EMPIRE**, constitutionalists succeeded in getting the promulgation of a constitution in 1876, although it was quickly suspended by the sultan, **Abdul Hamid II**, and was not fully put into force until the **Young Turk Revolution 1908**. In **PERSIA**, nationalists and liberals combined to force the shah to promulgate a constitution in 1906. In **JAPAN**, the Meiji Constitution of 1889 defined the political framework for the modernization efforts



of the Japanese Empire. In **CHINA**, reform efforts were weak, and it was only with the revolution of 1911 and the establishment of the Chinese Republic that China promulgated a constitution.

**Constitutions, revolutions, and republics** throughout the globe by the time of World War I showed the spread of European political models in the 19th century. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **f. [Cultural Patterns](#)**

European cultural influence spread less rapidly than its diplomatic, economic, and political influence. **Christian missions** fanned out to Asia and Africa in the late 19th century, from both western Europe and the United States. Only small minorities of Asians converted, but in some Pacific islands the impact was greater. A larger minority of Africans began to be attracted to Christianity by 1900. 1

The **influence of European secular culture** was in many ways greater. **European nationalism** helped shape nationalist movements in Latin America, in the Arab lands and Turkey, and in India. **European sports**, like English soccer football, began to spread widely around 1900, as did new cultural technologies such as filmmaking. **European science** gained attention from intellectuals in various parts of Asia and Latin America, although Europe and the United States essentially shared innovation in science and technology (See [Technological Developments, 1800–1914](#)). **Contacts with other parts of the world also affected European culture**; visual artists, particularly, gained inspiration from African and East Asian artistic traditions. 2

## 2. Intensifications of Global International and Economic Relations, 1860–1914

The period was characterized by the domination of global international relations by European powers. By the same token, **world diplomacy took on new meaning**, as clashes in various parts of the world led to negotiations and alliances, sometimes including non-European powers as well. **International conferences**, dominated by the European great powers, periodically tried to resolve disputes in the Balkans, Africa, the Middle East, and elsewhere; **conference diplomacy** on a world scale was another important diplomatic innovation. European negotiations also formulated some new **international agreements** concerning the conduct of war, international law, and global facilities such as postal service. Finally, the intensification of global relations also included **growing international commerce**, dominated by Europe and the United States but with growing impact on local economies almost everywhere. 1

### a. International Agreements

During the second half of the 19th century, not only governments but also private organizations formed a growing number of international arrangements. Most of these centered on pacts among European countries, but North America and to some extent other areas were drawn in. 2

#### 1851

International commercial exhibit at London's new Crystal Palace, the first of a regular series of international exhibitions stretching into the 20th century. Major subsequent world's fairs, to 1914: Paris, 1855; Philadelphia, 1876; Sydney, 1879–80; New Orleans, 1884; Antwerp, 1885; Paris, 1889; Chicago, 1893; Budapest, 1896; Brussels, 1897; Paris, 1900; St. Louis, 1904. 3

The International Statistical Congress began meeting to standardize statistical practices of the European governments. 4

### 1863

An informal committee met to prepare rights for neutral parties to aid the wounded during wars. The **RED CROSS** was created as a voluntary, noncombatant organization to assist the wounded. The International Committee of the Red Cross was established in Geneva. The 1864 **GENEVA CONVENTION** was drafted to establish rules for the treatment of prisoners of war. 5

### 1864

Karl Marx organized the **International Workingman's Association** in London. It collapsed amid internal divisions in 1876. 6

### 1865

International Telegraphic Union. 7

### 1873

International Meteorological Organization. 8

### 1874

**Universal Postal Union** set up regulations for international postal delivery. 9

### 1889

The **Second International**, a loose federation of unions and socialist parties from Europe and North America, was formed in Paris. 10

## 1896

The first modern **Olympic Games** were held in Athens, reviving the classical Greek Olympic tradition on a potentially worldwide basis. It was held every four years until World War I, with participation from Europe, North America, and British Dominions. 11

## 1899 and 1907

Hague Conferences set up Permanent Court of Arbitration (See [1899, May 18–July 29](#)). 12

## 1904

Fédération Internationale de Football Associations—an international body to coordinate soccer (association) football. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. The Redefinition of the World Economy

Throughout most of the 19th century, the **amount and importance of international trade** increased steadily. The lead of Great Britain and then other parts of western Europe and the United States in industrialization heightened the **economic imbalance** in international trade. Western nations dominated complex manufacturing, shipping, and the great commercial companies; many other areas traded at considerable disadvantage. Western insistence on opening all regions to their trade led to the Opium War with China and the intimidation of Japan. 1

During the first half of the 19th century, British industrial (particularly textile) exports flooded markets in parts of Europe, Latin America, and India. The result was **massive deindustrialization of traditional textile producers**. Tens of thousands of women weavers and spinners were displaced in Latin America. Hundreds of thousands lost work in India. 2

Western entrepreneurs and skilled workers set up some **pilot factories** in different parts of the world. In 1843 British textile machinery was imported to Russia. Westerners also set up steamship services on rivers (1820, Volga River) and railroads (1838, Cuba, Havana to Guines; 1851, Russia, St. Petersburg to Moscow) in Russia, Latin America, and elsewhere. These developments did not lead to more general industrialization. 3

Western industrialization also spurred the **production of commercial crops** and products in other parts of the world. Brazil expanded sugar and coffee production, importing steam engines for processing (1815, first steam-driven sugar mill in Brazil). Nomadic herders in eastern Turkey were pressed by British and French agents to increase production of raw wool. Economic reforms in Egypt included rapid expansion of cotton production, encouraged by Britain. The spread of cotton plantations and ginning in the American South was part of this process. 4

**New shipping technology** developed around the mid-19th century. The first transatlantic steamer (the *Savannah*, 1818) sailed from Liverpool to Boston but ran out of coal, finishing by sail; the first full Atlantic steam crossing was achieved by the British-built Dutch *Curaçao*, 1827. In 1840, regular transatlantic steamship service began with the **Cunard line** (founded by Samuel Cunard, 1787–1865) and its four steamships. In 1848, 5

10 million tons of goods were handled by oceanic sailing ships, and only 750,000 tons in steamships. Expansion from 1850 was rapid, with many Western nations establishing steamship lines. The Suez Canal, and later, the Panama Canal, furthered this trend.

**Underwater telegraph cables** connected England and Europe, 1851; England and the United States, 1866; England and India, 1870; England and Australia, 1871.

Communication time was cut from several weeks to literally minutes. In 1891, the first underwater long-distance telephone cable linked England and France.

Growing international economic links triggered the first **modern economic depression**, in 1856–57. Induced by several bank failures in the United States, rather than by bad harvests (the traditional cause), the brief but sharp slump spread throughout western Europe. Depressions in the mid-1870s and thereafter had international ramifications, particularly among the industrial nations.

After 1870 the global impact of the industrial West increased. A growing number of areas and a growing portion of the economies of these areas were pressed to provide low-cost exports, while importing from Europe and the United States more advanced equipment (including rail lines and rolling stock) and certain luxury goods (such as French fashions). In Latin America, the expansion of coffee production, cultivation of hemp and manufacture of rope in the Yucatán (Mexico), the growth of Peruvian guano output for fertilizer, the spread of foreign-owned copper mines in Chile, and the development (often foreign owned) of tropical fruit production in Central America are all examples of this expansion. Established sectors like sugar and tobacco also grew. More land and more workers were involved in this commercial export sector. On the other side of this equation, by 1910, 57 percent of Mexican imports involved Western-made equipment. Western appetites for Middle Eastern rugs caused the expansion of this traditional industry in the Ottoman Empire, involving thousands of new workers. By the 1890s some factories were established to make cheap carpets, with a mixture of Western and Ottoman ownership. The expansion of Japanese silk production, with low-paid women workers, fit Japan into the export economy while providing earnings to purchase equipment. By the 1890s Africa was beginning to be drawn into the network, with expansion of mines in South Africa and the Belgian Congo. But the main impact on African agriculture came after 1914.

**Western companies also began to set up manufacturing branches in various parts of the world.** Some French textile firms had branch operations in Rhode Island and Latin America by the 1830s. Again, the pattern expanded after 1870. **Singer sewing machine company**, of the United States, set up factories in many countries, including Russia. German electrical and chemical producers, American agricultural equipment producers, and other companies did the same. Operations of this sort, going beyond trade to actual manufacture, constituted the **origins of the modern multinational corporation.**

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### c. [International Diplomacy](#)

European conflicts over spheres of influence in Asia, Africa, and the Middle East and efforts by non-European states to maintain at least some degree of independence were the central ingredients in international relations between 1870 and 1914. 1

#### 1869

**OPENING OF THE SUEZ CANAL** reoriented imperial strategic thinking and gave added importance to the Ottoman Empire in international diplomacy. 2

#### 1871

**Conference of London** redefined Russian rights in the Black Sea. 3

#### 1875–78

Insurrections in Bosnia and Bulgaria (See [July–1876, May](#)) led to Ottoman intervention and diplomatic tensions involving Russia and Austria. Negotiations between these two powers were supplemented by international conferences. In Dec. 1876, the **Constantinople Conference** featured British efforts to negotiate a Balkan settlement, but the Ottoman leaders rejected all proposals. Russia declared war on the Ottomans in 1877, which roused British opposition (eager to protect the region from any great-power dominance that might threaten its route to India) and German attempts to prevent a more general conflagration. This led to Bismarck's arranging of the **Berlin Congress** (June 13–July 13, 1878) (See [July 13](#)), the **first great international settlement conference in the new imperialist age**. The conference rearranged control of the Balkans, granted Russia territory in Central Asia, gave France the green light to take over Tunisia, and 4

granted Cyprus to Britain. Most European powers gained, in sum, at the expense of the Ottoman Empire.

## 1882, July 11

**Bombardment of Alexandria, Egypt, by the British fleet.**

5

## Sept. 13

Defeat of the **Egyptians** by the British in the **Battle of Tel-el-Kebir**. **British occupation of Egypt** (See [1882, Sept](#)). 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Science and Technology](#))

### **3. Technological Developments, 1800–1914**

Major technological innovations originated in Europe and North America. Although industrialization owed much to new inventions, the early stages (to the 1840s) were fueled more by the **tinkerings of inventors and craftspeople** than by scientists. The late 19th century witnessed the marriage of science and industry that continues to this day. The development of technology, no longer strictly the realm of independent inventors, was guided and financed by companies searching for new products, resulting in the burgeoning chemical and petrochemical industries. At the same time, technology became a part of everyday life, made the world a smaller place, and became a more important force in shaping European and world events. 1

The major achievements in technology included: 2

#### **a. Energy and Power Sources**

##### **1800**

The **galvanic cell**, or Voltaic pile, of **Alessandro Volta** (1745–1827) was the first electric battery (converting chemical energy into electrical energy). 3

##### **1802**

**Richard Trevithick** (1771–1833) built the first **high-pressure steam engine**, although the American **Oliver Evans** (1755–1819) had patented one in the United States in 1797. Other advances in steam engine technology included the compound engine (adding a high-pressure cylinder to the original Watt engine) by **William McNaught** (1813–81) in 1845. 4

## 1806

First gas lighting of cotton mills. Improvements made in production and distribution of gas as heat source (**Bunsen burner**, 1855) and for illumination (**Welsbach gas mantle**, 1885). 5

## 1827

**Benoit Fourneyron** (1802–67) developed the **water turbine**. 6

## 1832

The first mechanical generation of electricity by **Hippolyte Pixii**. Major improvements in **electric generators** followed: the improved armature (1856) designed by **Werner von Siemens** (1816–92); and the ring armature (1870) of **Zénobe T. Gramme** (1826–1901), which represented the first practical dynamo. 7

## 1854

**Abraham Gesner** (1797–1864) manufactured kerosene. 8

## 1859

**William M. J. Rankine** (1820–72) published the first comprehensive manual of the steam engine. The steam engine stimulated theoretical studies in thermodynamics by Clapeyron, Clausius, Joule, Lord Kelvin, and Gibbs. 9

## 1859

**Edwin L. Drake** (1819–80) drilled the **first oil well** in Titusville, Pa., opening up the Pennsylvania oil field and starting the large-scale commercial exploitation of petroleum. **First oil pipeline** (two-inch diameter, six miles long) constructed 1865 in Pennsylvania. 10

## 1876

**Nicholas August Otto** (1832–91) built the first practical gas engine, working upon the so-called **Otto cycle**, which is now almost universally employed for all internal combustion engines. Otto's work was based upon previous engines of **Étienne Lenoir** (1822–1900) and **Alphonse Beau de Rochas** (1815–91). The Otto cycle was employed in the gasoline engine patented (1885) by **Gottlieb Daimler** (1834–1900). 11

## 1882

The Pearl Street (New York City) electric generating station, a pioneer central power station designed by **Thomas A. Edison** (1847–1931), commenced operations a few months after Edison dynamos had been installed at Holborn Viaduct Station in England. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. Materials and Construction

### 1800

Pioneer **suspension bridge**, hung by iron chains, built by **James Finley** (c. 1762–1828) in Pennsylvania; wire suspension employed by **Marc Seguin** (1786–1875) in bridge near Lyons (1825). An American, **Ithiel Town** (1784–1844), patented his truss bridge (1820). 1

### 1817–25

Building of the **Erie Canal**, the first great American civil engineering work. 2

### 1818

The **Institute of Civil Engineers** (London), the first professional engineering society, founded. 3

**Marc Isambard Brunel** (1769–1849) patented the cast iron **tunnel shield**; **Thomas Cochrane** (1830) used this shield to construct foundations on marshy ground. 4

### 1824

**Joseph Aspdin** (1779–1855) patented **Portland cement**, a hydraulic cement (impervious to water) as durable as that employed by the Romans. 5

### 1827

**Gay-Lussac tower** introduced in manufacture of sulfuric acid, largely replacing John Roebuck's lead-chamber process (1746). **Herman Frasch** (1851–1914) developed process (1891) for mining sulfur (by superheated water and pumping to the surface). 6

## 1836

**Galvanized iron** introduced by Sorel in France. Galvanized fencing and barbed wire (c. 1880) helped to fence off large tracts of cattle land in the American West during the latter part of the 19th century. 7

## 1839

**Charles Goodyear** (1800–60) **vulcanized rubber**. Although introduced into Europe in 1615, rubber had not been commercially successful until a solvent for the latex was found (1765); bonding of rubber to cloth to produce raincoats (macintoshes) had been developed (1824) by **Charles Macintosh** (1766–1843). 8

## 1855

**John A. Roebling** (1806–69) completed **wire cable bridge** at Niagara, N.Y.; Roebling utilized this same method for the **Brooklyn Bridge** (completed by his son, W. A. Roebling, in 1883), and it became standard construction technique for all great suspension bridges. 9

## 1856

**Henry Bessemer** (1813–98) perfected the technique (Bessemer process) for converting pig iron into steel by directing an air blast upon the molten metal. 10

## 1856

*Mauve*, first of the **aniline** (coal-tar) **dyes**, discovered by **William H. Perkin** (1838–1907). Beginning of the synthetic dye industry, which was to develop greatly in Germany. 11

## 1861

**Ernest Solvay** (1838–1922) patented the Solvay ammonia process for the manufacture of soda. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### c. Machines and Industrial Techniques

#### 1800

**Eli Whitney** (1765–1825) was credited with the introduction of **interchangeable parts** for manufacturing muskets. The work of Simeon North (1765–1852) on uniform parts was, in fact, more decisive. Although it had European precedents, the system of interchangeable parts became known as “the American system” because it was most fully exploited in the United States and became the foundation of the mass production characteristic of American industry at a later date. <sup>1</sup>

#### 1801

**Joseph M. Jacquard** (1752–1834) invented a loom for figured silk fabrics, later introduced into the making of worsteds. **William Horrocks** (1776–1849) developed the power loom (1813), improved (1822) by **Richard Roberts** (1789–1864). Machine combing of wool (1845) and ring spinning frame (1830) developed; the Brussels power loom invented by Erastus B. Bigelow (1814–79) of Massachusetts for the weaving of carpets (1845); and the loom invented by J. H. Northrop of Massachusetts (1892), which was almost completely automatic. <sup>2</sup>

#### 1810

**Friedrich Koenig's** (1774–1833) **power-driven press** in use, followed by the flatbed press (1811). Other developments leading to mass production of printed matter, especially newspapers, were the rotary press of Robert Hoe (1846) and the web printing press, allowing for printing on a continuous roll (web) of paper by a rotary press, invented (1865) by William A. Bullock. In 1885 the Linotype of **Ottmar Mergenthaler** (1854–99) replaced Monotype. <sup>3</sup>

## 1823–43

**Charles Babbage** (1792–1871) attempted to build calculating machines (following the lead of Thomas de Colmar, who built the first practical calculating machine in 1820); Babbage's machines were never completed, being too advanced for the technology of the time, but his theories formed a basis for later work in this field. 4

## 1830

**Joseph Whitworth** (1803–87) developed the **standard screw gauge** and a machine to measure one-millionth of an inch, for standards. Made possible more precise machine tools for planing, gear cutting, and milling. 5

## 1837 Ff

Rapid **development of armament**, keeping pace with improvements in metallurgy, machines, and explosives: **Henri J. Paixhans's** (1783–1854) shell-gun, adopted by France, 1837; rifled, breech-loading artillery used by Piedmont, 1845; the French '75, the first quick-firing artillery piece, firing both shrapnel and high explosive, 1898; the cast steel breech-loading Prussian artillery manufactured by the Krupps beginning in 1849. Small arms included the Colt revolver (1835), the Dreyse needle-gun (1841), the Minié bullet (1849), the Winchester repeating rifle (1860), the Gatling machine gun (1861), the French chassepot (1866), and the Maxim gun (1884). The self-propelled torpedo was invented by Robert Whitehead (1823–1905) in 1864; smokeless powder appeared in 1884. 6

## 1839

**Steam hammer** invented by **James Nasmyth** (1808–90). Also developments in drop-forging and die stamping at this time. 7

## 1846

**Elias Howe** (1819–67) invented the lockstitch **sewing machine**; in 1851 **Isaac M. Singer** (1811–75) invented the first practical domestic sewing machine. This became the first major consumer appliance, soon followed by the **carpet sweeper** of M. R. Bissell (1876), and the **vacuum cleaner** (I. W. McGaffey, 1869; J. Thurman, 1899).

8

## 1849–54

Exploiting the increasing accuracy of machine tools, **Samuel Colt** (1814–62) and **Elisha Root** (1808–65) developed a practical system for manufacturing interchangeable parts, especially in connection with Colt's revolver.

9

## 1855

Development of **turret lathe** by American machine tool makers. First true **universal milling machine** designed (1862) by **Joseph R. Brown** (1810–76). Other machine tool improvements included Mushet's tool steel, increasing the cutting speed (high-speed tool steel, 1898, by Taylor and White), gearbox mechanisms for better control, multiple-spindle lathes (1890), and tungsten carbide tools (1926).

10

## 1873

First **use of electricity to drive machinery**, Vienna. Quickly adopted, usually with the motor incorporated into the machine rather than separate.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. Agricultural Production and Food Technology**

### **1801**

**Franz K. Achard** (1753–1821) built the first **sugar-beet factory** (Silesia). Sugar-beet cultivation and beet-sugar industry developed primarily in France and Germany. 1

### **1810**

**Nicolas Appert** (c. 1750–1840) described system for food preservation by canning, using glass jars. Tin cans introduced 1811. 2

### **1834**

**Cyrus H. McCormick** (1809–84) patented his **reaper** and began commercial manufacture c. 1840. Obed Hussey (1792–1860) invented a similar reaper simultaneously and independently. 3

### **1837**

**John Deere** (1804–86) introduced the **steel plow**. In 1819 Jethro Wood (1774–1834) had developed a cast iron plow; and John Lane had introduced a steel-blade plowshare in 1833. James Oliver's (1823–1908) chilled plow of 1855 was improved by the Marsh brothers (1857). Mechanical power was applied to plowing with the introduction of **cable plowing** (1850); by 1858 John Fowler had introduced the **steam plow**. 4

### **1850–80**

**Improvements in farm implements** included the revolving disc harrow (1847), binder (1850), corn planter (1853), two-horse straddle-row cultivator (1856), combine harvester (1860), combine seed drill (1867), and sheaf-binding harvester (1878). 5

## 1860

**Gail Borden** (1801–74) opened the first factory for the production of **evaporated milk**. 6

## 1861

After Louis Pasteur's work on microorganisms, **pasteurization** was introduced as a means of preserving beer, wine, and milk. 7

## 1865 Ff

Development of **mechanical refrigeration** for preservation of food products, especially Thaddeus Lowe's (1832–1913) compression ice machine (1865) and Linde's ammonia compression refrigerator (1873). 8

## 1869 Ff

Transcontinental railway aided development of **meat-packing industry** in Chicago. 9

## 1877

**Gustav de Laval** (1845–1913) invented the centrifugal **cream separator**. 10

## 1880 Ff

Application of **chemical fertilizers** increased food production. J. B. Lawes manufactured superphosphates (1842); Chilean sodium nitrate beds exploited from c. 1870 until methods of fixing atmospheric nitrogen were developed after 1900 by Fritz Haber (1868–1934); use of potash as an inorganic fertilizer from Strassfurt deposits.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Transportation and Communication](#)

### 1802

**Richard Trevithick** (1771–1833) patented a **steam carriage**; earlier attempts to use steam power for transport purposes had been made by Nicolas Cugnot in France (1769), William Murdock in England (1785), and Oliver Evans in the United States. In 1804 Trevithick designed and built a locomotive to run on rails. <sup>1</sup>

### 1807

**Robert Fulton** (1765–1815) sailed the *Clermont* from New York to Albany. This was by no means the first steamboat: the Marquis Claude de Jouffroy d'Abbans (1751–1832) had built a paddle-wheel steamer in France (1783); John Fitch (1743–98) had launched a steamboat on the Delaware (1787), and James Rumsey (1743–92) one on the Potomac (1787); John Stevens (1749–1838) had designed a successful screw-propeller steamboat (1802). However, Fulton's boat was the first steamboat to represent a commercial success. By 1819 steam augmented sail on the first transatlantic steamship crossing, achieved by the *Savannah*. <sup>2</sup>

### 1814

**George Stephenson** (1781–1848) built his **first locomotive**, and in 1829 his *Rocket*, designed with the aid of his son Robert (1803–59), won a competition with locomotives of other design and thereby set the pattern for future locomotive developments. <sup>3</sup>

### 1825

Opening of the **Stockton-Darlington Railway**, the first successful railroad system, <sup>4</sup>

using a steam engine built by Stephenson. In 1829 the first railroads were opened in the United States (Pennsylvania) and France (Lyons–St. Étienne), both employing English-built locomotives. The first American locomotive was built (1830) by Peter Cooper (1791–1883).

### 1837

**Charles Wheatstone** (1802–75) and **William F. Cooke** (1806–79) patented the **telegraph**, which was also independently invented by the American **Samuel F. B. Morse** (1791–1872), whose **telegraphic code** was universally adopted. By 1866, **Cyrus W. Field** (1819–92) succeeded in laying a **transatlantic cable**, after two previous failures and after overcoming tremendous financial and technical difficulties.

5

### 1839

**Louis J. M. Daguerre** (1787–1851) evolved the **daguerreotype photographic process**, based on the work of Joseph Nicéphore Niepce (1765–1833). Although **William H. F. Talbot** (1800–77) produced paper positives (1841), the first fully practical medium for photography was the wet collodion plate process (1851) of Frederick S. Archer (1813–57).

6

### 1860

Construction began on the **London underground railway** system, which was electrified in 1905. Construction began on the Paris *métro* in 1898, and on the New York City subway in 1900.

7

### 1864

**George M. Pullman** (1831–97) built the first **sleeping car**, specially constructed for that purpose.

8

### 1867



**Ernest Michaux** invented the **velocipede**, the first bicycle to put cranks and pedals directly on the front wheel; the “safety” bicycle with geared chain drive to the rear wheel was introduced in 1885.

9

## 1869

Union Pacific and Central Pacific Railroads met to complete the **first transcontinental line** in America. The **Trans-Siberian Railway** was begun in 1891.

10

## 1869

Opening of the Suez Canal, the work of the French engineer **Ferdinand de Lesseps** (1805–94).

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## 4. [Polar Explorations](#)



[THE ARCTIC REGIONS \(MAP\)](#)



[TERRITORIAL CLAIMS IN THE ANTARCTIC, 1965 \(MAP\)](#)

### a. [Early Explorations](#)

*Scandinavian:* c. 870: **Ottar**, a Norseman, sailed along the northern Norwegian coast; <sup>1</sup>  
875–900: **Iceland** was colonized; 982–85: **Eric the Red** founded colony in Greenland;  
1194: **Spitsbergen** discovered.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **b. Early Modern European Expeditions**

### **1553–54**

**Sir Hugh Willoughby** and **Richard Chancellor** travel to Kola Peninsula. 1

### **1576**

**Sir Martin Frobisher** sought the Northwest Passage in northern Canada. 2

### **1585–87**

**John Davis** sought the Northwest Passage in northern Canada. 3

### **1594–97**

Three voyages of **Willem Barents** and **Cornelis Nay** in northern Russia, exploring islands and routes in region of Barents Sea. 4

### **1607–11**

Voyages of **HENRY HUDSON**, searching for Northwest Passage and exploring northern Canada. 5

### **1610–48**

**Russian Cossacks** conquered Siberia and explored north coasts and major Arctic rivers. 6

### 1670

**Hudson's Bay Company** was granted royal charter for trade in North America and began explorations of Arctic areas. 7

### 1728–41

Voyages of **VITRUS BERING** to explore north Pacific basin and Bering Strait regions. 8

### 1732–43

Russian government survey of the whole **Siberian coast**. 9

### 1738–39

**Pierre Bouvet** sighted land south of Capetown in an expedition to prove or disprove the existence of an Antarctic continent. 10

### 1772–75

**CAPT. JAMES COOK's second voyage** of Pacific exploration circumnavigated Antarctica for the first time, farthest southern penetration to that time. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. 19th-Century Explorations**

#### **1806**

**William Scoresby** reached a record north and wrote the influential *Account of the Arctic Regions*. 1

#### **1818**

Twin expedition of **John Ross** and **Edward Parry** to Baffin Bay. 2

#### **1819–26**

**John Franklin's** land explorations of northern Canada. 3

#### **1820–23**

**Baron Wrangel's** explorations of Siberia. 4

#### **1821–23**

**Edward Parry's second expedition.** 5

#### **1824**

**Parry's third expedition,** seeking a northern sea passage around North America. 6

## 1827

**Parry** set record north, departing from Spitsbergen. 7

## 1829–33

**John Ross** and his nephew, **James Clark Ross**, explored northern Canada, and James Ross located **north magnetic pole** in 1831. 8

## 1841–43

**JAMES CLARK ROSS** explored Antarctic coasts and islands, claiming large areas for Great Britain, and set a record south that lasted for 60 years. 9

## 1845–48

The expedition of **SIR JOHN FRANKLIN** completed the **discovery of the full Northwest Passage**, but all members of the expedition perished. 10

## 1848–59

**Franklin Relief Expeditions** finally discovered the fate of the Franklin group and also discovered and mapped significant portions of regions in North America. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. 20th-Century Explorations**

### **1902–4**

**ROBERT F. SCOTT** led a major Antarctic expedition, accomplishing significant discoveries and a record south. 1

### **1903–6**

**Roald Amundsen** first sailed the complete Northwest Passage. 2

### **1907–9**

Expeditions by **F. A. Cook** and **Robert E. Peary** each claimed to have reached the **NORTH POLE**, although it is possible that neither actually accomplished this. 3

### **1907–9**

**Ernest Shackleton** led an Antarctic expedition that surpassed Scott's records and reached the **south magnetic pole**. 4

### **1910–12**

**ROALD AMUNDSEN** discovered the **South Pole**, on which he placed the Norwegian flag in 1911. 5

## 1910–13

**Scott's last expedition** reached the South Pole in 1912, but the whole party died in a blizzard. 6

## 1917

**Danish–U.S. treaty** strengthened Danish claims to **Greenland** by ceding Virgin Islands to the United States in settlement of U.S. claims resulting from Peary's expeditions. 7

## 1918–25

**Amundsen** and **H. Sverdrup** navigated the Northeast Passage and spent an extended period in planned drift over the North Pole. 8

## 1924

**Greenland** became a Danish crown colony following Danish agreements with Norway and Great Britain. 9

## 1925

**Spitsbergen** came under the sovereignty of **Norway**. 10

## 1926

**Richard Byrd** and **Floyd Bennett** were the first to fly over the **North Pole**. 11





## **B. The French Revolution and Europe, 1789–1914**

### **1. Overview**

**Periodization.** Basic trends in Europe's modern history began in the 1780s with the first phase of the **Industrial Revolution** in Britain and with the **political and social revolution of 1789** in France. The advent of **World War I in 1914** drew this tumultuous modern period to a close. <sup>1</sup>

During the years 1789–1815, Europe was dominated by the French Revolution and related reform movements elsewhere, culminating in several revolutionary wars and the Napoleonic Wars. During the next period, 1815–48, efforts to return to more conservative politics were progressively undermined by the political movements and doctrines tossed up by the French Revolution (**liberalism, radicalism, nationalism, and early socialism**) and by social unrest provoked by increasing commercialization and the **beginning phases of industrialization**. This period culminated in the widespread **revolutions of 1848–49**. These revolutions produced important changes, but their failures also altered European politics, as both conservatives and liberals began to develop new tactics. Between 1850 and 1914, **European industrialization advanced**, with a growing array of social and cultural, as well as economic, effects. Debates about constitutional structure began to be resolved, but pressures for **new government policies to address social issues** increased. **Diplomacy and war** assumed more importance than they had during 1815–48, as governments put their new industrially produced weaponry to use and sought in diplomacy a reduction of political disputes. <sup>2</sup>

**Regional as well as purely national differences** marked Europe during the 19th century. <sup>3</sup> **Russia and eastern Europe** participated widely in cultural trends and diplomatic engagements, but their political forms and above all their social and economic structures differed markedly from those of western Europe. By 1850, Russia had experienced little significant liberal pressure, while its social structure, predominantly rural, featured divisions between aristocrats and serfs. Russia's early industrialization and growing political turmoil from the 1880s onward thus resembled patterns in western Europe almost a century before, rather than contemporaneous developments. **The Balkans** formed another region with distinct economic and political issues, while in western

Europe, **Spain, southern Italy, and Ireland** participated only partially in many general trends.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1787](#))

## **2. The French Revolution, 1789–1799**

The period of the French Revolution and French Empire can be divided into several subperiods based on political regime and relationship to the rest of Europe. (1) **Estates General** and **Constituent Assembly**, May 1789–Sept. 1791. Formative period, leading toward constitutional monarchy. (2) **Legislative Assembly**, Oct. 1791–Sept. 1792. New lower-class unrest; beginnings of foreign wars. (3) **National Convention**, Sept. 1792–Oct. 1795. Most radical phase of revolution: end of monarchy, new constitutional measures, and growing impact outside France. (4) **Directory**, Oct. 1795–Nov. 1799. Undid the most radical measures; consolidation efforts. (5) **Consulate**, Dec. 1799–May 1804. Napoleon's coup led to one-man rule though nominally republican forms. New wars. (6) **Empire**, May 1804–June 1815. Napoleon installed new regime, consolidated some revolutionary gains, concentrated on wars. Major period of change in other parts of Europe. 1

### **a. Causes of the Revolution**

(1) Intellectual currents of the Enlightenment proposed governments based on contracts or constitutions rather than divine authority. Such ideas were discussed in the salons organized by women in Paris and by the *philosophes* (reform-minded intellectuals) surrounding Diderot's encyclopedia. (2) Economic developments expanded a middle class that, although often involved in the royal bureaucracy, had little access to formal politics. This middle class was concerned with obstructions to economic development and commerce, such as the guild system, internal tariffs, and the lack of common weights and measures and adequate roles for professionals. (3) A social contest had developed between the emerging middle class (especially the bureaucracy) and the old aristocracy. The aristocracy had many privileges, including exemption from many of the taxes levied against the middle classes. After 1750 the aristocracy discouraged middle-class entry and increased its own monopoly over upper church offices (the **aristocratic resurgence**, probably a response to population growth, which angered the middle class). At the same 2

time, these aristocratic landowners attempted to collect their full manorial rights from a peasantry already heavily burdened by taxes. Although most peasants were free, many had little land, and surviving manorial dues were galling. (4) A financial crisis within the government resulted from an increasing deficit. This deficit was the result of costly wars of territorial aggression in the 17th and 18th centuries and was worsened by the policy of selling offices, with tax-exempt status, to raise additional revenues. When the king and his advisers tried to levy new taxes through parlement, they were forced to call the Estates General. (5) Revolution was triggered by efforts by the aristocracy to wring concessions from the king (Assembly of Notables, 1787), and bad harvests and unemployment (1787–88) helped stir urban and rural rioters.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The National Assembly**

**1789, May 5**

**Estates General met** at Versailles with double representation of the third estate (representing the middle class): nobles 300, clergy 300, commons 600. Necker, the king's financial adviser, announced that voting would be by order, not by head, thus eliminating the third estate's advantage. Acting on a motion by **Abbé Sieyès** (author of *What Is the Third Estate?*), the third estate assumed the title of the **National Assembly** (June 17) and invited other orders to join them. 1

**June 20**

**Tennis Court Oath.** The king suspended meetings of the Estates General for three days and closed the hall. Members met at a neighboring tennis court and took an oath not to separate until they had given the realm a constitution. 2

**June 23**

The king ordered each estate to meet separately, but deputies refused. Most of the clergy and many of the nobles joined the assembly—prompting the king to order the rumps of the first and second estates to join the assembly (June 27). He dismissed **Necker** (July 11) and concentrated troops near Paris, which led to the attack on the Bastille. 3

**July 14**

**STORMING OF THE BASTILLE.** A mob in Paris attacked the prison although most prisoners had already been removed. Aided by deserters from the French Royal Guard (incorporated into the Parisian National Guard in Aug.), they captured and killed the 4

governor, Jordan de Launay. Louis ordered troops out of Paris, and the Parisian electors formed a commune, with **Lafayette** commanding the National Guard and Bailly elected mayor. **Adoption of tricolor:** blue and red for Paris, and white for France. Necker was recalled (July 17). Beginning of emigration of nobles (*émigrés*).

**Rising of the peasants** against the manorial lords in Dauphiné, Provence, Burgundy, and throughout France. This *grande peur* (great fear) was not systematically spread from Paris but occurred sporadically as a series of mass movements with numerous centers. Riots, provisional governments, guards in the provincial cities.

### Aug. 4

**Surrender of feudal rights** by representatives of the nobility. The radical nature of this act was undermined by provisions for the gradual elimination of these rights and compensation for the owners (in most cases it was never paid): abolition of titles, prohibition of the sale of offices, dissolution of the guilds, and so on.

### Aug. 27

**DECLARATION OF THE RIGHTS OF MAN AND CITIZEN**, based on English and American precedents, guaranteed to citizens the rights of liberty, equality, security, and property. This provision limited explicit protection to males in every phase of the Revolution and resulted in Marie-Olympe de Gouges's publishing of her **Declaration of the Rights of Women** (1791). These declarations stated that the aim of society was public happiness.

### Oct. 5–6

**MARCH TO VERSAILLES.** Popular riots in Paris, caused by hunger and rumors of an intended reaction against the Revolution, resulted in a march of a band, consisting mostly of women, to Versailles. Lafayette rescued the royal family, but the band forced the king's return to Paris.

**The political clubs** had existed since early 1789 but were growing in power. The **Jacobins**, enjoying a wide democratic base and led by **Maximilien Robespierre**, became a growing power in the state. The **Cordeliers**, more radical than the Jacobins, were led by **Georges Jacques Danton**, **Jean Paul Marat**, **Camille Desmoulins**, and **Jacques Hébert**. The **Feuillants**, moderate monarchists including **Lafayette and Bailly**, had separated from the Jacobins.

As the assembly debated a new constitution for a liberal monarchy (adopted in 1791), it tried to address the fiscal crisis by declaring church lands public property and issuing *assignats* (government notes) on their value. Because *assignats* were frequently overissued, recurrent inflation resulted. On July 12, 1790, **Civil Constitution of the Clergy** placed bishops and priests as well as church income under government control. Fewer than half of all priests declared loyalty to the government, and in 1791 the pope denounced it, setting up a long battle between revolutionaries and much of the Catholic Church. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



### **c. The Legislative Assembly**

#### **1791, Oct. 1–1792, Sept. 21**

**The legislative assembly**, with 745 members, represented primarily the middle class. <sup>1</sup>

**Parties:** (1) The Right became weaker almost daily; (2) the Left comprised the majority and consisted of (a) the **Plain**, an unorganized group of moderate republicans and monarchists, which was swayed by (b) the **Girondists**, who advocated the establishment of a form of a federal republic and included the brilliant orators Guadet, Vergniaud, and Brissot; and (c) the **Mountain**, which drew its strength from the Jacobin and Cordelier clubs. Although the divisions between the last two did not attain their clearest form until the Convention, their beginnings were evident in the assembly.

**The poor harvest of 1791 and rising grain prices**, worsened by distribution problems and increased demands as the result of the war, caused growing unrest and riots in Paris. <sup>2</sup>  
Abolition of religious orders and elimination of the tithe also led to problems in administering poor relief.

#### **1792, March 20–25**

**Guillotine accepted** as form of execution. First used on April 25, the guillotine symbolized the leveling between classes during the Revolution by eliminating the previous distinction between the execution of elites (beheading) and commoners (hanging). The guillotine was often portrayed as a “feminine” form of execution, and bourgeois males were expected to demonstrate superiority by embracing death without displaying emotion at their executions. <sup>3</sup>

#### **1792–97**

**WAR OF THE FIRST COALITION.** The French interpreted the Declaration of Pillnitz <sup>4</sup> as a bald threat of interference and issued ultimatums against Leopold II and Francis II.

## 1792, April 20

France declared war against Austria. The French suffered reverses, and allied armies captured Verdun (Sept. 1). The Prussians were finally defeated at the **Battle of Valmy** (Sept. 20), which gave heart to the revolutionary armies. 5

## Aug. 10

Popular demonstrations and the **storming of the Tuileries** led to the **suspension of functions of the monarchy**. The assembly voted to enact all legislation vetoed by the king, who was confined to the Temple (old house of the Knights Templar). The assembly also voted to call a convention elected by universal male suffrage to enact a new constitution. In the meantime, the government was controlled by the Provisional Executive Council (headed by Danton) and the Paris Commune. 6

## Sept. 2–7

**September Massacres** occurred at Paris as the result of news of the siege of Verdun. Suspects were taken from the prisons and executed by the mob after being tried by hastily improvised tribunals. Similar scenes were enacted at Versailles, Lyons, Rheims, Meaux, and Orléans. 7

## Sept. 9–16

Suspension of **free trade** on grain. Provisions provided for requisitioning for the army and civil authorities. Amnesty was given to individuals arrested for agitation over grain. 8

## Sept. 20

**Divorce** was legalized, and the state assumed responsibility for recording marriages, births, and deaths, which was formerly done by the church. The **Battle of Valmy** gave a first victory to revolutionary armies over the Prussians. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. The National Convention: The Revolution's Most Radical Phase**

**1792, Sept. 21–1795, Aug. 22**

**THE NATIONAL CONVENTION**, longest lived of the revolutionary assemblies. It was elected by male suffrage and composed entirely of republicans (749 members, of whom 486 were new men). **Parties:** The **Plain** had a majority but was dominated by the **Girondists** and then by the **Mountain**. The Girondists now formed the Right, and the Mountain, under Robespierre, Danton, and others, formed the Left. 1

### **Sept. 21**

**Monarchy abolished.** 2

### **Sept. 22**

**Republic proclaimed.** (First day of Year I of Republican calendar.) On Sept. 25 the Republic was declared “one and indivisible.” 3

### **Oct. 2**

**Committee of General Security** was formed, with undefined police powers. 4

### **Nov. 6**

Allies in retreat following a French victory by Gen. Dumouriez at **Jemappes.** 5

## Nov. 19

**The Decree of Fraternity** offered French assistance to people who wished to overthrow their governments. Other countries, including England, feared risings. Irish nationalists sought French aid as a result of this declaration. 6

## Dec. 4

Convention declared the death penalty for anyone advocating monarchy. 7

## Dec. 8

Convention repealed suspension on free trade in grain but outlawed grain exports. Nov. and Dec. also saw instances of price fixing and demonstrations among peasants in the Beauce region. 8

## Dec. 10

**Louis XVI tried** before the Convention. Girondists suggested a referendum to the people (Dec. 27), but on Jan. 14, 1793, the Convention decided there would be no referendum and found Louis guilty. Louis sentenced to death by a slim majority (Jan. 20) and executed on Jan. 21. 9

## Dec. 16

The death penalty to be administered for threatening the unity and integrity of the Republic. 10

As a result of a struggle between the Girondists and the Mountain, **all power in the Convention centered in three institutions**: (1) the Committee of General Security; (2) the Paris Commune, reorganized on basis of male suffrage and acting through its committee led by Chaumette and Hébert; and (3) the Committee of Public Safety. The latter was composed of 9 (later 12) members (including Robespierre, Danton, and St. Just) with dictatorial power. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [The Directory](#)

### 1795, Aug. 22

**The Directory** was established by the **Constitution of Year III**. Citizenship was extended to all males of at least 21 years of age who were on the civic lists of a canton and either paid direct taxes or had served in the army. All citizens could vote (no distinction between active and passive citizens). The constitution provided for a bicameral legislature (Council of Five Hundred and Council of the Ancients), with deputies each serving a three-year term, and a five-member executive branch (the Directory) chosen by the legislature. **Freedom of the Press** was confirmed by the constitution, but it could be restricted by the Directory for a year. **Political clubs**, collective petitioning, and popular societies were suppressed (Aug. 23). 1

The 1795 **harvest was poor**; it was preceded and followed by bad winters. Famine conditions existed in many parts of France. Nov. and Dec. saw strikes among Parisian workers, especially in the printing trades. The Directory followed a repressive policy toward workers. 2

### 1796, March 18

*Assignats* replaced with *mandats territoriaux* in an effort to stabilize the currency. The *mandats* depreciated almost immediately. The government withdrew them and returned to metallic currency in Feb. 1797, but only after decreeing a forced loan on the rich (poorly implemented). 3

**THE WAR OF THE FIRST COALITION** proceeded on two fronts. 4

French armies under Jourdan and Moreau separately invaded S. Germany, forcing Baden, Württemberg, and Bavaria to conclude truces (Aug.). Archduke Charles, leading Austrian forces, defeated Jourdan at **Amberg** (Aug.) and **Würzburg** (Sept. 3). In doing so, Charles successfully stopped the attempt to unite the two French armies on German soil and forced Moreau to retreat across the Rhine. The German campaigns were 5

inconclusive.

## 1796–97

**BONAPARTE'S ITALIAN CAMPAIGN.** Napoleon Bonaparte split the Austrian and Piedmontese armies—defeating the Austrians at **Millesimo** (April 13) and the Piedmontese at **Mondovi** (April 21). Victor Amadeus was compelled to conclude a separate peace with France. Napoleon then defeated the Austrians at the Battle of Lodi. 6

### 1796, May 10

**Battle of Lodi.** Napoleon entered Milan and conquered all of Lombardy as far as Mantua. Mantua surrendered after being besieged by the French, following Lodi. 7

### 1797, Feb. 2

**Napoleon advanced toward Rome,** but the pope concluded the **Treaty of Tolentino** with him (Feb. 19). Napoleon then crossed the Alps to meet Archduke Charles, but uprisings in Venetia and Tyrol forced him to open negotiations leading to the preliminary peace of Leoben. 8

### April 18

**Preliminary peace of Leoben:** Austria took over Venetia, and France organized the Cisalpine Republic in northwestern Italy. 9

### Sept. 4

**The Fructidor Coup** was established by emergency legislation forced through the councils with the support of the military. Paris occupied as the Triumvirs (directors Barras, La-Révellière-Lépeaux, and Reubell) instigated the Directorial Terror, pushing the Revolution left again. Deported members of the opposition included Carnot and Barthélemy. 10



## Sept

**The press freedoms** were suspended according to the constitution. Right-wing newspapers were closed, and a stamp tax on the press was introduced (Sept. 30 and Oct. 4). 11

## Sept. 30

**Bankruptcy of the Two-Thirds** repudiated two-thirds of the national debt. 12

## Oct. 17

**Treaty of Campo Formio** between Austria and France concluded Austria's involvement in the War of the First Coalition. It allowed Austria to annex Venetian territories and secured French support for Austria's efforts to gain control of Salzburg and Bavarian territory around it. Austria ceded Belgium to France and secretly agreed to support French annexation of the left bank of the Rhine from Basel to Andernach. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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### 3. The Napoleonic Period, 1799–1815



#### THE HOUSE OF BONAPARTE



#### NAPOLEON'S EMPIRE 1812 (MAP)

##### a. The Consulate

1799, Nov. 9 (18 Brumaire)

**The Coup d'État of Brumaire.** Sieyès and Roger-Ducos resigned from the Directory, and Barras then resigned under duress. The Directory could not function with only two members and was disbanded. Sieyès and Roger-Ducos, supported by Napoleon and his brother Lucien Bonaparte (president of the Council of 500), convinced the councils to name Sieyès, Roger-Ducos, and Napoleon as provisional consuls and establish a commission to draft a new constitution.

*1*

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## **b. The First Empire**

**1804, May 18**

**Napoleon I** was proclaimed emperor of the French by the Senate and Tribunate; his rule<sup>1</sup> was consecrated at Paris by Pope Pius VII on Dec. 2 and ratified by plebiscite (3,572,329 in favor, 2,569 opposed). The imperial office was made hereditary by male line, with the emperor having the right to adopt the children of his brothers; if without heir, the crown would pass to his brothers. Napoleon immediately established a court and began the development of a new nobility, with many of the privileges of the old, but based on achievement instead of birth. Napoleon really revived the absolute monarchy but made it more modern and efficient. However, Napoleon concentrated his efforts on expanding and consolidating his empire through warfare and foreign policy.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## 4. Western and Central Europe, 1815–1848



EUROPE IN 1815 (MAP)

### a. Social, Cultural, and Economic Trends

#### **1. Economic and Social Changes**

**THE INDUSTRIAL REVOLUTION.** This was one of the most important changes in the history of humanity, altering patterns of life and thought. It meant a shift from an agrarian, handicraft, labor-intensive economy to one dominated by machine manufacture, the factory system, division of labor, a freer flow of capital, and the growth of cities. Yet industrialization did not affect all of Europe at the same time. This process began in the **mid-18th century in England** and gradually spread to the Continent. Significant industrialization could be found in Belgium and France by the 1820s, and in Germany and Catalonia by the 1830s. <sup>1</sup>

The long-term origins of industrialization had been building for centuries (See [Economic and Social Changes](#)). Chief among newer factors was a **population explosion** during the 18th century. This was due especially to a decline in mortality, the result of a cyclical decline in epidemic diseases, and, above all, the **introduction of new foodstuffs from the Americas**—particularly the **potato**. At the same time, partly due to new foods, **sexual activity** increased; rapid growth occurred in **illegitimate births**. From c. 1780 onward, **premarital sexual intercourse** increased particularly in the growing propertyless classes, both rural and urban, where traditional family and community constraints declined in force. **Sexual expression** became more important, though probably more for men than for women. In all, the nations of western Europe witnessed a population increase from 50 to 100 percent between 1730 and 1800. English population, for example, rose from approximately 5 million in 1700 to over 9 million at the end of the <sup>2</sup>

century. The resulting population pressure forced many people off the land and created a labor force for the new cities and factories. Population growth began to decrease slowly in the early 19th century as birth rates began to decline, especially among the middle classes.

The short-term causes of industrialization also included a **number of inventions in key industries, accompanied by changes in finance, which spurred further change**. The first series of inventions resulted mainly from the tinkering of craftworkers and inventors and required very little capital. **John Kay's** flying shuttle (1733), **James Hargreave's** spinning jenny (1768), **Richard Arkwright's** water frame spinning machine (1769), and **Eli Whitney's** cotton gin (1793) all revolutionized the cotton industry by allowing for increased production and profits, while decreasing the costs of production. Finally, with the substitution of water power and later steam power (developed by **James Watt** in the 1770s) for human energy, these inventions made it more economical to group workers together around large machines than to send out work to individual workers. This spelled the end of the putting-out system and the rise of the **factory system**. This series of changes, especially the invention of the steam engine, spurred similar developments in the iron industry (the production of quality wrought iron by the 1780s) and in transportation (growth of the railroad) and communication (See [Technological Developments, 1800–1914](#)).

As industrialization developed, investment became more important. In Britain, wealthy merchants and landlords provided most of the investment capital, but banking remained a risky venture. This changed with the laws of **incorporation** and **limited liability** (passed in 1844 in Britain, and in France, Germany, and the United States in the 1860s). Incorporation allowed companies to be treated as individuals before the law, giving them a juridical existence long after the founders had either died or sold their shares. Limited liability protected investors and thereby promoted investment, establishing a system whereby investors were liable for the corporation's debts only in proportion to the number of shares they owned.

Because this first phase of industrialization was gradual, the **social transformation** that accompanied it developed alongside an older social structure. Thus, those who felt the **most severe hardships** from industrialization, at least psychologically, were the **artisans, craftworkers, and rural laborers** who saw the value of their work decline. It was these groups that took the fore in the social and political revolutions that swept Europe in 1848 (See [Revolutions in Europe, 1848–1852](#)).

Industrialization created two new social groups: the **middle classes** (or bourgeoisie) and the **working classes** (or proletariat). Similarly, each developed in a new setting: the city. Both groups were diverse. The middle classes ranged from shopkeepers to bankers and factory owners, but they shared common beliefs in the virtue of work, thrift, ambition, and caution. The working classes of the first half of the 19th century can be broken down into three categories: **artisans, factory workers, and female domestic servants** (the

latter grew in proportion as they became a status symbol in middle-class households). **Industrial cities**, most unplanned, dirty, and unsafe, made conditions difficult for workers, but many devised strategies that made survival possible. For example, in factories, wives and children became economic assets so many factory workers married, or entered conjugal relationships, at a younger age than artisans, and had more children on average. Workers also developed a popular culture that suited their new conditions. At the same time, middle-class leaders began holding their children apart from work and moved their wives from shops to household domesticity. Adult women's economic roles began to decline as their cultural prestige, as mothers and moralizing agents, increased. Overall, however, poor living and working conditions remained the rule, exacerbated in the 1840s (the **hungry forties**), and they contributed to discontent.

Although these developments signified major changes in European life, it is important to remember that up to 1848 Europe remained overwhelmingly rural, and artisans retained an important position in the working classes. Change was more dramatic after 1850, when aspects of the new industrial society that had developed alongside the older agricultural society became more widespread. (See [Economic and Social Changes](#))

Approximate Population, in Thousands, 1700–1846

	<i>1700</i>	<i>1750</i>	<i>1800</i>	<i>1846</i>
United Kingdom	8,635	10,012	14,997	27,220
France (boundaries of 1819–46)	23,600	24,600	27,800	35,400
Spain	7,250	8,600	10,480	12,650
Portugal	1,739	2,662	3,420	3,940
Italy (boundaries of 1910)	11,500	13,150	16,900	21,200
Belgium	1,610	2,150	2,960	4,350
Holland	1,100	1,460	1,795	2,505
Norway	587	705	1,050	1,325
Sweden	1,640	1,790	2,340	3,340
Denmark	665	745	845	1,400
Prussia (boundaries of 1846)	5,100	6,420	8,880	15,300
Russia (without Finland)	—	—	31,000	—

Population of Europe, in Thousands, 1850–1910

	<i>1850</i>	<i>1865</i>	<i>1880</i>	<i>1910</i>
United Kingdom	27,201	29,925	34,623	44,915
France	35,630	38,020	37,450	39,528
Spain	—	15,920	16,859	19,540
Portugal	—	—	4,551	5,958
Italy	—	24,950	28,211	34,377
Belgium	4,426	4,984	5,520	7,422
Netherlands	3,001	3,510	4,049	5,904
Norway	1,392	1,690	1,909	2,353
Sweden	3,462	4,092	4,572	5,499
Denmark	1,422	1,694	1,969	2,702
Germany (boundaries of 1871)	35,310	39,545	45,093	64,568
Austria	17,629	19,650	22,075	28,427
Hungary	—	—	15,697	20,793
Switzerland	—	2,630	2,839	3,735
Russia in Europe (without Finland)	60,000	74,800	85,200	142,500
Finland	1,629	1,835	2,047	3,093
Bulgaria	—	—	2,008	4,317
Romania	—	4,133	4,546	6,966
Serbia	—	1,186	1,724	2,916
Greece	—	1,395	1,702	2,600

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov. 20](#))

## b. [European Diplomacy](#)

**THE CONGRESS SYSTEM**, masterminded by Prince Metternich, rested on the Peace of Paris, the Holy Alliance, and a renewal of the **Quadruple Alliance** (Nov. 20, 1815) between Great Britain, Austria, Prussia, and Russia. Each member agreed to supply 60,000 men should a violation of the Treaty of Paris be attempted. This alliance, signed for a 20-year term, was renewed in 1834. The Quadruple Alliance also established the main tenet of the Congress System—**government by conference**. <sup>1</sup>

### 1818, Sept

The first congress under this system, **Aix-la-Chapelle**, settled the question of the French indemnity payments and the withdrawal of the allied troops in France. The **Quintuple Alliance**, including the four powers of the Quadruple Alliance and France, was established, and questions of slave trade and the status of Jews were raised. This congress was followed by two more: <sup>2</sup>

### 1820–21

Congresses at **Troppau and Laibach** were called to consider the revolutions in Spain and Italy (See [1820](#)) (See [1820, July 2](#)). Metternich induced the three eastern powers to accept the **Troppau Protocol**, which directed against revolutions that might upset the peace. England refused to sign the protocol, marking the growing distinction between British laissez-faire liberalism and the German conservatism. This division was stressed further at the Congress of Verona. <sup>3</sup>

### 1822, Oct



**The Congress of Verona** considered the Spanish and Greek situations. Canning, who replaced Castlereagh after the latter's suicide on the eve of the meeting, refused to cooperate with the conservative powers.

4

### 1831, Nov. 15

Treaty ratified the London Protocol of Jan. 21, which recognized Belgian independence and placed Leopold I on the throne (See [1831, June 4](#)). It also recognized an independent Greek state, as stipulated in an earlier conference protocol (1829–30) (See [1831, June 4](#)). Belgium was also declared neutral in 1831.

5

### 1834–39

**The Carlist War in Spain** (See [1834–39](#)) threatened to depose Queen Isabella and the constitutionalists. A **Quadruple Alliance** of Britain, France, Spain, and Portugal defeated the Carlists in 1839.

6

### 1841, July 13

**Convention of the Straits.** This convention closed the Straits (the link between the Black Sea and the Mediterranean) to warships, provided that the Ottoman Empire remained at peace. It thus benefited British naval power at the expense of Russian power because the latter lacked access to the Mediterranean from the south. (See [European Diplomacy, 1848–1914](#))

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1811, Feb. 5](#))

### **c. The British Isles**



#### **THE HOUSE OF SAXE-COBURG-WINDSOR (1837-)**

**Monarchs:** George III (r. 1760–1820); George IV (r. 1820–30), who served as prince regent from Feb. 5, 1811; William IV (r. 1830–37); and Victoria (r. 1837–1901). 1

**Prime ministers:** Tories: Lord Liverpool (1812–27), Canning (1827), Lord Goderich (1827–28), and the duke of Wellington (1828–30); Whigs: Earl Grey (1830–34), Lord Melbourne (1834); Tories: Sir Robert Peel, a liberal Tory, laid out a liberal Tory course in the Tamworth Manifesto (1834–35); Melbourne (1835–41); and Peel (1841–46). 2

### **1. England, Scotland, and Wales**

**Romanticism** developed in England during and after the French Revolution and included authors such as Wordsworth (1770–1850), Coleridge (1772–1834), Percy Bysshe (1792–1822) and Mary (1797–1851) Shelley; and painters such as Joseph Turner (1778–1851) and John Constable (1776–1837). Leading novelists included Walter Scott (1771–1832) and Jane Austen (1775–1817). 3

**Economic depression** followed the Napoleonic Wars. Government demands for merchandise fell without a compensatory expansion of continental markets. Prices fell and unemployment rose. Military demobilization and industrialization aggravated the latter. 4

**Corn Laws** outlawed the import of grain until domestic grain reached the “famine price” of 80 shillings per quarter. This law resulted in higher food prices for the working classes. 5

## 1816, March

**Abolition of the 10 percent income tax** was countered by raising duties on many articles and thus raising prices. **Deflation of currency** (May 1821) may have helped counter these increases to a limited extent. 6

## 1817

**David Ricardo** published his *Principles of Political Economy and Taxation*. Drawing on **Malthus's *Essay on the Principle of Population*** (1789), which argued that population would increase geometrically while food would only increase arithmetically, Ricardo argued that such population growth could only result in a large supply of labor and keep wages at a subsistence level. 7

## 1812–20

**Luddism**. Northern England was wracked by numerous incidents of machine breakings perpetrated by the apparently fictional **Captain Ludd** and the **Luddites** (1812–20). The Luddites drew their strength from traditional crafts, particularly cropping and framework knitting. Participants disguised themselves and called one another by code names to avoid identification. The government mobilized troops and planted spies within the movement. 8

The unsatisfactory nature of economic reforms and continuing economic hardship led to **radical activity** on two fronts. Master artisans such as **Francis Place** and reformers such as the factory owner **Robert Owen** sought parliamentary reform and advanced their ideas in radical journals and tracts such as his *New View of Society* (1817), which called upon factory owners to provide for the well-being of workers through moral and practical education in regulated factory towns. **Radicals** also appealed to workers in mass meetings, with speakers such as **Henry Hunt and William Cobbett**. 9

## 1816, Dec. 2

At **Spa Fields** one such mass meeting turned into a riot.

10

## 1819, Aug. 16

**Peterloo Massacre.** Local magistrates ordered the cavalry to arrest Hunt as he addressed a crowd at St. Peter's Fields. The cavalry charged the crowd, killing 11. The Tories, under **Lord Liverpool**, extended the act of 1798 against seditious meetings and temporarily suspended the *writ of habeas corpus*. <sup>11</sup>

## Dec

**The Six Acts** following Peterloo ensured speedy trials for misdemeanors, imposed a newspaper stamp tax (and thus required all newspapers to be registered with the government), extended the right of search and seizure, forbade training in the use of arms, and curtailed the right of public meeting. These acts gained passing acceptance after the discovery of the Cato Street conspiracy. <sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1810](#))

## **d. [The Low Countries](#)**

### **1. The Kingdom of the Netherlands, 1814–1830**

#### **1814, June 21**

**Protocol of the Eight Articles**, concluded between William, prince of Orange, and the allied powers, created a unified kingdom of the Netherlands, which incorporated Belgium and Holland. This kingdom was to serve as a buffer against France. The prince of Orange became King **WILLIAM I** (r. 1815–40) on March 16, 1815. 1

#### **1815, April**

A Dutch-Belgian commission began to work on a **constitution** that would appeal to the Dutch tradition of republicanism and the Belgian desire for a constitutional monarchy. The result was a bicameral legislature consisting of a Chamber of Notables, appointed by the monarch, and a States General, indirectly elected by urban administrations and electoral colleges. 2

**Problems of providing unity:** (1) Different languages, French and Flemish in the south and Dutch in the north, split the country; (2) religious differences caused division between the Calvinist Dutch (William I was a Calvinist) and the Catholic Belgians; (3) economic and social problems differed in their origins. The Dutch economy was based on a declining trading network, which resulted in pauperization in urban areas. The Belgians were beginning to industrialize and thus experienced pauperization in the countryside. Domestic manufacturing in textiles declined. But mines and metallurgical factories had developed around Liège. A British industrialist, **William Cockerill**, employed 2,000 workers in machine building as early as 1812. 3

## 1819, Sept. 15

The government decreed that, after a transitional period, Dutch would be the only language used in the law courts. 4

**Economic policies**, sometimes considered mercantilist, sought to combine the interests of trade and industry. Belgian goods were to be sent on Dutch ships to the colonies, where they would be traded for products to be sold by Dutch merchants in Europe. 5

## 1822

A **compromise tariff** set the average import duty at 10 percent, and the establishment of the **Société Générale**, a bank for industrial and government credit, furthered heavy industry by providing necessary financing (1822). 6

**Schools** were thought to be the ideal place from which to unify the nation. The government concentrated on establishing and controlling primary schools. The primary system succeeded in lowering illiteracy and, because instruction was in Dutch, reinforcing the national language. The rapidly developing bourgeoisie in the south resisted change within the secondary school system because of the emerging humanist and anticlerical attitudes of the government. 7

## 1825

A **royal decree closed all “Latin schools,”** including the *petits séminaires* and other church schools. Bishops were also required to admit to the *grands séminaires* only students who had completed their secondary education at a public school. Facing opposition from the south and declining enrollments, the government repealed all legislation regulating secondary education but maintained the primary system in May 1830. 8

## 1828, July

The two Belgian parties (the Clericals and Liberals) united after a concordat with the pope gave the king the right to veto elections of bishops and the government introduced a restrictive press law. The two parties called for freedom of press, instruction, and worship, and for ministerial responsibility. 9

## 1829–30

A **hard winter** worsened an economic situation in the south already difficult because overproduction had resulted in rising unemployment and bankruptcies. 10

## 1830, Aug. 25

**THE BELGIAN REVOLUTION** began when workers, spurred on by revolution in France, rioted and attacked the homes of government officials in Belgium. The liberal bourgeoisie, following violent **fighting between workers and troops** (Sept. 23–26), established a provisional government. 11

## Oct. 4

**Belgium declared independence.** 12

## Oct. 27

**The Dutch bombarded Antwerp**, which led to a conference of powers in London. These powers ordered an armistice. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov. 20](#))

## e. [France](#)



### [THE HOUSE OF BOURBON-ORLEANS \(1700-\)](#)

#### 1. [The Restoration Monarchy](#)

**Monarchs:** Louis XVIII (r. 1814–24) and Charles X (r. 1824–30).

1

#### [1814, June 4](#)

**The Charter** recognized the principles of liberty, equality, property, and freedom of religion, although Catholicism was declared the state religion. The government consisted of a hereditary monarch, a Chamber of Notables nominated by the king, and an elected Chamber of Deputies. Suffrage was extended to men at least 30 years old who paid 300 francs in taxes. These qualifications gave substantial voting power to the upper middle classes and large landowners.

2

#### [1815, Aug 14, 21](#)

**Parliamentary elections** yielded a large majority of ultraroyalists, who passed a series of reactionary legislation.

3

#### [Oct. 29](#)



**Law of public security** permitted the government to arrest individuals suspected of plotting against the state's security. 4

## Nov. 9

**A law against seditious speeches and writings** strengthened the gag on the press established on Aug. 8. **An amnesty law** exiled individuals arrested for their involvement in Napoleon's One Hundred Days. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [June 7](#))

## f. [The Iberian Peninsula](#)

### 1. Spain



#### [THE SPANISH BOURBONS \(1814-\)](#)

**Monarchs:** Ferdinand VII (r. 1814–33) and Isabella II (r. 1833–68).

1

### 1814–33

**Ferdinand VII** was restored to the throne following the Peninsular War. He had guaranteed the liberals that he would govern on the basis of the constitution of 1812, but, encouraged by conservative deputies known as the Persians, he repudiated the constitution (May 4) and arrested the liberal leaders (May 10).

2

**Economic hardship** occurred as a result of the loss of the American colonies, and postwar depression plagued the government. The government also suffered from a very unstable fiscal base, which left it skirting bankruptcy.

3

**Liberal suppression** and the arbitrary nature of the king's rule led to growing dissatisfaction evidenced in the development of secret societies, such as the Masons, and clubs. Popular radicalism also began to develop in response to unemployment, a yellow fever epidemic, and flooding, which increased the hardships of the poor.

4

### 1820

The army, confident of support from the liberal and radical camps, began the **revolution** with a mutiny of the troops under **Col. Rafael Riego**. The liberals seized control of the

5

government while the army held the king. The liberals adopted a policy of broad economic and political reforms begun by the Cortes, a bicameral legislature. **They reinstated the constitution of 1812**, decreed the conversion of uncultivated and Crown lands into private property, and incorporated into the state the assets of the monasteries and convents dissolved by the Cortes. They also banned emigration, believing that economic progress could be achieved only by keeping people in the country. Dissension between liberals and radicals, as well as within the liberal party, weakened the government, which proved unable to withstand the French military intervention after the Congress of Verona (See [1822, Oct](#)).

### 1823, Aug. 31

**The Battle of Cádiz** ended the revolution and reinstalled Ferdinand as king. Ferdinand revoked the constitution and all legislation enacted under the short-lived liberal government. 6

### 1823–33

**Financial and economic policies** provided for some cautious economic advances. The government introduced tariffs to protect Spanish agriculture and industry in 1825 and established a primitive version of a stock exchange in Madrid. It also staged an industrial exhibition in 1828 and sought to provide enlightened education for its subjects. 7

### 1833, June 30

**Ferdinand set aside the Salic Law** to assure the succession of his infant daughter Isabella. The king died on Sept. 29. 8

### 1833–68

**Isabella II**, represented by her mother, Maria Christina, who turned to the liberals for support and granted the Estatuto Real. 9

### 1834, April 10

The **Estatuto Real** divided Spain into 49 administrative provinces and provided the Cortes with financial power, but retained for the government the right of dissolution and control of the ministry. The constitution split the liberals into the Moderados, liberals who had been amnestied and helped to design the constitution, and the Progresistas, liberals whose amnesty occurred after the constitution and demanded a restoration of the charter of 1812.

10

## 1834–39

**The Carlist War.** Don Carlos, Ferdinand's brother, claimed the throne and, supported by the conservatives, the church, and the north, led a revolt. The Carlists were defeated with the help of the **Quadruple Alliance** of Britain, France, Spain, and Portugal (See [1834–39](#)).

11

## 1840, Oct

**The Revolt of Gen. Baldomero Espartero** forced Maria Christina to abdicate and flee. Espartero controlled the government until he was defeated by a coalition of Moderados and Progresistas (June 1843). **Isabella declared of age at age 13.**

12

**Economic and political liberalism** dictated government policy during the war. The government created a ministry of development (Ministerio de Fomento) and sold the uncultivated and Crown lands as had been planned during the Revolution of 1820. The government also declared labor free and abolished the guilds.

13

**Working-class and urban unrest** were stimulated by liberal policies in Catalonia and the destruction of guilds. In Barcelona, working-class radicalism centered on a group of journalists and artisans who met in Soler's clock shop. Their frustration was worsened by the textiles mechanization in the 1830s and 1840s, which resulted in periodic layoffs and piecework disputes.

14

**The Barcelona Commission of Factories**, which had previously adopted a radical stance, began to demand state protection for their industries but resisted efforts to provide protection for the workers.

15

**Industrial and agricultural development** proceeded throughout the 1830s and 1840s. Spain increased its production of foodstuffs, especially wheat and wine. It also provided the industrializing nations of France and Britain with metal ores such as copper, mercury, lead, and iron. As a result, the mining industry expanded, especially after the mining law of 1839. The government helped encourage industry in its ports by prohibiting the importation of ships in 1837. Industry remained hampered by transport

16

difficulties, although railway development did begin with a special government dispensation in 1829.

## 1845, May 25

**A new constitution** virtually reestablished the statute of 1834.

17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1814, April 20](#))

### **g. [The Italian States](#)**

After 1814, the Congress of Vienna placed Italy under effective Austrian control in exchange for the latter's loss of Belgian territory to Holland. Lombardy and Venetia were annexed to Austria, and nine new or revived states were created: kingdom of Sardinia (Piedmont), Modena, Parma, Lucca, Tuscany, Papal States, kingdom of Naples, republic of San Marino, and Monaco. 1

**Restoration in Italian government.** (1) **Habsburg Italy** (Lombardy and Venetia): Francis I appointed his brother, Archduke Rainier, as viceroy and established two congregations as consultive bodies to the absolute control of the viceroy. In many ways, the government followed the Napoleonic legacy. It confirmed the sale of church lands and the imperial nomination of bishops. It also retained the majority of the civil servants in place during the Napoleonic period. (2) **The kingdom of the Two Sicilies** (as of Dec. 8, 1816): Ferdinand united the kingdom of Naples and Sicily into the kingdom of Two Sicilies, and he became Ferdinand I of the Two Sicilies. He maintained an absolutist government under the direction of his leading minister, Luigi de' Medici. Medici attempted to combine absolute government with fair taxes and good administration. His policies were hampered by pressure applied by France and Great Britain, which resulted in a decrease in tariffs by 10 percent for goods carried on French, British, and Spanish ships. (3) **Papal States**: Pope Pius VII returned after a long exile and restored the Company of Jesus. Under his secretary, Cardinal Consalvi, he managed to recreate a strong administration and establish a bureaucracy on the French model. Pius was assisted by general Catholic revival and **ultramontanism** but also met with resistance from laymen who were excluded from the government. (4) **Modena**: Francis IV of Modena, under Austrian suasion, abolished Napoleon's legislation and purged the civil service. (5) **Piedmont**: Victor Emmanuel I of Piedmont restored, as much as possible, the previous Piedmontese regime, including religious intolerance, return of the Jesuits, customs barriers, and the restoration of guilds. (6) **Parma**: Maria Louisa of Parma and the infanta Maria Louisa of Bourbon-Parma owed their thrones to Austria and heeded the wishes of Metternich. 2

## 1816–18

**Famine.** This famine was worsened by the restoration of guilds in Piedmont and the establishment of interior and exterior tariffs. Italy also suffered because its people, especially in the south, depended heavily on subsistence agriculture, and so, when crops failed, had little money to purchase from abroad or supplement their harvest. An outbreak of typhus swept through Italy during the famine. 3

**Agricultural development.** Traditional agriculture dominated the Italian economy. The rising rural population forced families onto marginally productive land, and these families turned to cottage industry to supplement their incomes. Nonetheless, certain crops and regions, particularly the Po Valley, did experience growth. The development of raw silk farms helped fuel the silk industry in France. 4

**Industry.** Little industrialization occurred in Italy until after 1848, although the numerous fast-moving streams provided sites for some factories, and cottage industry expanded. Since the government did not encourage the development of the railroads, Italy did not generate capital-intensive industries. 5

**Urban development.** Little urban growth took place. Urban society was characterized by a sharp economic disparity between a small number of wealthy families and a large number of petty traders, artisans, and the poor. Living conditions within cities were bad for the majority. 6

**Secret societies. The Carbonari** (charcoal burners), who supported a republican form of government, grew rapidly in the early 19th century. They were the first post-1815 group to channel the liberal and nationalist sentiment that had grown during Napoleon's conquests and the reorganization of Italy. The Carbonari borrowed Masonic rituals. The growing concern over pauperization and falling prices combined with the rising tide of nationalism to result in a number of Italian revolutions. 7

## 1818–26

**Fall in prices.** Prices on agricultural produce fell after the famine as a result of an influx of wheat from Russia, more advanced agricultural techniques abroad, and the freedom of trade created as a result of the end of the Continental System. This fall in agricultural prices led to a rise in pauperism and forced marginal peasants either to emigrate or to supplement their incomes through cottage industry. 8

## 1820, July 2

**The Neapolitan Revolution.** Encouraged by the news from Spain, the Carbonari in the army led a revolt under **Gen. Guglielmo Pepe**. This revolt involved moderate landlords and members of a middle class concerned, among other things, with the lot of the poor. Ferdinand promised a constitution (July 15) but was restored to his former position as a result of Austrian intervention under the Troppau Protocol (See [1820–21](#)).

9

## July 15–16

**Sicilian Revolution.** Spurred by the Neapolitan Revolution, economic crisis, and resentment toward conscription and administrative reforms, craftsmen and workers rose in Palermo and demonstrated a violence toward the army not experienced in Naples. The moderates in Naples as well as the newly restored government united in a harsh repression of the Sicilian Revolution.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1813](#))

## **h. Switzerland**

### **1815, March 20, 29**

The **Congress of Vienna** laid down the principle of the perpetual neutrality of Switzerland. A constitutional convention drew up a new federal pact, which established a Diet with restricted powers and required the vote of two-thirds of the cantons to ratify any act. Thus, the Swiss cantons maintained their autonomy within the new Swiss government. 1

**The Political Institute**, established as a law school in 1806, became a major rallying point for liberals within Zürich. These liberals criticized the government and gained support from newspapers within the city. They advocated a constitutional form of government and drew support from a number of newspapers. 2

### **1816–17**

**Economic hardship** hurt Swiss industry because it could not compete, initially, with England. The Swiss, however, benefited from their general policy of free trade, which enabled them to purchase relatively cheap grain from Italy and the Ukraine. 3

**Industry.** The Swiss had a long tradition of cottage industry in textiles, which had flourished under the continental blockade. Unable to compete with England, they worked to obtain the necessary technology to mechanize their industry. They were also able to muster the necessary capital because of the strength of their other industry, watchmaking, which provided abundant capital and low interest rates by the early 19th century. 4

## 1823

**Swiss cantons restricted the press** under pressure from the foreign powers. 5

## 1828–48

The “Era of Regeneration” was marked by liberal revisions in the constitutions of several cantons. 6

## 1830, Nov. 22

**Snell's Küsnacht Memorial** was accepted at a public meeting in Zürich by acclamation. 7  
It reiterated basic liberal freedoms and established an electoral system that gave the countryside two-thirds of the votes and the city one-third. This meeting led the leaders in Zürich to establish the **Constitution of 1831** based on Snell's principles. Zürich also began construction designed to make traffic through the city much easier and to destroy the visual distinction between city and countryside. This new construction helped to fuel a growth in the building industry.

## 1832, March 17

**The Siebener Concordat.** The liberal cantons joined together to guarantee their new constitutions. This act was followed by an effort to revise the federal pact in the direction of a stronger central government. The conservative cantons responded by concluding an alliance (League of Sarnen) to maintain the Pact of 1815. 8

## 1834, Jan. 20

The struggle over the federal pact became a religious quarrel when the liberal cantons adopted the Articles of Baden, which supported freedom of worship and secular education. 9

**Social change.** The development of industry in Switzerland corresponded to a renewed development in agriculture. Textile mills were located not in huge cities, but in smaller communities where abundant labor could be obtained from the surrounding countryside. 10

## 1839

**Economic hardships** developed as the result of the failure of harvests and a crisis within <sup>11</sup> the cotton trade. These hardships seem to have provided the spark for escalation of the clashes between conservatives and liberals and, in Zürich, led to a bloody battle in the streets between peasants supporting the conservatives and the Zürich military and liberals. The conflict brought down the Zürich liberal government.

## 1845, Dec. 11

**THE SONDERBUND.** The seven Catholic cantons—Lucerne, Uri, Schwyz, <sup>12</sup> Unterwalden, Zug, Freiburg, and Valais—replied to organized armed bands of the liberal cantons by concluding a league (the Sonderbund) for the purpose of protecting their interests. This league would clash with the liberals in the ensuing struggle for a new constitution in 1847 and 1848. (See [Switzerland](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1790–92](#))

## i. [Central Europe](#)



[CENTRAL EUROPE, 1815-1866 \(MAP\)](#)

### 1. Germany

#### 1815

**The “Metternich System”** dominated Germany and Austria during the first half of the century. Metternich and Austria were challenged for control in Germany by Prussia, though this challenge would become especially apparent in the second half of the century. The **Germanic Confederation** created by the Congress of Vienna had as its object the continued internal and external peace of Germany and the independence of the 38 member states. A Diet sat at Frankfurt-on-the-Main, organized into two assemblies and presided over by Austrian representatives. It was a diplomatic Diet, and as such the representatives were instructed by their respective countries. <sup>1</sup>

Prussia, the major hope for liberals and potential counter to conservative Austrian control of central Europe, suffered from financial difficulties and the continued strength of the Junkers (Prussian landowners who controlled large amounts of the eastern territories). <sup>2</sup>

**Land reforms.** The gradual emancipation of the serfs, which began in Prussia during the Napoleonic era, continued, but it benefited the large landholders (Junkers) far more than it did the serfs. <sup>3</sup>

**Agricultural change.** The development of a number of societies devoted to agricultural <sup>4</sup>

progress and the expansion of the amount of land under cultivation resulted in the production of a larger number of vegetables and other products to balance out grain production. Unlike grain, which required heavy cultivation in the spring and fall but little work during the summer, the vegetables demanded constant attention. As a result, women became engaged in farming year round.

**Bourgeois and working women.** Bourgeois women's lives focused on their homes and social causes often associated with church. These women employed servants, many of whom were single women, from farm laborers' or poor artisans' families. These poorer women had few choices; although they could attend mandatory schools in Prussia, they had no formalized instruction preparing them for a trade. They worked as servants, farm laborers, and occasionally as factory help, until they married; then they might work in home industries such as clothing production and cigar making.

**Economic development** began to accelerate in the 1830s and 1840s with the creation of railroads. Major firms in heavy industry and machine building were established by innovative manufacturers like **Alfred Krupp** (factory built in Essen, 1826). The demand for metals transformed the metal-making and coal industries and encouraged their concentration in a few especially rich fields. Despite such development, urbanization and industrialization moved at a slow pace before midcentury.

**Artisans** continued to maintain some guild practices such as insurance and burial benefits despite the gradual elimination of guilds in much of Germany. Since guild membership was no longer required to produce crafts, many journeymen set up their own shops. Artisans and other members of the working class remained unorganized for the most part because of repressive legislation.

## 1815–19

**The *Burschenschaften*.** Universities became the centers of the liberal movements as students organized in liberal societies. One such society, the Blacks, followed the lead of **Karl Follen** and advocated a unified Germany and liberal government but supported violence, if necessary, to reach these ends.

## 1816

An **edict** qualified the right of ownership of land. All those eligible to own land had to have the resources to support a team of animals to work the land. The gradual outcome of land reforms and demographic growth was the continued fragmentation of peasant landholdings and the impoverishment of German agricultural workers who then became involved in cottage industry.

## 1817, Oct. 18

**Wartburg Festival.** Students burned papers listing reactionary leaders. Growing concern among conservatives mounted when Karl Sand, an unstable follower of Karl Follen, stabbed to death August von Kotzebue, a reactionary journalist and lecturer. Some liberals supported Sand's actions, but Metternich and Frederick William of Prussia agreed to the Carlsbad Decrees. 10

## 1818

**Tariff reforms** by Prussia abolished internal tariffs but maintained external tariffs. They were followed by the introduction of a class tax (1820), which established different rates of taxes for four classes of individuals. These two acts helped restore the finances of the Prussian government. 11

## 1819

**Carlsbad Decrees**, sanctioned by the Diet of the Germanic Confederation on Sept. 20, established strict censorship, demanded sovereign control of the universities, and organized an inquisition into secret societies. 12

Prussia also reinforced the legal position of the **Junkers** through a number of governmental reforms in the 1820s, which secured the Junkers' control of local and Prussian elections. 13

## 1830

**The July Revolution in Paris** (See [1830](#)) led to several outbreaks in Germany directed largely against the bureaucracy. Rulers were forced to abdicate in Brunswick, Saxony, and Hesse-Cassel, and new constitutions were adopted in all of these states and in Hanover. In 1832, 25,000 attended the **Hambach Festival** and toasted Lafayette. They demanded a republic and German unity and resolved to adopt both peaceful methods and armed revolt. 14

## 1831

A **cholera epidemic**, spreading west from Russia, struck Germany.

15

## 1832

**Amalie Sieveking** founded the **Women's Association for the Care of the Poor and the Sick**. This organization sent bourgeois women into the homes of workers and lower-middle-class families to instill their own values of cleanliness and virtue on the lower classes. Bourgeois women became especially concerned about the conditions of the poor through such associations and through church organizations such as the Rhenish-Westphalian Association of Deaconesses, which, in 1836, began training Protestant nurses.

16

## June 28

Metternich, disturbed by renewed liberal and radical activity, orchestrated the Germanic Confederation's adoption of the **Six Articles**, which reasserted absolute sovereign authority and the sovereign's obligation to defend that right. In July the Diet also enacted additional repressive measures, including the prohibition of all public meetings and surveillance of suspicious political characters.

17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1814, Jan. 14](#)) (See [1814, Jan](#))

## **j. [Scandinavia](#)**

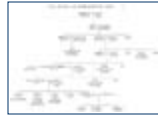
**Regions.** Scandinavia consists of the five geographical regions of **Denmark, Norway, Sweden, Finland, and Iceland**. Following the Napoleonic Wars, these five regions were controlled by three different governments. **Sweden controlled Norway**, but it had relinquished **Finland to the Russians** (1809). **Denmark controlled Iceland**. Denmark also controlled **Schleswig-Holstein** despite continued efforts within the latter to gain independence and join the Germanic Confederation. <sup>1</sup>

**Economics.** All five of the Scandinavian countries remained **largely agricultural** during the first half of the 19th century; however, their products and their means of produce varied. **Finland** concentrated on the production of grains for the European market. **Norway** continued to face difficulties with backward farming methods. At the turn of the century, much of Norwegian land was farmed without crop rotation, and Norway did not represent a major exporter of foodstuffs. However, following the repeal of the British Navigation Acts in 1840, Norway became a major exporter of timber for British industry. **Denmark** managed to maintain steady growth in agriculture. Industry, however, remained limited because it produced primarily for a home market. **Sweden** experienced growth both in agriculture, which it encouraged through government reforms, and in its only major industry, iron production. The latter suffered from a lack of coal and poor transportation. <sup>2</sup>

**Scandinavianism.** The early part of the 19th century saw both the growth of nationalism and the development of a sense of collective nationalism among the Scandinavian countries. Scandinavianism, or an interest in cooperation among Scandinavian countries, first developed in academia. **Students** from the various universities began to participate in steamship trips together. Whereas the Finnish students suffered suspensions as the result of their activities, Denmark and Sweden were marked by growing cooperation. In 1828, a **Danish steamboat** first entered the Swedish harbor of Malmö and, in 1839, **scientists** from throughout Scandinavia met in Gothenburg. (See [Scandinavia](#)) <sup>3</sup>

### **1. Sweden and Norway**





## THE HOUSE OF BERNADOTTE (1818-)

**Swedish Monarchs:** Charles XIII (r. 1809–18), Charles XIV John (Bernadotte, (See 1810) (r. 1818–44), and Oscar I (r. 1844–59).

4

### 1814, Jan. 14

**Treaty of Kiel.** Denmark ceded Norway to Sweden. Sweden sold the island of Guadeloupe to France and thus eliminated its national debt. However, an unfavorable balance of trade resulted in inflation, followed by a reaction and deflation. As a result, agricultural prices first rose and then fell sharply, hurting farmers.

5

### May 17

**Norwegian constitution adopted.** The constitution established a Storting, or legislative assembly, which met as a body in the Lagting. The Lagting then elected one-third of its members to the Oedlsting, thus dividing the Storting into two houses. The Lagting was elected by men who owned a house or farm, had 300 dollars, or rented a farm for at least five years. The constitution also guaranteed certain rights.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1847–48](#))

## 5. [Revolutions in Europe, 1848–1852](#)

**Causes.** Between 1848 and 1852, revolutions rocked most of western and central Europe with exceptions such as the Netherlands, Belgium, and Britain. The immediate cause was the economic hardship of 1846 and 1847. This hardship stemmed from the failure of the potato and wheat crops throughout much of Europe. The consequent rise in food prices drove demand for other products down and thus hurt the emerging industrial sectors as well. In addition, cholera spread through Europe in 1848 and 1849. Early industrialization strengthened the middle classes, who embraced liberalism and nationalism. Industrial developments also threatened the livelihoods of the many craftworkers who became instrumental in the early phases of the revolutions. Industrialization and economic hardships were not sufficient causes, however. Britain and Belgium, the most advanced industrial nations, avoided revolution by adopting liberal forms of government in the years preceding 1848 and expanding the franchise to include many of the industrialists and other members of the middle classes. The third factor, therefore, was a state that continued to resist liberal and nationalist reforms. <sup>1</sup>

**Chronology.** Unrest actually began in Italy and Switzerland, but historians usually consider the Parisian revolution first, because it sent the widest signals. The revolutions then moved to Austria-Hungary, Italy, and finally north through Germany. <sup>2</sup>

### a. [France](#)

#### 1847–48

**The banquets.** A series of political banquets (See [1847–48](#)) planned by Liberals and Republicans throughout France aimed at gaining support for opposition parties. The government let these banquets proceed until Feb. 22, 1848, when it stopped one <sup>3</sup>

scheduled in Paris that was to be preceded by a public procession. Students and workers gathered to march despite the prohibition. The police dispersed the marchers, but the workers and students began erecting barricades throughout Paris. The National Guard joined the cause, and the revolutionaries controlled Paris by Feb. 24. They chose a red banner as their flag—a banner that came to represent the left wing of the Second Republic.

### 1848, Feb. 23

The king appeased the middle class by replacing conservative prime minister Guizot with Molé, but revolutionaries in Paris continued to mount the barricades.

4

### Feb. 24

Faced with continued activity in Paris, Louis-Philippe replaced Molé with Thiers, abdicated in favor of his grandson the comte de Paris, and fled Paris. The comte's mother, Hélène Louis of Mecklenburg-Shwerin, was dissuaded from showing herself and her children to the people and instead went before the Chamber of Deputies. Many of the rioters had entered the chamber and called for the comte to be dethroned. As a result, a provisional government was chosen and a republic proclaimed. The romantic poet **Alphonse-Louis-Marie de Lamartine** dominated the right wing of the government, and **Louis Blanc**, a socialist, dominated the left wing.

5

**Workers' demands.** The economic hardships of the 1840s had left many people without employment. Workers and the socialists demanded that workers be guaranteed the right to work, the right to a minimum wage, and the right to be provided for in the case of illness and old age.

6

### Feb. 25

The government recognized the **right to work**, the right to a living wage, and the right of workers to organize.

7

### Feb. 26

**National Workshops** were decreed to provide work or relief to all the unemployed.

8

## Feb. 27

Following abortive attempts to overthrow the provisional government and place a Paris commune in its stead, the government attempted to appease demands that they adopt the red flag as an indicator of their commitment to democracy by declaring the **tricolor** of the Revolution of 1789 the national flag and ascribing to the belief in liberty, equality, and fraternity.

9

## Feb. 28

**The Luxembourg Commission** was established by the provisional government under the direction of Albert (a worker) and Blanc to develop a permanent plan for the organization of labor. The Luxembourg Commission had little authority and suffered from a lack of staffing and funding. It managed to produce a “General Survey of Works,” which never received a first reading within the government. The failure of the commission to gain any real attention from the government resulted in the resignation of Albert and Blanc (May 8), who had represented the workers' concerns in the provisional government.

10

**Women.** The year 1848 saw the proliferation of women's political newspapers. These newspapers generally connected women's rights with workers' rights by focusing on the many women in France who worked. Both women and workers failed to gain their objectives in a revolution dominated not by democrats and socialists but by liberals.

11

## April 23

The **elections to the national (or constituent) assembly**, which was to give France a new constitution, were a victory for the moderate Republicans (**Lamartine**) with some 500 seats; the left wing (**Louis Blanc**) had fewer than 100; the Legitimists (seeking the return of the Bourbon line) had about 100; the Orléanists (supporters of the fallen dynasty of Louis-Philippe), about 200.

12

**Social legislation.** The provisional government had abolished sweated labor (March 2) and reduced workers' hours to 10 per day in Paris and 11 per day in the provinces. It also set up free labor exchanges in town halls and stopped work projects in prisons and barracks because the latter were considered to be in competition with workers.

13

Perhaps the biggest piece of social legislation was also the most flawed—the **National Workshops** were inundated with the unemployed, who were attracted by the promise of

14

2 francs per day when they worked and 1½ francs when they did not. They were organized along military lines and put to work two days per week. The strict discipline and hard, often pointless labor, inflicted in the workshops led to worker demonstrations, including a riot on May 15. Not only artisans but also some factory workers participated, marking a change in the social base for urban political protest in France.

## June 21

The government abolished the workshops. As a result, many workers in Paris participated in the June Days Rebellion. 15

## June 23–26

**THE JUNE DAYS REBELLION.** The workers set up barricades while Gen. Louis Cavaignac, in charge of the army, became dictator pro tempore. Cavaignac waited until he had mustered all of his troops in Paris, including reinforcements from the National Guard from outside Paris, to march on the barricades rather than take each barricade down as it was being erected. Cavaignac's strategy inflicted heavy casualties but also cleared the streets of Paris. 16

**Reaction followed the June Days.** The government repealed the limitations on working hours, adopted legislation regulating the press, suppressed secret societies, and dictated rigid control for clubs and political associations. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1844](#))

## **b. [Hungary](#)**

### **1848, Feb. 29**

The news of the French revolution reached Pressburg and instilled a **financial panic** among merchants, who recalled the failure of the Bank of Vienna in 1789 and 1830. *Pesti Hirlap* reported that shops were refusing to accept bank notes, and on March 5, a crowd tried to exchange their bank notes for silver at the state bank in Buda. <sup>1</sup>

### **March 3**

**Kossuth**, in a speech in the Diet, **denounced the Vienna system** and called for a constitution for Hungary that would establish authority in the representatives of the people. <sup>2</sup>

### **March 15**

The youth of Budapest met in Pest to demonstrate in support of **the twelve points** drafted by radicals. The points included a responsible government, freedom of the press, and equality before the law as well as national claims for a Hungarian national bank, a national army, and the formation of a national guard. The twelve points were accepted by the municipal council, which established the Committee of Public Order. Separately, Croats organized a national committee demanding a government autonomous from Hungary. <sup>3</sup>

## March

**The Pressburg Diet** responded to the Hungarian revolutionaries at Pest with moderate reforms. The Diet abolished forced labor but maintained many other manorial rights. Count Batthyány established a government that included both Kossuth and Széchenyi. 4

**Austrian challenge.** Austria notified Batthyány that it wanted to maintain control of Hungary's finances. The Committee of Public Order called a meeting and demanded that, if Vienna refused to ratify the March Laws, it would form a provisional government in Pest. Vienna recognized the Hungarian government at once. 5

**The Committee of Public Order** mirrored the feelings of the middle classes and peasants. The middle classes had armed themselves in preparation for the continuation of the revolution, and the peasants had freed themselves of manorial obligations without waiting for resolution from Vienna. Vienna, having been defeated in Italy and struggling to maintain control in Bohemia, conceded to Hungarian demands. 6

## Sept

Vienna attempted to regain control of Hungary. The emperor revoked his acceptance of the March Laws. The Vienna government attempted to establish a puppet government under Baron Nicholas Vay. Gen. Count Lamberg, at Pressburg, was given full powers to dissolve the Hungarian Assembly, but he was killed by a popular uprising (Sept. 28) before he could read the act of dissolution. 7

**War** between Hungarian nationalists and portions of the Hungarian army under Kossuth, and the Viennese army, started with the escalation of Austrian troops crossing the Drave on Sept. 1. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [1842–44](#))

### **c. Austria and Bohemia**

#### **1848, March 11**

Prague meeting drew up **Twelve Articles of St. Wenceslas**, demanding Czech-German equality in education and government service. 1

#### **March 13–14**

Students in Vienna marched to the Landhaus to present a petition after hearing Kossuth's speech read aloud. The crowd reached the Hofburg where the Diet sat and, when the guards would allow only the delegates in, began to spread throughout the streets and squares surrounding the Hofburg. Alarmed by their large numbers, the authorities fired on the crowd in an effort to clear the area. Meanwhile, workers had been prevented from entering the city. They burned several factories and looted shops in protest. 2

#### **March 15**

**the emperor summoned the Diet** to begin consideration of a constitution. 3

#### **April 8**

Czechs obliged Vienna to promise a Bohemian constitutional assembly. Revolutionary movements also took place in Galicia, Moravia, and elsewhere. 4



## April 25

The new government, under Pillersdorf, published a **new constitution**. The new constitution provided for a bicameral legislature with a Senate composed of both life members and members elected by the great landowners and a Chamber of Deputies elected by voters who met a high property qualification, thus limiting the vote so that workers would not be directly represented. Women could not vote.

5

## May 9

A **new electoral law**, passed in response to demonstrations, enabled the lower middle class and the peasants to vote but excluded workmen who were paid by the day or the week, domestic servants, those receiving public assistance, and all women.

6

## May 14

The government dissolved the Central Committee, formed by students and members of the National Guard during March.

7

## May 15

**The Storm Petition** (Sturmpetition). Students, workers, and the members of the National Guard marched to the Hofburg and demanded that the government establish universal adult male suffrage, that the army be called up only at the request of the National Guard, and that parliament consist of a single chamber. The government promised to revise the constitution. **The emperor and his family fled to Innsbruck.**

8

## May 26

The government retrenched and ordered the **dissolution of the University Legion**, and the troops ordered the National Guard to stand down. As a result, barricades went up throughout Vienna, and the workers and National Guard came to the students' aid. A committee of safety controlled Vienna during the following months.

9

## June

The **first Pan-Slav Congress** (composed, however, almost entirely of Czech delegates) <sup>10</sup> met at Prague under the presidency of **Francis Palácky**, the eminent Bohemian historian and national leader. It proclaimed the solidarity of the Slavic peoples (as against the Germans), but stressed also the equality of all peoples, and proposed a European congress to deal with outstanding international problems.

## June 12

The Princess Windischgrätz, wife of the commander of the forces at Prague, was <sup>11</sup> accidentally shot and killed during a student demonstration. **Prince Alfred Windischgrätz**, who favored strong repressive measures, seized this opportunity to bring up reinforcements.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1846–47](#))

### **d. [Italy](#)**

Italy's revolutions, which began to take shape before the Paris rising, proceeded against two interrelated problems: (1) Austrian dominance in northern Italy, and (2) the demand for liberal, political reform. Because Italians viewed the conservative government as linked to Austrian influence, the middle classes found support for the revolution among nobles as well as among the working class. The latter suffered from the devastating harvests of 1846–47 and the increases in prices that accompanied them. 1

#### **1846, June 15**

**THE ELECTION OF PIUS IX** increased liberal activity because of his liberalism. Liberals organized banquets and demonstrations and demanded the organization of a civic guard, which they saw as the first step toward armed resistance against the Austrians. 2

**Piedmont. Charles Albert**, influenced by liberal nobles such as Camillo di Cavour, eased press censorship and revised the police system (1847). He then expanded his army (Jan. 1848) and, on Feb. 13, 1848, yielded to liberal demands—he promised to create a civic guard, gave the government a two-chamber parliament, and lowered the price of salt. 3

#### **March 4**

**Constitution (Statute)** promulgated, the basis for the later constitution of the kingdom of Italy. The king also appointed Cesare Balbo as prime minister, and Balbo began preparing for war against Austria. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1845, Dec. 11](#))

### e. [Switzerland](#)

**RADICALISM** had spread in Switzerland on the heels of the conservative limitations of the press. Radical exiles who fled their own countries often set up print shops in Switzerland and even imported radical literature. The Swiss cantons were divided by the Sonderbund (See [1845, Dec. 11](#)), which reinforced the religious distinctions between the Catholics and the Protestants and proved to be the catalyst for the revolution. <sup>1</sup>

#### 1846, Oct. 7

**Revolutionaries in Geneva** installed a new government. They had gained control following a bloody revolution within the city under the leadership of **James Fazy**. The revolutionaries established barricades and, with the assistance of Catholics from the countryside, overthrew the government. The revolutionary government gave the canton a **new constitution** (1847), which included liberal demands such as freedom of education and election of members to the State Council. <sup>2</sup>

#### 1847, Jan

Diplomats from the conservative powers of Austria, Russia, and Prussia left Berne. <sup>3</sup>

#### July 20

The Federal Diet **dissolved the Sonderbund** after a radical victory in St. Gall gave the Diet the necessary majority. This move resulted in a protracted struggle between Catholic and radical cantons. <sup>4</sup>

## Nov. 4

**The Diet declared war on the Sonderbund**, with Gen. Dufour in command of the army. <sup>5</sup>  
In less than a month, the Catholic forces had been defeated, and the Swiss Diet could establish a government on the basis of liberal and radical ideas.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1847, Feb. 13](#))

## f. [Germany](#)

Germany faced many of the same problems that Austria and France did. Economic hardship and rising prices had hurt the urban poor and working classes while manorial dues continued to hamper economic growth in the east. Political disunity came under repeated attack with the growing wave of German nationalism, which focused on the German-speaking peoples and sought to unify them in a single country. 1

**Industrial and agrarian unrest.** In March and April 1848, artisans and workers employed on the railroads and waterways began to resort to violence in an effort to gain their demands. Workers and crowds in cities broke machines, refused to allow steamships to take on cargo once carried by local boatmen, and attacked and destroyed the Taunus Railroad (April 5). Artisans such as printers organized strikes and demanded higher pay. Especially in the south, the peasantry rose against manorial dues by looting and burning, which especially targeted ownership records. 2

**Southern Germany.** Spurred by the rising in Paris, demonstrations and assemblies in Baden, from late February onward, drew up liberal demands, to which the duke conceded. In Bavaria, the liberals forced the king to abdicate in favor of **Maximilian II.** Baden, Württemberg, and Saxony all included liberal ministers in their governments in an effort to appease the rising tide of revolution. The southern constitutional governments met in Heidelberg and decided to call a national meeting of liberal notables. This decision laid the groundwork for the Frankfurt Parliament. 3

### 1848, [March 6](#)

In an effort to avoid revolution, Frederick William IV promised to call the Prussian Landtag at intervals and revised the press law (March 8). 4

### [March 10](#)

**Street demonstrations began in Berlin**, which led to a skirmish between the demonstrators and the army in an effort to drive the crowd from the palace square. The artisans and students who made up the crowd erected barricades. Following the street fighting, the king decided to grant concessions.

5

### March 17–21

**Frederick William declared in favor of a federal *Reich***. The army, patrolling the palace gardens in anticipation of the announcement, fired on the crowd, which forced Frederick William to withdraw the troops. On **March 19**, the Civic Guard, instead of the army, began policing Berlin, and the government made an effort to restore order in Prussia. Prussian municipalities were authorized to substitute direct taxation, from which the workers were exempt, for duties on cereals, and the city governments established work projects. Censorship was abolished and a **United Landtag** called (**Vorparlament**).

6

### March 31

**A preliminary parliament** opened at Frankfurt-on-the-Main. This parliament, faced with the difficulty of deciding between the radical and liberal programs, chose the latter by refusing to place the radical program on the agenda. The parliament then laid the groundwork for the election of a national assembly. Although the preliminary parliament claimed to support universal male suffrage, the final resolution gave the vote to every “independent” male over age 30. The inclusion of the criterion of independence gave the states a means of excluding the working class.

7

### April 7

**The Diet of the Confederation** sanctioned the resolutions of the preliminary parliament.

8

### April 15

Prussia, in an effort to encourage economic recovery, passed a **bank law**, which created issuing banks backed by the public treasury.

9



## May 18

**Frankfurt Parliament convened.** Its delegates, selected under limited suffrage, largely represented the German middle classes. <sup>10</sup>

## May 22

**Prussian National Assembly convened.** The assembly was supposed to cooperate with the government in creating a constitution, but the majority of the delegates took their task to be that of a constituent assembly. The Prussian National Assembly had a stronger left than did the Frankfurt Parliament. The government under Rudolf Camphausen fashioned its own draft of the constitution along the Belgian model. The assembly countered with its own draft, with democratic leanings. <sup>11</sup>

## June 2–4

**The Assembly of Delegates of the North German Handicraft and Industrial Class** meeting in Hamburg called for an artisans' conference to meet in Frankfurt. A committee met to prepare the address that declared the workers' disagreement with industrial freedom and their ability to attempt to solve the social problems. <sup>12</sup>

## June 11–14

Printers convened in Mainz and drafted a petition for presentation to the Frankfurt Parliament. The petition demanded regulations of economic concerns such as wages, use of machinery, and employment. <sup>13</sup>

## June 28

Archduke John of Austria was appointed provisional executive head, but no real government was set up. Long debates ensued over a rising against Denmark in Schleswig (March 24). <sup>14</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1841, July 13](#))

## **6. European Diplomacy, 1848–1914**

The period was marked by the unification of Italy and Germany, constant friction over the Balkans, and a policy of alliances that ultimately involved most of the European powers in one group or another. The effect of technical and industrial advance on warfare resulted in growing anxiety for security on all sides, and consequently to alignments for the event of war, which, in fact, tended to make war more likely. At the same time the expansion of European powers in Africa and Asia greatly extended the field of possible friction. 1

### **1849, June 17**

Russian troops entered Hungary and ended revolutionary action by Aug. 13. Minor conflict resulted from Constantinople's refusal to extradite the leader, Lajos Kossuth. 2

### **1850**

**The Don Pacifico affair.** Don Pacifico was a Moorish Jew, but a British subject. He held large claims against the Greek government, which he pressed with vigor until an anti-Semitic mob burned his house in Athens (Dec. 1849). The British responded with an **embargo on all Greek vessels** in the Piraeus and finally seized them (Jan. 1850). After abortive mediation by the French, the Greeks were eventually forced to comply (April 26). 3

### **April 19**

Britain and the United States signed the Clayton-Bulwer Treaty regulating their relations with regard to Central America. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Economic and Social Changes](#))

## **7. Western and Central Europe, 1848–1914**



EUROPE IN 1871 (MAP)

### **a. Social, Cultural, and Economic Trends**

#### **1. Economic and Social Changes**

**THE CONTINUED IMPACT OF INDUSTRIALIZATION.** As the problems of industrialization grew, Europe witnessed a concerted effort at **state building**. In nations like Germany, state building meant actual unification and the attempt at centralization in order to enhance economic productivity. In Britain, however, state building was geared more toward solving the social problems resulting from industrialization and urbanization. In all cases, governments became more involved in the daily lives of their citizens through obligatory primary education, military conscription, broad taxation, and social legislation. The result was an increase in state power (despite varying forms of government) and the further erosion of traditional ties to locality and region. 1

The mid-19th century also witnessed the **rise of consumerism**. Besides being emotional centers, families became centers of consumption. Furthermore, as industry began to look for wider markets, advertising developed. Industry no longer simply catered to a demand, it helped create that demand. This was most visible in the development of **department stores** designed to promote consumption. From the 1870s onward the rise of **kleptomania** reflected the growing psychological importance of consumerism. Society became more involved in the purchasing of goods than in the actual manufacturing of them. 2

With the increase in state administrations and the development of a service sector, the 3

European social structure grew to include new **white collar workers**. These workers held an ambiguous position in society; they balked at inclusion with the working classes and had educations that made them similar to the middle classes, yet they could not easily afford the lifestyle of the middle classes. In politics, as part of the **lower middle class**, they frequently played the role of wild card, opting for socialism in some instances, liberalism in others, and nationalism in still other cases. As such, they increased the ambiguities of class conflict.

The latter half of the 19th century also witnessed slower population increases than those of the beginning of the century. In France, where birthrates had begun to fall in the 18th century, depopulation was a major concern, especially after France's defeat in the Franco-Prussian War. By 1870, partly due to the increased availability of **birth control devices** (condoms, diaphragms), birthrates began to drop more widely in Europe among the working classes, as they had earlier among the middle classes. This, along with fewer restrictions on marriage, also contributed to a drop in the rate of illegitimacy, which had exploded between 1750 and 1850.

**Emigration** continued to reflect population growth, but now it issued more from southern and eastern Europe than from western Europe. The slowing of population growth and the radical decline in birthrates was matched, from 1880 onward, with a **rapid decline of infant mortality**. This **DEMOGRAPHIC TRANSITION** produced the modern demographic regime, with low birth and child death rates, larger families among the poor than among the middle classes, and a pronounced growth of the percentage of the elderly in the population as a whole.

Victorian attitudes toward sexuality loosened gradually from the 1870s onward. Sexual respectability was still vitally important for middle-class women, but some men became more open in their **use of prostitutes** and **indulgence of the sexual double standard**. Quietly, many middle-class married couples increased their **use of artificial birth control devices and accepted sexuality as pleasure**, not merely the basis for procreation. At the same time **definitions of homosexuality** became more rigorous from the 1870s onward. Medical and legal writings called new attention to homosexuality as a problem, prompting an unusual belief that people were either homosexual or “normal,” with no intermediate behavior; many homosexuals came to share this belief, which heightened their group identity. Famous trials and imprisonments, like those of the Irish writer Oscar Wilde between 1895 and 1898, reflected and furthered anxieties, particularly about male homosexuality.

Finally, by the end of the century, western Europe had become firmly industrial. Only southern and parts of eastern Europe lagged behind. **Urbanization** proceeded at an amazing pace; Paris's population increased from 2 million to 3 million between 1850 and 1914. For Berlin, the increase was from half a million to 2 million in a similar time period. Also, conditions began slowly to improve in the cities. Various reforms reduced the unsanitary conditions.

**THE SECOND INDUSTRIAL REVOLUTION.** More than the first, this new spurt of industrialization, falling roughly into two periods (1850–70 and 1890–1914), centered on new technology. No longer content to rely on the tinkering of inventors, industry began hiring engineers and chemists. Scientific research was applied to production, transportation, and communication. Technological advances (See [Science and Learning](#)) included new forms of energy (the internal combustion engine, the development of the electrical industry) and the creation of the chemical and petrochemical industries (the invention of synthetic dyes and chemical fertilizers). 8

One of the results of the second industrial revolution was the accelerated decline of artisans and the increase in the number of semiskilled factory workers. The latter became the majority of the working classes. Additionally, as machines made even more inroads into production, **women and children lost their places in the factories.** This, more than middle-class reforms, explains the increasing disappearance of women and children in industry. 9

With the **depressions of 1873 and the 1890s,** European industry also sought new ways to survive economic cycles of boom and bust. The depressions differed from previous cycles: they resulted from **speculative investment** and **overproduction** rather than harvest failures. The second industrial revolution thus saw the creation of **big business** (like the Krupps works in Germany). Using the techniques of vertical organization and horizontal integration, European industrialists formed **cartels** designed to control pricing and production. Industrialists also attempted new methods of **scientific management,** designed to streamline the production process and maximize profits. Boards of directors and professional managers and financiers replaced factory owners. In many nations this contributed to the development of a **new upper class,** consisting of industrialists, financiers, and aristocrats. 10

Besides cartels, industrialists tried to protect themselves by turning away from laissez-faire economics. They supported **government regulation** as a means of protecting industry. Thus, they sought government aid in the forms of tariffs, labor controls, and imperialism (which secured raw materials and new markets). 11

Government regulation did not always work in their favor, however. As suffrage was extended to include workers, governments became more responsive to their concerns. This was especially true with the advent of large **industrial unions** and the rise of **socialist parties.** Whereas early unions were organized around crafts and controlled by artisans, the persistent decline of artisans and the rise of big industrial complexes convinced working-class activists that only unions organized to include all the workers in one industry could counter the power of the industrialists. Such unions gradually acquired official recognition and had won important victories by the 1890s. 12

Feeling endangered by working-class radicalism, the middle classes, which had slowly acquired more power as the century wore on, began to address what they labeled **the social question** in earnest after 1870. Some of this concern was also generated by real 13

fears of national degeneration; many English men and boys were rejected for service in the Boer War, for example, because **malnutrition** had caused them to be physically unfit for military service. The result was a series of **social insurance laws**, although not all of Europe embraced this solution.

By 1914, then, Europe was an industrial society wherein big businessmen shared power with the aristocracy in a **new upper class**, while the working classes, having become more militant, were still viewed as a very real threat to the existing social order. The question remained of how to integrate workers in a manner that did not significantly alter middle-class comforts. (See [Economic and Social Changes](#)) <sup>14</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## b. [Britain](#)



### [DESCENDANTS OF QUEEN VICTORIA](#)

**Monarchs:** Queen Victoria (r. 1837–1901), Edward VII (r. 1901–10), and George V (r. 1910–36). <sup>1</sup>

**Prime ministers:** Lord John Russell (1846–52, Whig), Lord Derby (1852, Conservative-Peelite), Aberdeen coalition government (1852–55), Palmerston (1855–58), Derby-Disraeli coalition (1858–59), Palmerston until his death (1859–65), Lord Russell (1865–66), Derby (1866–68), Disraeli (1868), Gladstone (1868–74), Disraeli (1874–80), Gladstone (1880–85), Salisbury (1885–86), Gladstone (1886), Salisbury (1886–92), Gladstone (1892–94), Lord Rosebery (1894–95), and Conservatives, Lord Salisbury (1895–1902), Arthur J. Balfour (1902–5), Henry Campbell-Bannerman (1905–8, Liberal), and Herbert H. Asquith (1908–16, Liberal). <sup>2</sup>

## 1. [England, Scotland, and Wales](#)

**Economics.** British textile, coal, and iron industries continued to grow but not as rapidly as those of Germany and the U.S. Britain's role as the **leading industrial nation** became superseded by its role as **shipper and financier** in the latter part of the 19th century. Britain also allowed agriculture to decline rapidly, especially after the **Great Depression between 1873 and 1879**, in which agricultural prices plummeted under increasing competition from abroad and good harvests. <sup>3</sup>

**The Public Health Act** stipulated an annual death rate of 23 per 1,000 was unacceptable, but, despite improvements, Britain's death rate remained close to that figure in many cities.

4

## 1850

**The Factory Act**, along with another act in 1853, established a 64-hour workweek for all steam-powered factories and mandated that these factories close at 2:00 P.M. on Saturdays.

5

## 1850s

**Henry Mayhew** (1812–87), a journalist for *The Morning Chronicle*, wrote a series of articles entitled “Labour and the Poor” (1849–50), which appeared in the *Chronicle* and later under the title *London Labour and the London Poor*.

6

## 1851

**The Great Exhibition in London.** The exhibition displayed the most modern machinery and inventions in the glass and iron **Crystal Palace**. Conceived of by **Prince Albert and Henry Cole** (a civil servant), the exhibition spotlighted British superiority and ingenuity. The instigation of **shilling days** helped to calm middle-class fears about the participation of the working class, who, much to the former's surprise, behaved in an orderly fashion.

7

**Formation of the Amalgamated Society of Engineers (ASE).** The ASE is perhaps the earliest example of the **new model unionism** of the 1850s and 1860s. The new unions of skilled workers, including organizations for typographers, compositors, boilermakers, spinners, and weavers, were **well organized, national or amalgamated, and funded by dues collected and managed locally**. The unions practiced a policy of cautious bargaining and struck only as a last resort. Many workers began to accept **labor as a commodity**, exchanging less control over their skills in return for shorter hours and higher pay (**instrumentalism**).

8

## 1852

**The ASE strike** was followed by a **three-month lockout**. The engineers returned to work on the employers' terms but demonstrated both strength and persistence. 9

### 1853–54

**Cholera epidemic** in Britain. John Snow, a British doctor, demonstrated that the outbreak could be linked to the water supply. 10

### 1853

**Vaccination of infants made compulsory**. The law bolstered the 1840 Vaccination Act, and further acts in 1858, 1867, and 1871 stipulated various fines and terms of imprisonment for parents who failed to immunize their children. 11

### 1854–61

**The temperance movement**. An act of 1854 forbade the opening of public houses between 2:00 P.M. and 6:00 P.M. on Sundays except to travelers. An act in 1864 closed the London public houses between 1:00 P.M. and 4:00 P.M. These acts indicated the growing strength of temperance organizations. In 1861, the **Temperance Lifeboat movement**, dedicated to saving people from the ruin of drunkenness, began in Staffordshire. 12

### 1855

**The Nuisances Removal and Disease Prevention Act** allowed local authorities to obtain court orders for the removal of public health dangers at the expense of the property owners involved, if those owners refused to cooperate. 13

### 1854–55

**THE CRIMEAN WAR** (See [1853–56](#)) caused great hardship for British troops because of inadequate hospital care and lack of supplies due to poor preparation. **Florence Nightingale** and a group of other women became nurses at the front but were unable to 14

make up for the poor planning on the part of the military. As a result, more men died of illness than died in battle.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1847](#))

## c. [The Low Countries](#)

### 1. Belgium

**Monarchs:** Leopold I (r. 1831–65), Leopold II (r. 1865–1909), and Albert I (r. 1909–34). 1

#### 1850 Ff

**Doctrinaire liberalism** gained control in the government under **Charles Rogier**. **François Laurent** became the major theorist and argued that progress toward individualism was directed by God. *L'Économiste belge* served as the major periodical for the movement. 2

#### 1850

**An education bill** increased the number of state grammar and secondary schools, but allowed priests to offer religious instruction in these schools. Nonetheless, the bill met increasing opposition from the Catholics, and priests generally refused to offer such instruction. 3

**National Bank founded.** 4

#### 1852

**Walther Frère-Orban** adopted a strategy of free trade implemented through a series of bilateral trade treaties and by reducing duties on a number of items. 5

**The Rogier cabinet resigned** as a result of domestic crisis and the growing hostility of Napoleon III. Leopold I proved unable to establish a stable conservative government. The doctrinaire Liberals returned in 1857. 6

### 1854

**L'Affranchissement established.** Along with **Les Solidaires** (1857), it combined atheism with socialist ideas. Atheist organizations provided groundwork for socialism in Belgium throughout the 19th century. 7

### 1860, July 21

**Frère-Orban abolished cities' rights** to impose duties on wares brought into towns and established the **Crédit communal**, which provided state loans to municipalities on favorable terms. 8

### 1870, Aug. 9, 11

Treaties concluded among Britain, Prussia, and France guaranteed Belgian neutrality during the Franco-Prussian War. 9

### 1879, July 1

**An education act** secularized primary education. No public support was to be given to “free” or Catholic schools. The measure passed with Liberal support but estranged the Clericals. 10

### 1880, June

Clericals won a majority in the elections and replaced the Liberals in power until World War I. 11

### 1884, Sept. 10

**A new education law** gave public support for church schools in Catholic districts.

12

## 1885

**The Workers' Party founded.** It soon replaced the Liberals as the primary opposition to the Clericals.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov. 2](#))

## **d. [France](#)**

### **1. The Second Empire**

**1852, Jan 1**

**Louis-Napoleon (Napoleon III) became emperor** by decree of the Senate and by plebiscite. 1

**Jan. 14–15**

**The constitution of 1852** was signed. It concentrated power in Louis-Napoleon's hands. 2  
Louis-Napoleon steered France through moderate economic reforms. He sought mass support by providing for universal male suffrage and confiscating Orleanist estates. He utilized some of the money from these estates for charitable causes. However, his reign was plagued by rumors of assassination plans and attempts on his life.



(See [1846, Oct. 10](#))

## e. [The Iberian Peninsula](#)

### 1. Spain

#### 1851, March 16

A **concordat** with the papacy recognized the Catholic religion as the sole authorized faith and gave the church sweeping control of education and censorship. The papacy recognized the abolition of ecclesiastical jurisdictions and the sale of confiscated church lands. 1

#### 1852

A constitutional reform virtually eliminated the powers of the Cortes, established the dictatorship in law, and gave a camarilla financial oligarchy, or complete power. 2

#### 1854

**Revolution** began in the wake of the introduction of the self-acting mule (spinning machine) and of widespread unrest because of economic hardship culminating in a general strike (1854) among textile workers. Hostility toward workers' organizations increased, and they were suppressed after the revolution. Wheat prices rose due to the loss of supplies from Russia during the Crimean War and a famine in Galicia. **Gen. Leopoldo O'Donnell** overthrew the government, and the Cortes adopted a number of liberal reforms including a law confiscating church lands. Isabella threatened to abdicate, and **Gen. Baldomero Espartero resigned** (July 15, 1856) in favor of O'Donnell, who reestablished the constitution of 1845. **O'Donnell was dismissed**, and 3

two years of reaction followed. The revolution failed in some respects but did lay the groundwork for economic reforms such as railway expansion.

### 1856–63

**O'Donnell returned to power** and governed with the support of the Liberal Union, a party organized by him during the revolution. 4

### 1856

*The Economist*, a liberal periodical stressing laissez-faire economics, began publication. 5

### 1857

**Father Claret** came to Madrid to serve as the queen's confessor. He became the center of the political Catholic movement, seeking to counter rising anticlericalism. 6

### 1859

**A budget** created a base for financing public works by extending the disentailing laws. 7

### 1859–66

**Foreign policy** concentrated on maintaining and extending the empire. Spanish troops captured Tetuán in their successful **campaign against the Moors in Morocco** (1860). **Santo Domingo** was annexed but was relinquished after an insurrection on the island (1865). Spain joined France and Britain in **intervention in Mexico** (1861) and engaged in a dispute over the **Chincha Islands with Peru** (1864–65). **War with Chile** (1865–66) (See [1866](#)). 8

### 1863, Sept. 8

**Progressives boycotted politics** (the *retramiento*) as the government failed to incorporate them.

9

## 1868, June 22

In the **mutiny of San Gil**, artillery sergeants shot their officers in protest against exclusiveness of the officer corps and in response to democratic propaganda. O'Donnell ordered the death of 60 sergeants in the aftermath. The mutiny marked the disintegration of the government, which, after the death of O'Donnell, collapsed in revolution.

10

## Sept. 18

**Revolution** was declared by Adm. Juan Topete, followed by a manifesto by the liberal generals.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Aug. 28](#))

## **f. [Italy and the Papacy](#)**

### **1. [The Unification of Italy](#)**



#### **[THE UNIFICATION OF ITALY 1860-70 \(MAP\)](#)**

### **1848, March 4**

**King Victor Emmanuel** published the new **Piedmontese constitution**, which provided <sup>1</sup> for a Senate of life members appointed by the king, a Chamber of Deputies elected by limited, direct male suffrage (leaving power in the hands of the nobility and middle class), and a responsible ministry.

### **1850, March**

On the advice of Count Camillo Benso di Cavour, a leading liberal and founder with <sup>2</sup> Cesare Balbo of the periodical *Il Risorgimento*, Piedmontese premier Massimo d'Azeglio appointed Giuseppe Siccardi as keeper of the seals. Under Siccardi, laws abolished ecclesiastical courts, eliminated the right of asylum, limited the number of holidays, and restricted religious bodies' right to acquire real property.

### **April 12**

**Pope Pius IX** returned to Rome after his exile during the revolutions of 1848. Pius chose <sup>3</sup> to strengthen both the Catholic Church and papal control of it rather than accept opportunities for nationalist leadership.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1848, Sept. 12](#))

## **g. [Switzerland](#)**

**Economic development.** The Swiss federal government sought to standardize currencies and weights and measures, expand and regulate postal and telegraph systems, and encourage technological development. While attempting to assure greater federal control, the government continued to face difficulties because the federal system in Switzerland allowed each canton significant independence, including the creation of its own constitution. <sup>1</sup>

### **1848**

The canton of Glarus restricted men to a 13-hour workday, or 10-hour night shifts, and tried but failed to establish an intercantonal regulatory agreement. <sup>2</sup>

### **1849**

The role of the Swiss as mercenary soldiers in Europe ended as the **Federal Assembly forbade recruiting** in Switzerland on behalf of foreign powers and military capitulations in accordance with the new constitution. <sup>3</sup>

### **1852**

Following a review by English engineers, the Bund lost most of its authority over railway building. The railways became privately owned, and the miles of track grew substantially. <sup>4</sup>

### **May**

**The state took control of secondary education** in the canton of Ticino. The state abolished several religious institutions responsible for teaching and expelled the monks.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [March 28](#))

## **h. Central Europe**

### **1. Germany 1849–50**

After the failed 1848 revolution, **Frederick William of Prussia** and adviser **Radowitz** pushed for more German unity with loose ties to the Habsburg monarchy. A **Prussian Union** scheme (May 26, 1849) won agreement from several North German states, and a **National Assembly at Erfurt** (Oct. 19) was confirmed. Austrian opposition grew, however, and war threatened. <sup>1</sup>

### **1850, Nov. 29**

**Olmütz Proclamation.** The Prussian president, Manteuffel, and the Austrian prime minister, Schwarzenberg, agreed to joint action in Hesse and Schleswig (dispute between Elector and Parliament) and called for a conference to determine future action among German states. Liberals considered the proclamation a humiliating surrender of Prussian power, but most conservatives, including **Otto von Bismarck**, accepted it. It set the stage for the growing animosity between Austrians and Prussians over the *großdeutsch* and *kleindeutsch* question. The Prussian Union was abandoned and the old Germanic Confederation restored at a conference in Dresden. <sup>2</sup>

### **Dec.–1851, March**



A **Dresden conference** on German affairs. Revival of conservatism around the newspaper **Kreuzzeitung** (founded in 1848).

3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Scandinavia](#))

(See [1845](#))

## **i. Scandinavia**

**Relations among Scandinavian countries** played a major role in this period. A **declaration of neutrality** by Denmark, Sweden, and Norway (1853) opened all but seven ports to the warships of any belligerent. This act helped to secure the countries' positions within Europe by gaining French and British support against German claims on territories. 1

**Economics.** **Sweden** was perhaps the most advanced of the countries; its enclosure movement had created a large number of medium-size farms and encouraged more modern agricultural techniques. In **Denmark**, land reclamation in Jutland boosted the agricultural economy. Danish industry also was encouraged by such reclamation as well as trade outside Europe through organizations such as the East Asiatic Company. **Norway** also adopted modern agriculture as more and more land was turned into pasture for dairy cattle. The milk industry was supported not only by the increase in pasturage but also by the development of railways, which made transport of such products much easier. Norway also increased its exports of fish, wood, and metals as well as introducing some processing for these products prior to shipping. **Iceland** was constrained by Danish control, which Icelanders felt drained them of their profits. However, they increased exports of fish and other products from the sea, which in turn helped to boost their economy. **Finland** suffered the greatest hardships during this period as it continued to depend primarily on grain production and timber. Free trade with Russia between 1859 and 1885 did help to stimulate iron and cotton industries, but the reintroduction of tariffs made sustained growth in this area difficult. 2

**Society.** With the exception of Finland, all these countries suffered from a labor shortage due to emigration. (Between 1870 and 1914, 1.5 million Swedes emigrated.) This emigration helped to remove excess labor, which in turn meant that wages were high and rising. The scarcity of labor also helped Scandinavia to avoid the problems of urban centers such as London and Paris because the demand for housing did not increase dramatically and the agricultural nature of the countries meant that urban growth was not as rapid. Finland, although it remained primarily agricultural, suffered from rural 3

overpopulation, which depressed wages and led to hardship. (See [The Scandinavian States](#))

## 1. Sweden and Norway

**Revolutions of 1848** elsewhere resulted in King Oscar refusing to continue his support of liberal causes. Franchise reform was delayed until the 1860s. 4

### 1848

**Norwegian road building**, under the direction of Christian Vilhelm Bergh, began. Bergh managed to create roads in the mountainous terrain that maintained a constant grade. 5

### 1848–50

**THRANE MOVEMENT.** Joseph Thrane edited *Drammens Adresse*, a newspaper in which he demanded universal male suffrage and social reforms. 6

### 1849, May 5

*Arbeiderforeningens Blad* was founded by Thrane. This newspaper helped establish numerous labor associations, which gathered 30,000 signatures on a petition to the king. The government imprisoned Thrane until 1858. 7

### 1850

**Johan Sverdrup** was returned to the Storting by the Thrane movement. Sverdrup became a leading reformer in his “battle of the fifties.” He backed an amendment that helped **eliminate class favoritism** in the army draft system and stopped plans to **combine the Norwegian and Swedish regiments** in a union army. He supported an **amendment that increased the ratio of rural to urban representatives** from three out of four to four out of five. Sverdrup failed to pass legislation for a jury system because he lost the support of Søren Jaabaek, who was leading the farmer group in the Storting. 8

**Women's emancipation.** In 1854, a law gave women equal rights to inheritance. It was followed by an 1863 law that eliminated all vestiges of unmarried women's status as minors. The new realist school in the novel, committed to depicting life devoid of any embellishment, was anticipated by the Norwegian Camilla Collett's *The County Governor's Daughters*. This novel depicted the problems that middle-class women faced because of the pressure placed on them to make good marriages. 9

## 1859

**Karl XV ascended to the throne. Complete religious freedom established.** 10

## 1860

**Stadholder controversy.** Karl XV had promised to abolish the position of stadholder in Norway. However, the Swedes denied this demand and argued that the Norwegians were bound to the Swedes under the Act of Union (See [Nov. 4](#)). As a result, the Swedes claimed the right to amend the Norwegian constitution and act in Norway's best interest. Karl XV supported the Committee on Revision for the Norwegian constitution. **Norwegian nationalism** grew in this period; musical and historical collections were gathered, the **Young Norway Party** was formed by **Henrik Wergeland**. 11

## 1865–66

**Riksdag reform.** Engineered by **Louis De Geer**, prime minister, the reforms replaced the Four Estates with an annual two-chamber legislature elected by a common vote. The **Second Chamber** represented the common people, and thus suffrage was extended to all males at least 25 years of age who owned at least 1,000 riksdalers in real estate, rented farmland valued at 6,000 riksdalers, or had taxable income of at least 800 riksdalers per year. Each eligible voter could serve in the chamber, if elected, and had only one vote. The **First Chamber** had a more elaborate voting structure, which included all men who could vote for town and provincial councils but also had a system of plural voting for numerous enterprises. Women involved in those enterprises could vote. **Karl XV supported these reforms** because he recognized the great impetus for change within Sweden and because De Geer threatened to resign otherwise. 12

## 1870s

**Wave of strikes.** Trade unions had continued to organize in Sweden after the abolition of guilds in 1846. These organizations engaged in a number of strikes during the 1870s but to little avail. The paternalism of the employers resulted in scant progress for workers.

13

## 1872

**Oscar II ascended to the throne.**

14

## 1879

The problems of trade unions were emphasized by the **strike at Sundsvall**. Employers in Sundsvall planned to reduce wages in the sawmills. The workers demanded a restoration of their wages, and, when employers refused, they gathered in a nearby field to protest. The governor ordered them to return to work, but they refused. At this point, Oscar II deployed cannon and the military and telegraphed the governor. The workers returned without bloodshed, but their leaders were imprisoned as a result of the strike.

15

**Taxation and tariff reform.** Under Oscar II, Sweden reorganized its tax system. Taxes on land became less onerous under a compromise between conservatives and large landowners (1873), and numerous obsolete or cumbersome duties were removed between 1878 and 1911. Sweden enjoyed most-favored-nation status with France (1865), but it began to favor protectionism during the late 19th century. The Farmer's Party split, with the new party demanding protection and the old party continuing to support free trade. After a protracted struggle in the Riksdag, the government provided protection for grain and manufacturing interests in the last decade of the 19th century.

16

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1801, March 24](#))

## 8. [Eastern Europe and the Balkans, 1762–1914](#)

### a. [Russia](#)

**Population.** With a population of 36 million in 1796, Russia experienced enormous growth during the 19th century, reaching 125 million by 1897. The vast majority of these people were peasants, but urban areas also grew, especially with industrialization. 1

**Society and economics.** As Russia's market economy grew in the first half of the century, with rapid expansion of **grain exports** to western Europe, the gentry found its indebtedness increasing. This fact made many hostile to economic and social reforms, creating a situation in which reforms were often limited or highly qualified. Industrialization did nothing to ease these tensions. 2

**Culture.** The period 1820–80 is considered the golden age of Russian literature, producing artists such as Dostoyevsky, Chekhov, and Pushkin. As in politics, however, Russian culture retained a tension between Western art forms and ideas and a desire to establish distinctive Russian themes. For many this debate meant little—approximately 45 percent of Russians were illiterate in 1917, despite big literacy gains. 3

**Tsars:** Alexander I (r. 1801–25), Nicholas I (r. 1825–55), Alexander II (r. 1855–81), Alexander III (r. 1881–94), and Nicholas II (r. 1894–1917). 4

### 1801

Alexander I began his reign by granting an amnesty to political prisoners and exiles, abolishing torture, repealing the prohibition of foreign books, and so on. With a group of intimate friends (the *Informal Committee*: **Czartoryski, Kochubei, Novosiltsov, Stroganov**), Alexander discussed various reforms and the project of a constitution for Russia. Though the constitution was not introduced, the central government was reorganized, and **modern ministries** replaced the old “colleges.” 5

The right to own estates was extended from the gentry to all free Russians. 6

## 1803

A law was passed regulating the **liberation of the peasant serfs** of owners who desired to make the change. This was the first move of the government toward the abolition of serfdom. Further reforms were postponed because of the many wars in which Alexander became involved.

7

## 1804

Kharkov and Kazan Universities were founded.

8

## 1804–13

**War with Persia** (See [1804–13](#)) resulted from Russian annexation of the **kingdom of Georgia**. The Russians were victorious, and Persia recognized the annexation, besides ceding to Russia **Deghastan** and **Shemakha**.

9

## 1805–12

**Russian expansion in North America**. Forts were built in Alaska (occupied by Russian pioneers in the late 18th century) and even in northern California.

10

## 1805–7

**WAR OF THE THIRD COALITION** (See [1805](#)) against France. This ended in Russia's defeat and the conclusion of the **Treaty of Tilsit**, by which Alexander and Napoleon became allies.

11

## 1806–12

**War with the Ottoman Empire** (See [1806–12](#)). This was hurriedly concluded in 1812 by the **Treaty of Bucharest**, which gave Russia not only **Bessarabia**, but rather extensive rights in the Danubian Principalities. 12

## 1808–9

**War with Sweden**, through which Russia acquired **Finland**. Finland was organized as an autonomous grand duchy, with the Russian tsar as grand duke. Constitutional government was guaranteed to the Finns by a special act. 13

After these wars, Alexander resumed his reform schemes, with **Michael Speransky** as his chief counselor. 14

## 1809

An attempt to introduce civil service examinations failed. 15

## 1810

A **council of state** was established to draft new laws and watch over the legality of administration. The ministries were also reorganized, and a regular system of state budgets was introduced. Speransky presented a **plan for a constitution**, but it too remained unrealized. Opposition of the conservatives and personal disagreement with the tsar led to Speransky's downfall and temporary exile (1812). 16

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)



(See [1794, March 24](#))

## **b. [Poland](#)**

Poland in the 19th century is difficult to characterize, since it was split among three countries that developed differently. For the most important general social and economic trends, refer to the sections on Austria, Prussia, and Russia. Culturally, the overriding theme during this century remained, however, the reestablishment of an independent Poland and the best means of attaining that end. 1

### **1800**

Foundation of the Warsaw Society of the Friends of Science, which mixed national preservation with Enlightenment thought. Its most important work was the *Dictionary of the Polish Language*, published in 1806. 2

### **1807**

Napoleon and Alexander I of Russia created the **DUCHY OF WARSAW**, a constitutional state based on the French model, including the introduction of the Napoleonic Code. The Saxon prince, Frederick Augustus, became the duke. 3

### **1809**

**Polish-Austrian War.** The duchy of Warsaw gained new territory in the **Treaty of Schönbrunn**. 4

### **1815**

The Congress of Vienna (See [Sept. 15–1815, June 9](#)) accepted limited Polish autonomy through the creation of the **grand duchy of Posen (Poznan)**, under Prussian leadership; the **Congress Kingdom of Poland**, in permanent union with the Russian Empire; and the **Free State of Cracow**. Nationalist hopes remained pinned on the kingdom of Poland, where a **constitution** provided for a Sejm (parliament), a separate administration and army, and official use of the Polish language. Gen. Josef Zajoncdek (Zajaczek) was made viceroy, and Grand Duke Constantine became commander of the Polish army.

5

## 1816

University of Warsaw established.

6

## 1817

The first secret society, **Panta Kojna** (Everything in Common), was founded at the University of Warsaw. It was followed in 1820 by the more active Union of Free Poles. Students also founded secret societies at Wilno University, but, as in Warsaw, they did not last long.

7

Independent of student activity, military officers also formed secret patriotic societies such as the National Freemasonry Society in 1819, and the Patriotic Society in 1821.

8

## 1819

Russian tsar Alexander introduced censorship into the Congress Kingdom as his rule became more autocratic in Poland. He refused to call the Sejm between 1820 and 1825.

9

## 1822

The publication of **Adam Mickiewicz's** (1798–1855) first volume of poems marked the dawn of Polish romanticism. Mickiewicz's epics *Konrad Wallenrod* (1828) and *Pan Tadeusz* (1834) made him the movement's leader. Other romantic poets and dramatists included **Count Alexander Fredro** (1793–1876, comedies), **Juljusz Slowacki** (1809–49), and **Zygmunt Krasinski** (1812–59). After the November Insurrection, many of the brightest stars of Polish romanticism acquired fame in France, especially the

10

musician **Frédéric Chopin**.

## 1823

The **Prussian Settlement Decree**, abolishing serfdom (See [1815](#)), was extended to Poles in the grand duchy of Posen. In 1836, however, a royal decree restricted the earlier terms of the settlement to favor the landlords of Posen, retaining a system of large estates as elsewhere in Prussia. 11

## 1824

Polish and Russian revolutionaries reached a general agreement, but the Decembrist Revolt (See [Dec. 26](#)) of the following year was conducted without Polish support. Nevertheless, the Russian investigation unearthed this connection. The Polish government insisted that the suspects be tried by the Sejm, according to Polish law. In a mark of independence, all conspirators were acquitted of conspiracy and given short prison terms for membership in secret societies in 1828. 12

## 1828

**Ksawery Lubecki**, minister of finance, established the **Bank of Poland**, part of a state effort to increase industrial development (textiles, mining, ironworks). 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Balkans](#)



[THE BALKANS, 1878-1914 \(MAP\)](#)

#### 1. [The Balkan States](#)

The 19th century saw the **creation of most Balkan states**. The first national revolutions were not the product of European ideology, the revival of national consciousness among intellectuals, or the rise of an Orthodox merchant class, however, these all played an important role. The immediate cause was the breakdown of Ottoman central authority. In the face of increased brigandage, local governments organized and armed themselves, shifting loyalties and military balances. Moreover, despite general warfare in Europe, Balkan leaders always believed in the possibility of foreign intervention. After independence or autonomy was achieved, these states had to establish the trappings of the modern state. In most cases, divisions arose between advocates of Western-style parliament and partisans of autocratic rule. <sup>1</sup>

The Balkans remained overwhelmingly rural; **industrial development was slow**. Faced with the cost of administration, many Balkan states ran high foreign debts. They were not alone, for as capitalism grew, so did peasant indebtedness. This contributed to a growing chasm between town and country, which would color future developments. <sup>2</sup>

Each of the Balkan nations experienced **cultural revival**; nationalist goals were often tied to linguistic and cultural development. Governments fostered this through the creation of educational systems, yet the bulk of the Balkan population remained illiterate throughout the 19th century. <sup>3</sup>

By the end of the century, the map of the Balkan Peninsula showed a number of new nations. The result was not simply national development, however. The creation of <sup>4</sup>

national identities directly countered the Ottoman millet system, which had allowed various ethnic communities to rely on their own local leaders. The creation of new nations alongside areas of mixed ethnicity like Macedonia resulted in increased antagonisms and instability.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## C. The Middle East and North Africa, 1792–1914

### 1. Overview

The start of the 19th century marks the conventional beginning of modern Middle Eastern and North African history. The region entered a **new course of development** under the **overpowering shadow of Europe**, which increasingly shaped its domestic and international affairs. <sup>1</sup>

By 1914 large parts of the region, including Egypt, Cyprus, Aden, and all of North Africa, had been **occupied by European imperial powers**, primarily Britain and France; the states of the Persian Gulf had accepted one form or another of **British protection**; and Iran and Afghanistan were subject to extensive Russian and British **interference in their internal affairs**. European powers had also helped the Balkan lands shake off Ottoman rule, which was virtually terminated in Europe after a presence of some 500 years. <sup>2</sup>

The looming European threat spurred a dramatic **process of modernization** initiated by regional rulers (primarily in Istanbul and Cairo) in the beginning of the 19th century. Modeling their efforts on Western methods and institutions, they proceeded to **reorganize their armies and centralize their administrations**, and then expanded into new spheres of **social and economic reform** that created European-inspired legal codes, land tenure systems, municipal institutions, secular schools, and public health measures. With the aid of European capital they also promoted **improvements in infrastructure** (irrigation works, roads, railways, telegraph lines, and steam navigation). Governments grew bigger and assumed new social functions, although the ambitious rush to develop led, by the mid-1870s, to the **bankruptcy** of the treasuries of the Ottoman Empire, Egypt, and Tunisia, all of which had defaulted on large loans taken from European bankers. **European financial and political controls** established in the aftermath restricted both the expenditures and sovereignty of regional governments. <sup>3</sup>

Government efforts to modernize were part of a broader **opening up of the region to** <sup>4</sup>

**Western influences.** Newspapers, modern schools (most of them private and communal), translated works, and direct contact with Europeans introduced segments of the public to **new modes of thought**. European dress and architecture spread, especially in the cities. Slavery was abolished, a feminist movement began to emerge, ideas of nationalism and constitutional government took root, and Islamic religious institutions came under attack.

By 1914 the encounter with Western civilization had provoked **serious soul-searching** and questions about the future direction of society. Thinkers tried to explain why a once-flourishing Islamic civilization had become inferior to Europe and how the region could rejuvenate itself. Between those who advocated opposition to Western ways and supporters of wholesale imitation of them, a group of thinkers emerged who sought ways for the region to modernize without being untrue to its own traditions. Many of them were associated with the **movement of Islamic reform**, which supported modernization in the framework of a reformed Islam more suited to the needs of society.

Dramatic transformations occurred also in the demographic and economic spheres. The region's **population increased** during the period between two and three times, from roughly 28 million to about 66 million (in the Middle East from 21 to 54 million, in North Africa from 7 to 12 million). **Improvements in public health and the disappearance of the plague** brought the beginnings of sustained population growth in both city and countryside (the rural population remained at 75–80 percent).

This demographic revolution was accompanied by **economic expansion**. The region's **foreign trade** grew several times as Europeans purchased larger quantities of its agricultural products and found in it ready markets for their mass-produced finished goods. The Middle East and North Africa became **incorporated into the European-dominated world economy**, with a number of mixed results: the colonial pattern of exchange undermined the region's self-sufficiency; there was a large-scale **shift to cash crops** in some areas (such as cotton in Egypt and silk in Lebanon); many local textile workers unable to compete with **cheap European imports** were thrown out of business; **coastal cities** like Beirut and Alexandria, the new contact points with Europe, grew rapidly while the interior cities declined in economic importance; and local **non-Muslim merchants** backed by European favors benefited from the new opportunities at the expense of Muslim traders.

**Agriculture**, which remained the main sector of the economy, also experienced marked growth. Improved security and irrigation, investments by landowners, and increased demand all helped to expand the cultivated area and agricultural output. Through new laws, large tracts of state land were converted into freehold and came mostly into the possession of **a class of wealthy urban landowners**. Much capital went into land but not into **modern industry**, which was still barely existent in 1914. Manufacturing remained organized around artisanal workshops even as the traditional **guild system was disappearing**, its functions taken over by government and the market. Overall, income and wealth increased, but **the benefits were very unevenly distributed**. (See [The Middle](#)

## East and North Africa, 1914–1945)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1807–8](#))

## **2. The Middle East and Egypt, 1796–1914**



### **a. The Ottoman Empire**

#### **1. Beginnings of Modernizing Reform**

**1808–39**

**SULTAN MAHMUD II.** In Nov. 1808, just months after his accession, Mahmud faced a **revolt by the Janissaries**, who forced him to abandon plans to create a new army, and in addition killed his reform-minded grand vezir, Mustafa Bayrakdar Pasha. This experience, and the unhappy fate of his predecessor Selim III, prompted the sultan to prepare cautiously for the eventual **destruction of the Janissaries**. A set of decisive actions he took marked the **true beginnings of modernization in the empire**. In addition to creating a **new army** and **restoring central control** in many provinces, he began the **reorganization of the state based on European ideas** of the rule of law, conciliar bureaucracy, and equality of the subjects. <sup>1</sup>

**1812–20**

**Reassertion of Istanbul's control in the Balkans and Anatolia.** Mahmud used political pressures and military expeditions to remove rebellious governors and local notables from their hold over large parts of Anatolia and the Balkans, which were brought under his direct rule. In western Anatolia the central government **eliminated several of the rural notables known as valley lords** (*derebeys*) who ruled over autonomous hereditary principalities, including the Janikli family in the area of Trabzon (1812–13), the Chapano lu family around Ankara and Amasya (1814), and the Karaosmano lu family in the area of Aydin (1816). The last of the valley lords was subjugated in 1866 when a military <sup>2</sup>

expedition removed the Kuchuk Alio lu chiefs in the area of Adana.

## 1813

**Reassertion of Istanbul's control over the province of Aleppo**, after a crackdown on the local Janissary corps and the execution of many of its leaders. 3

## 1815–17

**The Serbian revolt.** In April 1815, two years after the Ottomans suppressed the uprising of Karageorge, a second revolt broke out under the leadership of Milosh Obrenovich. In 1817, Sultan Mahmud conceded a **degree of autonomy to the Serbs** (See [1817](#)), recognizing Milosh as the prince of Serbia and allowing the Serbs to have their own national assembly and army. The Ottomans continued to maintain their governor in Belgrade as well as their garrisons. 4

## 1821

**First appearance of cholera in the empire.** Numerous subsequent epidemics hit the region well into the 20th century (7 between 1821 and 1850). The **estimated mortality** in various cities was 1–4 percent, with higher rates of 6–10 percent among the poor segments of the population. Mecca suffered the highest recorded mortality rates, with cholera epidemics wiping out as many as 10–15 percent of the Muslim pilgrims (the city had 23 epidemics between 1831 and 1912). The **bubonic plague disappeared** in most parts of the region by the 1840s, and cholera took its place as the leading scourge. 5

## 1821–23

**War with Iran**, provoked by border incidents. The Iranians pushed successfully into Anatolia, but agreed to peace after an epidemic ravaged their troops. The **Treaty of Erzurum** (July 28, 1823) reaffirmed the Treaty of 1746 with minor boundary changes in favor of Iran. Provisions were made for the release of the confiscated property of Iranian merchants in Istanbul and for the entry of Iranian traders and pilgrims into Ottoman lands. 6

## 1821–30

**THE GREEK WAR OF INDEPENDENCE** (See [1821–31](#)). A **revolt against Ottoman rule** in the Morea in March 1821 spread quickly to the Greek mainland and islands, and a Greek assembly declared independence. The Ottomans solicited the **assistance of Muhammad Ali of Egypt**, whose disciplined troops subdued Crete before moving into the Morea in 1825 and defeating the rebels there. When the Ottomans resisted European demands for an armistice, a combined British and French squadron **destroyed the Ottoman and Egyptian fleets at Navarino** (Oct. 20, 1827) in a naval battle that turned the tide in favor of the Greek rebels. The Ottomans refused to settle on European terms, and **war ensued with Russia** (April 1828) in which the Ottomans were soundly defeated. They agreed to a European scheme to establish Greece as an autonomous tributary state ruled by a hereditary prince invested by the sultan (1829), but in 1830 they were forced to accept **full Greek independence**. <sup>7</sup>

## 1822, Jan. 24

**Death of Ali Pasha of Janina**, the powerful ruler of Albania and parts of Greece for over three decades, after Ottoman forces occupied his lands and put him to death. <sup>8</sup>

## Aug. 13

A major **earthquake** in northern Syria caused extensive damage and loss of life, especially in Aleppo. In 1872 another severe earthquake in that region devastated Antioch (Antakya). <sup>9</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1796](#))

## b. [Iran](#)



### [THE QAJAR DYNASTY IN IRAN \(1796-1925\)](#)

#### 1796–97

**AGHA MUHAMMAD SHAH, FOUNDER OF THE QAJAR DYNASTY.** The Qajars, originally **Turkish tribal chiefs** in Safavid service, consolidated their rule in Iran in the last two decades of the 18th century. The able and brutal Qajar leader Agha Muhammad took advantage of the political chaos to expand his control of the country. In 1796, after crushing the Zand dynasty and taking Khurasan from its Afshar ruler, he was crowned shah in his **capital of Tehran**. 1

The Qajars, who ruled Iran until 1924, headed a **weakly centralized regime** in which strong provincial tribes and an increasingly independent religious establishment set limits on the power of the state. Growing **European intrusion** also debilitated the government. In the 19th century Iran did not experience the level of modernizing reform of the Ottoman Empire or Egypt. The **population grew** from about 6 million in 1800 to around 12 million in 1920, but close to 90 percent of it remained rural, with a strong nomadic and tribal element (estimated at over a quarter of the population). 2

#### 1797–1834

**FATH ALI SHAH.** The shah **deferred to the Shi'ite clergy** in order to enlist their support for the Qajar regime. He contributed state money to them and established many mosques and *madrasas*. At the beginning of Fath Ali's reign, the Qajar bureaucracy was only rudimentary. He created many **additional administrative positions**, such as 3

controller general. Fath Ali Shah had five prime ministers during his reign. Their duties varied according to their abilities and the trust they elicited from the ruler. Always threatened by court intrigue and potentially fatal royal disfavor, no high-level governmental appointee ever felt safe. Fath Ali's many **sons were appointed as governors** of major provinces. Abbas Mirza (d. 1833), the heir apparent, maintained his own provincial army as the governor of Azerbaijan and later Khurasan.

Fath Ali Shah organized the army into two sections, one of which was **based on a European military model** and was directed by French, British, and Russian officers. By 1813 the *nizam-i jadid* (**new army**) included 12,000 regular cavalry and 12,000 regular infantry. Despite this addition, the Qajar army remained dependent on **tribal levies** and the *ghulams* (military slaves), usually of Christian origin, who formed the shah's personal guard.

## 1799

**Mirza Baba**, *naqqash-bashi* (head painter) at the Qajar court, painted one of many life-size portraits of Fath Ali Shah. Mirza Baba mastered oils, miniature illumination, and lacquer, and many of his paintings were designed as presents for European rulers.

## 1804–13

**War with Russia** (See [1804–13](#)). Following its annexation of Georgia in 1801, Russia pushed outward to extend its control in the Caucasus to the Aras River. After nine years of hostilities the **Treaty of Gulistan** (Oct. 12, 1813) confirmed Iran's **loss of Georgia** and districts of **Azerbaijan**, including Baku and Qarabagh. Russia remained dissatisfied, and war resumed in 1826.

## 1809–11

Appointment of Hajji Mirza Abu al-Hasan Khan as the first Qajar ambassador to Great Britain. He became the object of the satirical work *Adventures of Hajji Baba in England* by James Morier.

## 1812

Opening of a **printing press**. The press in Iran remained much less developed than that of the Ottoman Empire or Egypt. 8

### c. 1813

Completion of the **Masjid-i Shah** in Tehran. Situated in the heart of the city, the royal mosque is a notable example of the Qajar royal building program, in which members of guilds (*asnaf*) provided the skilled labor for the construction of major architectural projects. In the building trade, as in other crafts, a **system of guilds** with their inner hierarchy of apprentices and masters was in place. 9

### 1826

Death of **Sheik Ahmad ibn Zayn al-Din al-Ahsa'i**, founder of the **Shaykhi School of Shi'ism**. The doctrines of the Shaykhi school were regarded as heterodox by the majority of the Shi'ite religious learned. They attempted to **reconcile reason and religion** in order to explain difficult aspects of Shi'ite beliefs. They posited that the hidden twelfth imam, whose return is awaited by all Shi'ite Muslims, was not literally hidden on earth, but existed in an intermediary world of archetypes called Hurqalya. Later members of the Shaykhi School argued that one perfect Shi'ite Muslim might act as an intercessor between this world and the hidden twelfth imam. The Shaykhis retained a **minority following** in Iran and Iraq, but influenced the later Babi movement. 10

### 1826–28

**Second war with Russia** (See [1804–13](#)). The Russians succeeded in gaining the coveted frontier along the Aras River. Under the **Treaty of Turkmanchay** (Feb. 22, 1828) Iran lost the areas of **Erivan** and **Nakhchevan**, and provided for a Russian diplomatic and commercial presence in Iran. 11

### 1829

Death of **Mirza Abd al-Vahhab Isfahani**. A bureaucrat with a flair for poetry and calligraphy, Mirza rose through the administrative ranks. In 1809 he was appointed *munshi al-mamalik* (head of the royal chancery). By 1821, he had control of Iran's foreign affairs. Although never named prime minister, in practice he had a similar 12

influence over Fath Ali Shah in Qajar state affairs until his death.

## 1834–48

**MUHAMMAD SHAH.** After two previous humiliating Qajar losses to the Russian army, Muhammad Shah sought to **modernize his military forces**. To this end, he utilized European officers as commanders of special brigades, set up a foundry for casting brass cannon, and produced gunpowder. 13

Under the influence of his prime minister, Hajji Mirza Aghasi, the shah displayed **Sufi mystical tendencies** and thus jeopardized the traditional role of the Qajar rulers as patrons of the Shi'ite clergy. The situation strained relations between the government and the clergy, some of whom articulated the idea that the Qajars were not legitimate political authorities. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1793–1800](#))

### c. [Afghanistan](#)



#### [THE BARAKZAY DYNASTY IN AFGHANISTAN \(1747-1929\)](#)

##### 1800–3

**MAHMUD SHAH (FIRST REIGN)**. He assumed power during a **period of instability**, when the Afghan territories were fragmented among various family members supported by tribal factions. Affairs of state were directed by the powerful prime minister **Fath Khan** of the Afghan Barakzay clan. 1

##### 1803–9

**SHOJA SHAH (FIRST REIGN)**. He came to power after he ousted his brother Mahmud. 2

##### 1809, June 17

A treaty of friendship between the Afghans and the British was signed. Shoja Shah met at Peshawar with the British representative, Mountstuart Elphinstone, to negotiate a joint defense against the **threat of a combined invasion** of India by Napoleon and Alexander I of Russia. 3



## 1809–18

**MAHMUD SHAH (SECOND REIGN).** He was returned to power with the help of Fath Khan, who became immensely powerful. Their efforts to consolidate the state collapsed in 1818 with the **assassination of Fath Khan** by the ruler's jealous son Kamran. This precipitated a *badal* (vendetta) between Afghan clan factions in which the brother of the murdered prime minister, Dost Muhammad, drove Mahmud Shah out of Kabul. Mahmud withdrew to Herat, which he ruled until his death in 1829. His son Kamran continued to rule there until 1842, when the area fell to Iran.

4

## 1819

The Sikhs captured Kashmir.

5

## 1826–39

**DOST MUHAMMAD, FOUNDER OF THE BARAKZAY (OR MUHAMMADZAY) DYNASTY.** The collapse of the ruling Sadozay family brought to power the Barakzay clan of the Durrani, whose power had increased since the late 18th century and was to remain dominant into the 20th century.

6

The chief aim of Dost Muhammad was the **reunification of the country**, a task for which he needed both a stronger Afghan economy and an army reformed according to European example. He turned formerly tax-exempt land grants held by local Durrani clans into prime sources of state revenue through **violent confiscation** and the appointment of special tax agents. Tax collection in the provinces was overseen by his sons. Dost Muhammad was determined to increase the size of his **standing army** to lessen his dependence on unruly clan support.

7

## 1834

Capture of Peshawar by the Sikh ruler Ranjit Singh. The **loss of Peshawar** and the fertile land near the Indus River weakened the economy of Afghanistan by severing a lucrative source of revenue. With the loss of its Indian territories, the Afghan kingdom became a **more compact territory** whose difficult mountainous terrain and plateaus made it **easier to defend** against military threats from Iran, Russia, and Britain.

8

## 1836

Dost Muhammad took the title *emir al-mu'minin* (commander of the faithful) in preparation for his holy war against the Sikhs. His attempt to recapture Peshawar failed. 9

## 1837

Official mission of the Russian diplomat Ivan Vitkevich to Kabul, part of the Russian competition with Britain over influence in Afghanistan. 10

## 1839–42

**FIRST BRITISH-AFGHAN WAR** (See [1839–42](#)). With the aim of overthrowing Dost Muhammad and reinstalling the Sadozay ruler Shah Shoja, the British launched an **ill-fated invasion** of Afghanistan. A British-Indian army took Qandahar and Kabul, **installed Shah Shoja** as a British puppet (Aug. 1839), and deported Dost Muhammad (1840). But Afghan resistance culminated in an uprising in Kabul in Jan. 1842 and a **retreat of the British troops** that ended in their virtual destruction. Shah Shoja was assassinated, and **Dost Muhammad returned to power** in Kabul. 11

## 1843–63

**DOST MUHAMMAD (SECOND REIGN)**. The restored Barakzay ruler **reconsolidated the Afghan state** by recapturing Qandahar and then taking Herat from Iran (1863). 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1799–1800](#))

## **d. [Arabia](#)**



### **[SAUDI ARABIA: THE WAHHABI DYNASTY \(1735-\)](#)**

#### **1801**

**The Wahhabis sacked** the Shi'ite holy city of **Karbala** in Iraq, burial place of Imam Husayn, the Prophet's grandson. Their plunder of the shrine and massacre of the population created **outrage among Muslims** everywhere. 1

#### **1803**

The **WAHHABIS CAPTURED MECCA**, challenging directly the Ottoman sultan's claim to the guardianship of the holy cities. The emir of Mecca fled. 2

#### **1803–14**

**Sa'ud ibn Abd al-Aziz** ruled as Saudi emir after the assassination of his father (Oct. 1803). He continued his father's militant policies of expansion. 3

#### **1804**

**The Wahhabis captured Medina.** They destroyed the mausolea and monumental tombs in the cemeteries, which they considered to be polytheistic, and desecrated the Prophet's tomb. 4

### 1806–56

Sa'id ibn Sultan ruled Oman and Muscat. 5

### 1809–16

Ahmad al-Mutawakkil ruled as imam of Yemen after seizing power from his father, Ali al-Mansur. 6

### 1810

The Wahhabis established control over Qatar and Bahrain. 7

### 1812–59

Jabir ibn Abdallah ruled as sheik of Kuwait. 8

### 1816–35

Abdallah al-Mahdi ruled as imam of Yemen. 9

### 1818

**END OF THE FIRST WAHHABI STATE.** An **Egyptian expedition** ordered by the Ottoman sultan recaptured Medina (1812) and Mecca (1813), reinstated the annual pilgrimage halted by the Wahhabis, returned Hashimite control to the Hijaz, and **destroyed the Saudi capital** of Dar'iyya (1818). The Saudi emir Abdallah was beheaded. Egypt continued to hold the Hijaz and the coastlands of Yemen until 1840. 10

## 1820

Treaty between Britain and the Arab tribal peoples of the Persian Gulf, in which the latter **pledged to cease all piracy and slave traffic**. The agreement marked the formal beginning of British-Indian responsibility for policing the Persian Gulf.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Egypt](#)



### [RULERS OF EGYPT \(1811-1953\)](#)

Egypt remained nominally a province of the Ottoman Empire until Britain declared it a protectorate in 1914, but from 1805 it followed an **increasingly independent** course of development as a separate country. Muhammad Ali and the succeeding rulers detached themselves steadily from Ottoman control, which was reduced to a mere formality after the British occupation in 1882. During the period Egypt underwent **profound changes**, the result of local initiatives and European penetration. Its **population** remained predominantly rural, but **expanded** from about 3.5 million to 12 million. <sup>1</sup>

### 1805–48

**MUHAMMAD ALI PASHA.** An officer of Albanian origin from the Macedonian port of Kavalla (b. c. 1770), Muhammad Ali (Mehmet Ali) arrived in Egypt in March 1801 as the second in command of a regiment of Albanian troops sent by the Ottoman government to fight the French. In 1803 he became commander of the unit, which he then employed to undermine the governors sent from Istanbul and the Mamluks who sought to regain their control. He won this **contest for power** and in July 1805 the Ottoman government recognized his authority by granting him a one-year **appointment as governor**, although its hope of replacing him after that with its own appointees was frustrated by the **autonomous power base** he built for himself and his family. He **established a dynasty** that lasted until 1953. Driven primarily by a ruthless desire to consolidate his hold on his adopted country, Muhammad Ali introduced many innovative reforms that **laid the foundation for the modern Egyptian state.** <sup>2</sup>

### 1807, March–Sept

The **British occupation of Alexandria** was an abortive effort to restore Mamluk rule and thus forestall a second French invasion. Muhammad Ali made a provisional truce with the Mamluks, resuming his expeditions against them once the external danger was over.

3

### 1811, March 1

**MASSACRE OF MAMLUK LEADERS** in the Cairo citadel. Invited to an official ceremony by Muhammad Ali, 24 beys and 40 of their subordinates were treacherously killed. This act, and the destruction of the last body of Mamluks in Upper Egypt in the following months, put a **final end to Mamluk power** and established Muhammad Ali as the undisputed ruler of Egypt.

4

### 1811–18

**The Arabian campaigns.** At the request of the Ottoman sultan, Muhammad Ali sent a large expedition **against the Saudi-Wahhabi state**, which was in control of the Hijaz as well as much of central and eastern Arabia. The Egyptian force captured Medina (1812) and Mecca (1813), restored the rule of the Hashimite family in the Hijaz, and after a truce advanced into central Arabia and destroyed the Saudi state (1818). **The campaign was very costly** in treasure and human life, but gave Muhammad Ali a hold on the Hijaz until 1840, along with control over the Red Sea and Arabian trade.

5

### 1811–16

**Establishment of state agricultural monopolies** over grain, rice, sugar, and cash crops. The government purchased the products at a fixed price well below free market level and sold them at its own price while prohibiting private transactions. The system allowed Muhammad Ali to appropriate a larger share of the rural surplus.

6

### 1812–14

**CONFISCATION OF THE TAX FARMS** (*iltizams*) by the state, which thereby reasserted its control over a great part of the cultivated land and the tax income from it at the expense of the powerful tax farmers. Muhammad Ali followed a similar policy with **endowed** (*waqf*) **agricultural land**, much of which he **confiscated**.

7

### 1813

**The first student mission was sent to Europe**, as part of a government program for the training of Egyptians in technical and professional skills. The **European-trained Egyptians** (a total of some 900 by 1919) provided a cadre of teachers and administrators who **promoted the development of modern institutions** in the country.

8

### 1816

**The first textile factory** was established in Cairo, with machines and skilled workers imported from Europe. It was part of Muhammad Ali's **ambitious policy of import substitution** and was followed by a string of plants for the manufacture of textiles and military equipment as well as the processing of agricultural produce. The factories employed some 30,000 workers. From the late 1830s **many factories were abandoned** because of the financial burdens of reequipping them, and Egypt actually grew more dependent than ever on foreign imports.

9

### 1818–73

**Improvement of the port of Alexandria.** The construction of the **Mahmudiyya Canal** linking Alexandria with the Nile (beginning in 1818) greatly facilitated communications between the port and the interior. The port itself, which was in a bad state of neglect, was deepened and provided with facilities that made it by far **the best port in the eastern Mediterranean**. Alexandria grew from a small fishing town of about 15,000 people to the second largest city in Egypt (over 200,000).

10

### 1820

**DISCOVERY OF LONG-STAPLE COTTON** in a Cairo garden. The new type of cotton (known as Jumel or Mako) was soon introduced by the authorities on an extensive scale, primarily in Lower Egypt, becoming a **major cash crop** that found ready markets

11



in European industrial centers. By 1914 cotton occupied some 23 percent of the cropped area and accounted for about **half of agricultural production** and 90 percent of Egypt's exports. Its cultivation, however, required considerably more labor than did cereal crops and initially involved large-scale coercion of the Egyptian peasantry.

## 1820–22

**Conquests in the Sudan** (See [1821](#)). Egyptian military expeditions captured most of northern and central Sudan (the Sennar and Kordofan regions), with the aim of using them as sources of gold as well as slaves for a new army. The thousands of **slaves brought to Egypt** for military training could not adjust and died, and the gold deposits proved a disappointment. However, Egypt gained **control of the trade** with the Sudan. The capital of the Egyptian administration was **Khartum**, founded in 1823.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1790–92](#))

### **3. North Africa, 1792–1914**

#### **a. Morocco**

##### **1792–1822**

**MAWLAY SULAYMAN.** The Moroccan ruler inherited a decentralized state with a population of 3 million to 4 million inhabitants. Four years of **civil war** with his brothers and a number of **local rebellions** weakened his control, as did the shortage of government funds. During the last decade of his rule he became openly hostile to maraboutism, or **Muslim saint worship**, arguing that the practice deviated from the true faith. By his attack on popular religious practices he sought to curb the growing power of Sufi orders in the country. <sup>1</sup>

##### **1801, June 14**

**Treaty of peace and commerce with Britain.** It built on the progressive development of relations between the two countries during the 18th century, when Britain came to rely on Morocco for food supplies for its troops in Gibraltar in exchange for British arms. The British obtained capitulatory rights, immunity from all taxes, and full jurisdiction for their consuls in legal cases involving their nationals. <sup>2</sup>

##### **1802–4**

**Berber revolts** in various regions. The government launched campaigns to assert its authority over the largely **autonomous tribal territories**. A major revolt of Berber tribes broke out in the Middle Atlas in 1811, continuing until 1820. <sup>3</sup>

## 1815

Death of **Ahmad al-Tijani**, founder of the **Tijaniyya** Sufi order. He arrived from Algeria in 1789 and was welcomed by Mawlay Sulayman. He lived in luxury and promised his followers both wealth in this world and salvation in the next. His order won many adherents and spread throughout North Africa.

4

## 1818

European pressure contributed to the definite **ending of Moroccan piracy**.

5

## 1820–22

**REBELLION IN FEZ**. Various groups, including the ulama, called for an end to Mawlay Sulayman's rule and were joined by the Wazzani Berbers. Sulayman died before completely crushing the uprising.

6

## 1822–59

**MAWLAY ABD AL-RAHMAN**. At the time of his accession the state was an unstable, fragmented collection of cities and tribes. The **army**, badly provisioned and organized, consisted of a few slave contingents and tribal troops who were paid only when they fought. The **administrative machinery** was minimal, and the ruler's income was limited to what he could collect in the lands subject to government authority. The Middle and High Atlas, the Rif, and the southern oases remained largely under **local tribal control**.

7

## 1823

Death of **al-Arabi al-Darqawi** (b. 1760), founder of the **Darqawiyya** Sufi order. The movement, which became one of the leading orders in Morocco, exalted poverty and stressed asceticism. It **won widespread support** among the rural inhabitants and the urban lower classes; its popularity was increased by its use of musical instruments in its rituals. In both Algeria and Morocco the Darqawiyya became **involved in political activities** and protest movements.

8

## c. 1830

Beginning of **penetration of European goods** into the Moroccan market. Cheaper European cloth as well as leather products, pottery, candles, tea, and sugar were imported in growing amounts during the 19th century. Some local craftsmen were put out of business, and the country became increasingly dependent on foreign goods.

9

## 1830–32

Moroccan troops entered western **Algeria** in the wake of the French invasion (See [1830, July 5](#)), looting Tlemcen before returning in 1832 under French military threat. Morocco also gave aid to the Algerian rebel leader Abd al-Qadir, a policy that strained French-Moroccan relations.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1799, March 26](#))

## **b. [Algeria](#)**

### **1803–8**

**Rebellion against the Ottomans** in Oran and Kabylia was led by Abd al-Qadir ibn al-Sharif, head (*muqaddam*) of the **Darqawiyya Sufi order**. The founder of the order, al-Arabi al-Darqawi (d. 1823), condemned the uprising. He had stressed asceticism, but the Darqawiyya continued to be linked with religious political movements and became one of the most important Sufi groups in Algeria. The revolt was crushed by the Ottomans, and its leader fled to Morocco. <sup>1</sup>

### **1807–12**

**Conflict between Algeria and Tunisia.** The Tunisian ruler Hamuda Bey (1782–1814) besieged the Algerian city of **Constantine**, but was unsuccessful. Tunisia ceased to pay tribute to Algeria, and peace was finally agreed upon, with Ottoman mediation, in 1821. <sup>2</sup>

### **1810–15**

**Kabyle Berber tribal uprising in Oran** was prompted by the taxation demanded by the Turks. The revolt was renewed for similar reasons in 1824. <sup>3</sup>

### **1811**

**Decline of privateering.** No slaves, potential sources of ransom and labor, were <sup>4</sup>

captured in 1811. Only four European ships had been captured in 1801 and one in 1803. After the 1818 Aix-la-Chapelle Congress on the suppression of piracy, the pressure on Algiers had its effects, bringing an end to corsair threats. The loss of revenue meant **increased taxes** for the local population and resulted in a series of uprisings throughout the country, many of which were organized by Sufi brotherhoods.

## 1812–15

**Conflict with the United States.** Dey Hajji Ali Pasha (r. 1809–15) declared war on the United States when, in July 1812, the country could not pay its annual tribute. On March 3, 1815, the United States authorized naval operations against Algiers and captured two of its ships at sea. The Americans dictated the terms of the treaty when they arrived at Algiers and found the city without its fleet (June 30, 1815). On Dec. 22, 1816, the United States signed a **treaty of peace** that confirmed that of the previous year, but added two additional provisions for the immediate release of American prisoners and the end of all tribute previously paid to Algiers. The agreement put an **end to the Barbary Wars**, the assault on U.S. shipping in the Mediterranean that had begun in 1801. 5

## 1816, Aug. 27

The British and Dutch naval **bombardment of Algiers** destroyed 33 ships in the harbor and resulted in negotiations for a treaty, signed on Sept. 24, 1816, which released all Christian prisoners and temporarily abolished the slavery of pirate captives. 6

## 1818–30

**Husayn Dey.** The last ruler of Algiers managed to maintain calm in his capital but ruled during a time of relentless rural unrest. He had a series of catastrophic **conflicts with European representatives**, and his expulsion of the British consul led to the **bombardment of Algiers** in 1824. 7

## 1820

**Tijaniyya Sufi uprising** in Oran against the Turkish bey. Opposition, prompted by increased taxation and government encroachment on local autonomy, continued sporadically until 1828. The order had been founded in Algeria in 1782 by Ahmad al-Tijani (d. 1815).

8

### 1827, April 29

**The fly-whisk incident.** Negotiations dragged on over the French grain debt to Algeria incurred by Napoleon (1793–8). In heated discussion, the French consul was struck by Husayn Dey with a fly swatter. The French began a **naval blockade** in June and utilized the incident as provocation for the eventual occupation of Algiers.

9

### 1830, July 5

**FRENCH OCCUPATION OF ALGIERS.** Algiers was captured by a French force of 37,000 troops, and the last dey capitulated. The invasion put an **end to the rule of the deys** of Algeria who had reigned as virtually autonomous representatives of the Ottoman Empire since 1711. The French established a **governor-general** as head of their administration in July 1834. Subjugation of the interior continued until 1890. The French occupation lasted until 1962.

10

### c. 1830

Three *madrasas* (Islamic religious colleges) existed at the time of the French invasion. They were located in the cities of Algiers, Constantine, and Tlemcen. Under colonial rule they continued to train students but were carefully controlled by French authorities.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1799, March 26](#))

## c. [Tunisia](#)

### 1800

At the turn of the century Tunisia was ruled by the **Husaynid dynasty**, supported by a Turkish military caste. The estimated population of the country was no more than 1 million, two-thirds of whom were sedentary and the rest tribal nomads. The economy, although largely agrarian, still derived two-fifths of its **income from corsair raiding** activity. <sup>1</sup>

### 1807–12

**War with Algeria.** In an effort to end his country's payment of tribute to Algeria, the Tunisian ruler Hamuda Bey (r.1782–1814) besieged Constantine in 1807, but was driven out. After several unsuccessful Algerian counterattacks (1807–12) a peace treaty brokered by the Ottomans was signed in 1821. <sup>2</sup>

### 1811, Sept

**Revolt of the Turkish army contingent (*jund*).** Hamuda Bey used this opportunity to lessen his military dependence on Anatolian recruits and began to draw on members of the Zwawa Berber tribe. The Turkish troops revolted again in 1816 and 1829, forcing rulers to continue attempts to reorganize the composition of the military. <sup>3</sup>

### 1814–24



**MAHMUD BEY.** He came to power after assassinating his cousin Uthman Bey and ending his short and ineffective rule (Sept.–Nov. 1814). Together with the chief minister Muhammad ibn Zarruq (d. 1822), Mahmud Bey launched a policy of **increased taxation** that had a negative effect on agricultural production.

4

## 1818–20

**Bubonic plague**, which reduced the population by an estimated one-quarter. Short outbreaks of the disease were almost yearly occurrences throughout North Africa before 1818, but the 1818–20 epidemic was especially severe. There were no further serious instances of the plague after 1822.

5

## 1819

Mahmud Bey designated **olive oil a taxable state monopoly**. It was sold to the government at fixed prices and then resold for profit to European exporters.

6

## Sept. 21

**Anglo-French naval demonstration.** A squadron was sent to notify Mahmud Bey of the European protocol adopted at Aix-la-Chapelle in 1818 demanding the **end of piracy**. Mahmud Bey was forced to agree in writing that he would cease to support corsair activity.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1799, March 26](#))

## d. [Libya](#)

### 1795–1832

**YUSUF PASHA QARAMANLI.** Coming to power in the wake of a disruptive civil war, Yusuf Pasha restored order and **revived the economy** of his country, whose population was estimated at about half a million people. For the first 20 years or so of his reign he drew **large revenues from piracy**, a state monopoly on the exportation of agricultural produce and livestock, and the **trans-Saharan trade**, especially in slaves. He reorganized and **expanded the army**, and built an impressive fleet. But the sharp **decline of piracy** by the 1820s caused severe financial hardships that led to an erosion of his authority and a rebellion that forced his downfall. <sup>1</sup>

### 1795–1805

**Expansion of Tripoli's naval power.** Yusuf Pasha built a fleet that by 1805 included 24 warships in addition to other vessels. Most of the ships were European and American merchant vessels captured by the pirates and converted to military uses. With this maritime power the pasha's **piratical activities** drew in large revenues in the form of captured property, protection money, and ransom payments for captives. <sup>2</sup>

### 1801–5

**War with the United States** (See [1805](#)). The conflict began in May 1801 when Yusuf Pasha Qaramanli, in an attempt to extort more tribute, permitted his corsairs to **attack American merchant vessels**. In 1803 the American frigate *Philadelphia* was captured <sup>3</sup>

and its crew imprisoned. President Jefferson permitted the organization of a naval expedition that, together with mercenary troops, captured the city of Darna in April 1805. The **peace treaty** signed on June 10, 1805, allowed the United States to ransom 200 prisoners, but avoided the payment of increased tribute.

## 1806–11

Yusuf Pasha mounted **expeditions against tribes in Cyrenaica and the Fezzan**, bringing the two areas under his direct control.

4

## 1825

Yusuf Pasha began **borrowing** large sums from European merchants to help cover his deficits due to the decline of piracy. The mounting **financial crisis** in the following years led him also to debase the currency several times, to confiscate property, and to impose new taxes. **European pressures** on him to repay his debts combined with a **rebellion** by discontented groups at home led to his **abdication** in 1832 in favor of his son Ali.

5

## 1832–35

**ALI PASHA QARAMANLI.** The last ruler of the dynasty faced a continuing **civil war** at home, with the British and French supporting the two rival parties and the Tunisian government scheming to annex Tripoli. The Ottoman government, which wanted to maintain Qaramanli rule, decided finally to forestall possible outside intervention by taking control of the country.

6

## 1835, May 28

**RESTORATION OF DIRECT OTTOMAN CONTROL OVER LIBYA.** An Ottoman force landed in Tripoli and put an end to the long rule (since 1711) of the Qaramanli family. The move was designed to contain the French penetration of North Africa as well as Tunisian designs on Libya. **Tripolitania** was organized into a province (*vilayet*) under a governor appointed by the Ottomans, while **Cyrenaica** formed a separate subprovince responsible directly to Istanbul. Ottoman sovereignty over Libya lasted until the Italian occupation, but effective Ottoman control was strongest in the coastal areas and major towns, with the **Fezzan** and the **interior of Cyrenaica** enjoying

7

a great measure of autonomy under **tribal and Sanusi authorities**. The Ottomans introduced their program of **Tanzimat reforms** into Libya, setting the foundations for the modernization of the country.

## 1837

**CREATION OF THE SANUSIYYA SUFI ORDER**, by **Muhammad ibn Ali al-Sanusi** (1787–1859), an Algerian educated in North Africa and Mecca. He advocated a return to the lifestyle of the Prophet Muhammad and emphasized asceticism and austerity in worship. His movement had the most **appeal for the bedouin in Cyrenaica** where the main lodge was established in 1843. Under al-Sanusi and his son **Muhammad al-Mahdi** (1845–1902) the order established **a network of over 140 lodges** scattered throughout the Libyan desert oases and beyond. These became centers of religious missionary activity and teaching as well as of agricultural settlement and trade. The order acquired **political authority** among the tribesmen by providing services and mediating disputes. The Ottoman government cultivated the support of the order, granting it in 1856 exemption from taxes on its property and recognizing the right of its leaders to tax members.

8

## 1842–47

Implementation of the **Ottoman urbanization policy**. Forts were constructed at al-Marj (1842), Bu Nujaym (1844–46), and Gharyan and Murzuq (1847). Each outpost fostered **settlement** and the growth of village populations, particularly in the northern provinces. **Trade** was encouraged by the foundation of numerous trading posts and by the establishment of a route for commerce between the Jabal al-Gharb and Tripoli.

9

## 1857

**Abolition of slavery**. The slave trade had traditionally formed the most lucrative part of Libya's export economy. Slaves were brought to Tripoli from sub-Saharan Africa by caravan routes. The **trade increased** with the abolition of slavery in Algeria and Tunisia a decade earlier. Despite the official ban, **slaves continued to be covertly sold** to markets in Istanbul and Egypt until the 1890s, when the slave trade in the Middle East was finally suppressed.

10

## 1857–1900

**Ottoman educational reform.** In Tripoli a **modern secondary school** was established, and by 1868 Turkish and French were the languages of instruction. Six of these modern secondary schools (*rushdiyya*) were eventually established. A separate **secondary school for girls** was founded in Tripoli by 1900, along with a training school for village primary-level schoolteachers. A **military academy** in Tripoli was established during the governorship of Ahmed Resim Pasha (1881–96); it prepared students in history, engineering, mathematics, and French for further study at the Military College in Istanbul. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1796](#))

## **D. South and Southeast Asia, 1753–1914**




[ASIA IN 1900 \(MAP\)](#)

### **1. India, 1800–1914**

**In this period of high empire, Indians and British alike participated in shaping a new understanding of Indian society.** As amateur ethnographers, British administrators collected and catalogued data about their colony that, taken together and utilized to support imperial rule, constituted a new sociology of knowledge. In the late 19th century, shaped by the pseudoscience of social Darwinism, the cataloguing of the peoples of India became a way to explain existing social hierarchies (sometimes by measuring the width of noses!) and to place the British at the top of such pyramids. For their part, Indian informants to the British Raj fulfilled their own needs as they described and explained local society and classical texts (as these began to be translated by Orientalist scholars). Many Indians profited by these early interactions with the British. Indirectly, they shaped British understanding of Indian society to fit their own perspectives and situated their caste groups in high-status positions; more directly, they gained control of land, forged lucrative trading relationships, or secured roles for themselves in government advisory groups and, later, representative councils. 1

**Profound changes in local society** underlay these interactions. Some were introduced by the British as they imposed their own notions of proper governance, founded on a land revenue–based state, sedentary society, guarantees of property rights, and the “rule of law.” But many more changes emerged from processes that had been set in motion as the Mughal Empire declined and aspects of rule passed into the hands of regional rulers and local elites (especially the benefits accruing to those who collected and forwarded the land revenue, and to those who undertook responsibility for cultural patronage). 2

Mechanisms of local self-rule—an important locus of power in a society in which constituent communities held much responsibility for self-regulation—enabled local power holders to advance visions of what Indian society should be that were very different from those held by British administrators.

These conflicting visions were fitted together by the British understanding that local communities (whether defined as caste groups, local villages, or urban neighborhoods) would work through “natural leaders,” maintaining order within their boundaries and representing their interests to colonial rulers. In this setup, local religious activity, domestic relationships, and cultural practices could generally be left alone; **only when local practices egregiously offended the colonial state's definitions of morality did the British intervene** (for instance, regarding *sati* , the immolation of a Hindu widow on her husband's funeral pyre). This understanding was a peculiar reformulation of a process under way in western Europe at much the same time, in which “public” life—composed of interactions between an emerging civil society and the state's institutions—was becoming increasingly distinguished from “private” life—in which bourgeois households conducted their domestic affairs as they saw fit. In British India, the state simultaneously created legal structures to deal with individuals *and* with groups, and a unique form of “civil society” grew up in which “representatives” interacted with the state—but no one was considered a citizen.

In British India, the first **nationalist movement** under imperialism emerged between the 1880s and the achievement of independence in 1947. At first a matter of elite petitions for increased employment and political participation, the movement quickened into a **popular campaign** with the partition of Bengal in 1905 and a series of experiments with political festivals in western India, beginning at the turn of the century. From this point on, the nationalist movement reflected an uneasy amalgam of indigenous reformulations of imagined communities and Western-influenced political campaigns targeted at imperial institutions.

At the turn of the century, British **censuses** counted about **238 million people**; these numbers remained stagnant, because of famine and disease, for three decades. From 1921 to 1941, however, the growth rate increased from 1.1 to 1.4 percent annually, setting a trajectory that made **dramatic population increase** one of the greatest problems to be faced by the postcolonial states of the subcontinent when they achieved independence.

## 1800s

Local communities in India took over more and more self-regulation and **cultural patronage** as an expression of localized political ideologies. Changing relationships between communities and the colonial state (or still independent successor states) led to heightened competition among contenders for local control.

6

### 1798–1805

**LORD MORNINGTON** (later **marquis of Wellesley**) served as governor-general. He developed the system of **subsidiary alliances** by which Britain supplied troops and protection in exchange for territory or monetary grants and was allowed control of the state's foreign affairs but pledged nonintervention in internal government and secured exclusion of every other foreign power from the state's service. The fourth **Anglo-Mysore War** (Tipu d. 1799) led to a protectorate over Mysore: various annexations extended British control over nearly all southern India. The **Maratha leaders**, angered by the **Treaty of Bassein** (1802), which made the Peshwa a subsidiary ally, opened hostilities. Costly but successful warfare (defeat of Sindhia and Bhonsle at **Assaye**, Sept. 23, 1803) led to alarm at home, Wellesley's recall, and temporary abandonment of his policy.

7

### 1805

**Lord Cornwallis** again became governor-general (d. Oct.), succeeded by **Sir George Barlow** (1805–7) and **Lord Minto** (1807–13).

8

### 1809

**Treaty of Amritsar** fixed the river **Sutlej** as northwestern boundary of the company's territories, checking the advance of a Sikh confederacy under **Ranjit Singh** (d. 1839).

9

### 1808–10

To curb French expansion in Asia, Minto made **treaties with Sind, Persia, and Afghanistan**, and captured the French islands in the Indian Ocean and Java, which was under French control (Bourbon was later restored to France and Java to the Dutch).

10



## 1810–13

**Unrest in Banaras** typified the character of change and channels of contention that developed under colonial rule. In 1810 residents of Banaras led a successful protest against the imposition of a house tax which spread to other north Indian cities. In the two years following, conflict among various Hindu communities contending for dominance under the British led to an expansion of the conflict into a Hindu-Muslim riot over processions and sacred space. Those jailed as leaders of the riot (Muslims, Brahmans, and other high-caste Hindus) paradoxically then united in the following year in a jail protest against treatment of prisoners that would force them to lose caste. 11

## 1813–23

**LORD MOIRA (later marquis of Hastings)** served as governor-general, followed by John Adam (acting) and Lord Amherst (1823–28). 12

## 1813

Parliament **renewed the company's charter** for another 20 years, but under pressure of free trade interests, **abolished its monopoly of trade with India** and extended the sovereignty of the British Crown over the East India Company's possessions. Missionaries were for the first time allowed to evangelize in the company's territories. 13

## 1814–16

**Border dispute with Nepal** provoked a hard-fought war. The British acquired the Kumaun Division and made permanent peace with Nepal, which retained its complete independence. 14

## 1816–18

The marauding **Pindari tribes**, after raiding British territory, were suppressed and broken up by Hastings; hostile Maratha leaders were also defeated, leaving only Nepal, the Sikh state, and Afghanistan independent of direct or indirect British control. 15

(However, **indirect control**—under which Indian princes retained internal control while ceding external control to the EIC—accounted for more than one-third of the land mass.) Pacification of the Pindaris followed a pattern also used to domesticate the **Thags** and large landlords: all three were deprived of their military roles, but in return were rewarded with landholdings as they became sedentarized.

In Bengal, the introduction by the British of **printing** (Wilkins, 1778) stimulated a growing volume of publishing in English, Bengali, Persian, Sanskrit, and Hindustani, and made possible the establishment of schools imparting both modern English-language and vernacular learning. In the field of **higher education**, the combined efforts of British officials and private British and Indian philanthropists led to the founding of the Hindu College (Calcutta, 1816), the Elphinstone Institution (Bombay, origins 1827), the Delhi College (1827), and the Madras University High School (1841), the nuclei of the later universities. **Newspapers** made their appearance in the 1780s in Calcutta, Madras, and Bombay (government controls imposed sporadically, and licensing required, 1823–35).

These developments, and the discoveries by British **Orientalists** active in the Asiatic Society (founded in 1784 by **William Jones**), the **College of Fort William** (founded in 1800 by Wellesley), and the **Serampore Baptist Mission** (founded in 1800 by **William Carey**) stimulated an intellectual renaissance among Bengali Hindu scholars.

**Rammohun Roy** published Vedic texts in five languages, condemned idolatry and *sat* as corrupt practices, espoused Christian ethics but ridiculed Christian theology, and established the **Brahmo Samaj** (1828–30), open to all monotheists. An opposing movement, led by **Radhakanta Deb**, organized the **Dharma Sabha** (1830), sponsoring educational change but defending social and religious customary practices. Bengali prose developed rapidly as a literary medium beginning at this time.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [Southeast Asia, 1500–1800](#))

(See [1753](#))

## **2. Southeast Asia, 1753–1914**

The conquest and subsequent political domination of Southeast Asia by Western colonial powers were the most outstanding features of this era. In the first half of the period, political entities continued to evolve according to indigenous understandings of power relationships and political centers. Between 1870 and 1910, however, the European colonial powers redrew the map of Southeast Asia, establishing boundaries that would ultimately result in the nation-states that constitute modern Southeast Asia. Even Siam, the only remaining independent Southeast Asian kingdom, was strongly influenced in its actions by the presence of British and French colonial powers in its adjoining territories. 1

As they redrew the map of the area, the colonial powers profoundly altered local underpinnings of political centers. Rather than being built on relationships among power holders in the area, the new boundaries connected particular power centers with particular European colonial states. Europeans thus created new political frameworks on which they imposed modern bureaucratic systems. Over the decades of their colonial rule they introduced, enlarged, and perfected the apparatus necessary for such systems: transportation systems, including railroads; government departments of all sorts; and modern fiscal and tax systems (including the standardization of currency systems, banking systems, insurance firms, and all-purpose service institutions, i.e., agency houses). In addition, the European colonial powers introduced changes in the education systems that were to have long-range and significant implications for future social and political developments. 2

The expansion of European political power conjoined imperial economic exploitation of the region; significant economic changes resulted from the new political economy wherein colonial powers ruled directly. After 1870, export industries increased rapidly until they came to dominate the economies of Southeast Asia. **Population steadily and rapidly increased** and was accompanied by significant migrations into and within the area. Statistics show spectacular growth: Burma's population more than doubled, Java's increased at a rate of almost 1.9 percent per annum, and Siam and parts of French 3

Indochina grew at around 2 percent per annum. A considerable proportion of the growth came from immigration, especially by Chinese and Indian trading groups. The economic changes were based on capitalist, world-market-driven forces. Creation of “national” economic structures served to forge three types of economic linkages: to the world economy in general, to the economies of the various metropolitan powers, and also among the different parts of the new colonies themselves.

Within this context, a number of indigenous reformulations sought to provide ideological and cultural stability. In Thailand, Cambodia, and Laos, Buddhist reform and non-Buddhist solutions were formulated in response to the cultural crisis posed by intrusion of the West. In Indonesia, debate between those espousing revivalist versus modernist reconstructions of Islam prompted social and intellectual changes as well as resistance movements and new political parties. Much of this ferment focused on a new emphasis regarding ethnic identity, in which definitions of community reflected the complex interaction of religious movements, immigration patterns, and the attempt to impose Western sociological assumptions. (See [Southeast Asia](#))

## a. Mainland Southeast Asia

### 1. Burma

The modern Burmese state was built upon the conquests of **Alaungpaya** (1752–60), who founded Burma's last dynasty, the Konbaung (1752–1885). His successors managed to repulse **invasions by the Chinese** (1766–69) but were unable to maintain themselves in Siam (1771).

### 1782–1819

**Bodawpaya**, king. Conquest of Arakan (1784) and further encroachments on Indian territory. **Peace with Siam** (1793).

### 1819–37

**Bagyidaw**, king. He continued the advance toward India, seizing Manipur and Assam (1822) and invading Kachar (1824). This policy of expansion soon brought him into conflict with the British East India Company because interests and perceptions were in conflict as to the standards of interstate relations.

## 1824–26

**FIRST BURMESE WAR.** Despite vigorous resistance the Burmese were unable to withstand the force of a modern army. The British, under **Sir Archibald Campbell**, took Rangoon, and then Syriam, Tavoy, Mergui, Martaban, and Pegu. An attempt by the Burmese to recapture Rangoon failed (1825). The British advanced up the Irrawaddy and at the same time overran Arakan. On Feb. 24, 1826, by the **Treaty of Yandabu** (near Ava) the British secured Assam, Arakan, and the Tenasserim coast, as well as an indemnity, the conclusion of a commercial treaty, and the right to send a resident to Ava (discontinued, 1837). Humiliation of defeat and terms of peace led to palace revolution and Bagyidaw's loss of throne to his brother, **Tharawaddi Min**, king (1837–46). 8

## 1846–52

**Pagan Min.** Under his reign the friction with the British continued. The Burmese rulers continued to treat the British with contempt and to hamper the development of British trade. Lapse of Anglo-Burmese diplomatic contacts. 9

## 1852–53

**SECOND BURMESE WAR.** Rangoon was again taken by the British. Pegu was also occupied and annexed (Jan. 20, 1853). A revolution in the capital led to the deposition of the king and the elevation of Mindon Min. 10

## 1853–78

**Mindon Min**, attempted to introduce administrative reforms, but the pressure of the looming power of British India made it difficult to introduce a program to revitalize and strengthen the state. He accepted the British gains without concluding a formal treaty and attempted, throughout his reign, to maintain friendly relations with his neighbor, British-controlled “Lower Burma,” a designation the British created after announcing this territorial annexation. They were unable to gain official Burmese recognition of this status. British Burma consisted of Arakan, Pegu, and Tenasserim. 11

## 1857

**Mandalay**, built by the king, **became the capital** of the country.

12

## 1862

Conclusion of a **commercial treaty with Great Britain**. The customs duty was fixed at 5 percent, and the British were given the right to trade throughout the country.

13

## 1878–85

**THIBAW** became king, following a bloody succession conflict. Unsuccessfully, he attempted to open diplomatic relations with the British on terms of equality as a ruler of a sovereign nation. At the same time he established contact with French interests and negotiated with them for the organization of a royal bank and for the construction of a railroad from Mandalay to the Indian frontier. The British felt threatened by the Burmese king's approaches to its European rivals. This resulted in the Third Burmese War.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Peninsular and Island Southeast Asia**

### **1. British Malaya**

**1795**

The **British took Malacca** to hold for the Dutch, who were under French domination at the time. 1

**1800**

The **British secured Province Wellesley** from the sultan of Kedah. 2

**1802**

**Malacca was restored to the Dutch** under terms of the **Treaty of Amiens**. 3

**1811**

The **British retook Malacca**, which was used as a base for the expedition against Java. 4

**1818**

The **Dutch recovered Malacca**, under terms of the **Treaty of Vienna**. 5

**1819**

**FOUNDING OF SINGAPORE by Sir Stamford Raffles.** Practically abandoned for centuries, the city was soon to become the strategic and commercial center of the region, completely overshadowing Malacca. The founding of the city of Singapore signaled a larger development: the new towns created throughout island Southeast Asia focused on export, not local consumption. In addition to trade, these new urban centers served as important communications and administrative centers for the surrounding countryside (from which they extracted goods for export). To facilitate this type of extractive trade, port cities emerged to funnel tin, rubber, rice, and other primary products into world markets. At the close of the 19th century, Singapore may have been the most polyglot city in Asia: residing there were more than 164,000 Chinese, 23,000 Malays from the peninsular states, more than 12,000 Javanese and Sumatrans, as well as at least 1,000 Arabs.

6

### 1824, March 17

The **Dutch ceded Malacca** to Britain, in return for Bengkulu in Sumatra.

7

### 1826

**British treaty with Siam.** Under terms of this agreement the sultanates of Perak and Selangor were recognized as independent, while Siamese control of Kedah was acknowledged. At the same time Perak ceded to Britain **Pangkor Island** and the **Sembilan Islands** for use as bases in the fight against piracy.

8

### 1850 Ff

**Steady influx of Chinese laborers** into the peninsula. These were employed chiefly in the tin mines, though many also turned to piracy on the coast. Their presence created disturbance in many states and ultimately provoked British interference.

9

### 1867, April 1

**End of the rule of the British East India Company.** The Straits Settlements thenceforth had the status of a Crown colony.

10



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1796](#))

## **E. East Asia, 1793–1914**

### **1. China, 1796–1914**



#### **THE MANCHU (QING) DYNASTY (1796-1912)**

This period embraces China's last imperial dynasty from its initial decline to its end, when it was overthrown by a revolution made in the name of republicanism, though it never took form as such. In addition to the systemic problems of the dynastic form of government, China was subject to natural and secular changes—principally, the disastrous changing course of the Yellow River and the debilitating impact of mass opium addiction—that enervated the Qing dynasty. China's population continued to grow in these years, topping 400 million by the middle of the 19th century. The presence of the Western powers, and later of Japan, and pressing demands on the court exacerbated the Qing's problems. Traditionally, Marxist and many non-Marxist historians dated the beginning of “modern Chinese history” to the Opium War of 1839–42, because the British defeat of the Chinese and the subsequent demands on the Qing government effectively transformed the nature of the Chinese economy. That view has not been seriously defended outside of the People's Republic of China for some time. A more important event signaling the decline of the Qing, and hence of the dynastic system, would be the White Lotus Rebellion, which begins this section. 1

#### **1796–1820**

The **JIAQING REIGN** of Emperor Renzong marked the turning point from the high Qing period into decline. Jiaqing did not actually begin to run the government until the death of the retired Qianlong emperor in 1799. China was faced with threats to the social order from within and without. Little in the way of open pressure was brought to bear on 2

the court.

## 1796–1804

The **WHITE LOTUS REBELLION**, led by a millenarian Buddhist sect that believed in the return of the Buddha, erupted out of social and economic discontent in the north. It spread across the impoverished three provinces of Hubei, Shaanxi, and Sichuan, before being suppressed by Manchu forces. The fact that it took the armies of the empire eight years to put it down proved to be a harbinger of the declining effectiveness of the State's standing armies; the Qing was saved only by the use of Chinese recruits, the “green standards.” <sup>3</sup>

## c. 1800–1830s

The **Western powers** had been coming to China for some time; they were allowed to trade only through the strictly limited Canton system. Whereas customers in the West wanted ever greater quantities of tea, silk, and Chinese porcelains, the Chinese wanted nothing the West had to offer, except silver. From about 1800, though, Indian-grown opium found a hungry market in China, despite the fact that it was illegal, and it reversed the silver flow until Chinese coffers were drained. Eventually, this problem would come to a head. <sup>4</sup>

## 1805

Christian literature was proscribed, and a Catholic priest was strangled for being in China without permission (1815). <sup>5</sup>

## 1807

Robert Morrison (1782–1834), the first Protestant missionary to China, translator of the Bible into Chinese, and author of the first Chinese-English dictionary, arrived in Guangzhou. He lived there under the aegis of the British East India Company. <sup>6</sup>

## 1813

A millenarian religious group, the Tianli Sect, rose in rebellion and invaded the imperial palaces in Beijing, before being suppressed. 7

## 1816

British ambassador Lord Amherst (1773–1857) was sent away from Beijing without being received, just as British forces were fighting against Nepal, a Chinese tributary. 8

## 1820

Li Ruzhen's (c. 1763–c. 1830) satirical novel *Flowers in the Mirror* was completed (first printed in 1828). In it gender roles were reversed, with men binding their feet, applying makeup, and serving women. The novel was in part intended as a critique of the great difficulty many well-educated men were having in finding employment as officials. 9

## 1821–50

The **DAOGUANG REIGN** of Emperor Xuanzong marked a tumultuous time in Chinese history, which included a disastrous war and the early beginnings of the greatest rebellion in China's entire history. 10

## 1821

The illicit trade in opium, 5,000 chests annually (despite imperial prohibitions of 1800 and 1813), was transferred to Lintin Island near Guangzhou. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1785](#))

## 2. [Korea, 1800–1910](#)

The long Yi dynasty came to a spiraling end, as Korea in the 19th century fell victim to foreign pressure, domestic rebellion, and Japanese colonial aspirations. The Manchus in China were in no position themselves to assist their vassal Korean state. With the decline and fall of the Chosŏn state, *yangban* society, too, came to a crushing demise. <sup>1</sup>

### 1800

**King Chŏngjo** died and was succeeded by **Sunjo** (b. 1790, r. 1800–34), a lad of but ten years. <sup>2</sup>

### 1812

The **Hong Kyŏng-nae Rebellion** broke out, led by a disaffected “fallen” *yangban*. This was one indication of the trouble brewing in the Chosŏn social order, with the increase of popular uprisings, and local rebellions becoming major affairs. <sup>3</sup>

### 1834–49

The reign of **King Hŏnjong**. <sup>4</sup>

### 1849–63

The reign of King Ch'ŏlchong.

5

1857

**Ch'oe Han-gi** (1803–75), a *sirhak* scholar, completed his *Chigu ch'nyo* (*Descriptions of the Nations of the World*), based on Chinese works of the time. It introduced the countries of the West to Koreans and suggested Korea might want to open its doors to interchange with them. Other *sirhak* scholars—such as Pak Kyu-su (1807–76) and O Kyŏng-sŏk (1831–79)—proposed similar ideas.

6

1860

The **Tonghak** (Eastern Learning) movement began to attract followers under the leadership of **Ch'oe Che-u** (1824–64). It was a syncretic religion, combining elements from Confucianism, Buddhism, Daoism, and, inadvertently, Catholicism to oppose all Western creeds. Its social thrust was against *yangban* decadence and in favor of improving conditions for the poor masses of Korean farmers; it was also decidedly antiforeign and primarily rural. As the government continued to be unable to prevent foreign humiliation at Korea's expense, it exacerbated antipathy for the government and increased the Tonghak's popularity. Ch'oe was arrested (1863) and executed (1864).

7

1860

**Ch'oe Han-gi** finished writing his *Injŏng* (*Personnel Administration*), in which he claimed that the path back to good government was through the appointment of talented men regardless of class background, and that Korea had to abandon its seclusion policy and open up to the outside world.

8

1862

The **Chinju Uprising** erupted, led by a “fallen” *yangban*, and killed a number of particularly rapacious local officials.

9

These reigns marked the beginning of “in-law” government, a period in which control over the throne passed between certain in-law factions. It marked a low point in official

10

venality and corruption, which spread to local government as well. In the end, the peasantry suffered most harshly, and the fiscal security of the state was undermined. *Yangban*-dominated society was beginning to come apart at the seams. Many *yangban* lineages had become “fallen,” meaning they could no longer sustain their families' prerogatives. Members of the *chungin* class, a hereditary rank below *yangban* who had formerly held various technical positions, were on the rise. The number of **slaves** markedly declined, many having been freed in exchange for military service; the government freed its slaves in 1801; slavery was abolished in 1894.

Despite persecutions (in 1801, 1839, and at other times), **Catholicism** continued to attract followers. Its belief that all men and women were equal in the eyes of a supreme deity was an implicit critique of the rigid *yangban*-dominated social order. Executions accompanied the repressions; for example, the first Korean priest, **Kim Tae-gon** (1822–46), who had trained in a seminary in Macao, was caught and executed. Under Ch'olchong, the repressions were eased.



Like other religious and intellectual movements, the *sirhak* movement of the 19th century continued its social thrust from the 17th and 18th centuries (See [1785](#)), using practical scholarship as a means of trying to improve the political, economic, and social problems of the day. **Chong Yag-yong** (1762–1836) synthesized earlier *sirhak* scholarship. In the Sunjo reign, major compilations of encyclopedic proportions were published on agriculture and other economic and political institutions. Others maintained the strict evidential principles of scholarly methodology characteristic of the contemporaneous *kaozheng* movement in Qing China.

## 1864–1907

During his **reign, King Kojong** (1852–1919), who ascended the throne at age 12, scarcely ruled outright. His father, **Hungsun Taewon'gun**, or the **TAEWON'GUN** (1820–98), became regent, ruled directly until 1873, and remained a dominant figure in the political world until his death. He was hostile to foreign influence in Korea, particularly toward Christianity.

While in power, the Taewon'gun instituted a series of reforms aimed at reviving the Yi state. Corrupt officials were ousted, and others were appointed solely on the basis of merit; he eased the fiscal burdens on the peasantry, and he closed most of the private academies that owned tax-free agricultural estates.

Although it originated in the early 18th century, the *p'ansori*, literary “one-man operas,” came into their own in this period. The librettos came from vernacular Korean novels. The most important figure in this movement was Sin Chae-hyo (1812–84). In addition to

novels written in the vernacular, there was an increasing quantity of **literature** written in Chinese, by *yangban* and commoner alike. **Painting** witnessed a new development in expressionism, edging out an earlier move toward naturalism; the most famous painter of the late 19th century was Chang Sng-p.

## 1865

A group of scholars updated the Chosn state's code of administrative law with the *Taejn t'ongp'yn* (*Comprehensive National Code*).

16

## 1866

Responding to revived anti-Catholic activities, a **French expedition** under Adm. Pierre Roze occupied and sacked Kanghwa at the mouth of the Han River but was ultimately unable to continue to the capital, Seoul. After some reverses at the hands of Korean forces, it was obliged to withdraw. It became known as the “French Disturbance of 1866.”

17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1787–93](#))

### 3. [Japan, 1793–1914](#)



#### [JAPANESE EMPERORS \(1867-\)](#)

#### 1793

Lt. Adam Laxman (b. 1776), envoy of Catherine the Great of Russia, arrived at Hakodate but failed to establish friendly relations.

1

#### 1793–1837

The **personal rule of IENARI** as shogun was characterized by increasing extravagance, inefficiency, and signs of the breakdown of seclusion and the collapse of military rule. During this period lived **Ninomiya Sontoku** (1787–1856), a famous peasant philosopher and agrarian reformer; **Kaiho Seiryō** (1755–1817), a political economist, reformer, and itinerant teacher; **Takizawa Bakin** (1767–1848), an extremely popular author of fiction with a moral bent; **Katsushika Hokusai** (1760–1849), **And Hiroshige** (1797–1858), and **Kitagawa Utamaro** (1754–1806), three of the finest *ukiyo-e* woodblock artists.

2

#### 1795

Capt. William Broughton (1762–1821), a British explorer, visited Hokkaido, charting parts of the Japanese coast.

3

### 1797–1809

U.S. ships traded with Japan nearly every year, on behalf of the Dutch.

4

### 1798

The *Kojiki den*, a commentary on the *Kojiki* (*Record of Ancient Things*, 712), was completed after 35 years of work by **Motoori Norinaga** (1730–1801), one of the finest scholars of the National Learning, or Nativist, school. This achievement marked a significant event in the revival of Shinto and the imperial cause. An earlier figure of considerable importance in this movement was **Kamo Mabuchi** (1679–1769), who worked principally on the *Man'yōshū* (*Collection of 10,000 Leaves*, 759); a later figure of less intellectual depth but greater popular appeal was **Hirata Atsutane** (1776–1843). All relentlessly attacked Confucianism as alien to things Japanese.

5

### 1804, Oct.–1805, April

A Russian ambassador, Capt. Nikolai Rezanov (1764–1807), representing the Russian-American Company, reached Nagasaki but after six months failed to obtain a treaty. In 1806–7, his subordinates raided Sakhalin.

6

### 1814

**Kurozumi Munetada** (1780–1850) founded the **Kurozumi sect**, the first of the modern popular Shinto sects that stressed patriotism and occasionally faith healing. This and 12 similar sects founded over the course of the next century counted in excess of 17 million adherents.

7

### 1817–37

A sign of economic problems to come, the *bakufu* (shogunal government) devalued the currency on 19 separate occasions, but did not adequately contain the growing state deficit. Problems were exacerbated by a string of crop failures in the 1820s.

8

## 1825

**Aizawa Seishisai** (Yasushi, 1781–1863) of Mito domain completed his *Shinron* (*New Proposals*, not published until 1857). He suggested that greater defensive measures be adopted by the feudal domains in preparation for the coming aggressive forces from the West; he felt that even more pernicious than Western force of arms were its Christian religion, its corruptive culture, and its economic incursions. British whaling vessels had landed in Mito the previous year.

9

## 1830–44

Although the **Tenpo** reign period witnessed great reform efforts, it also saw severe famines in the mid-1830s and massive social disorders as countless peasants fled rural poverty for the cities. It was an extremely rich era culturally. Planner of the reforms (effected, 1841–43) was **Mizuno Tadakuni** (1794–1851). He abolished the guild system, domainal monopolies, and other institutions, moving toward centralizing Edo power with respect to the domains. The reforms ultimately failed.

10

## 1837

Following several years of local famine, inadequate state response, and small-scale risings, **Amakusa** witnessed a mass rebellion led by **Shimo Heihachirō** (1793–1837), a former policeman. He and his followers were angry at the corrupt officialdom and the venal merchants whom they saw as responsible for poverty. The uprising was quelled.

11

The U.S. vessel *Morrison*, with merchants and missionaries from Macao, visited Naha in the **Ryūkyū** (Chinese, Liuqiu) Islands, was bombarded at Edo and Kagoshima, and failed to open relations. This was but one of numerous efforts by Westerners to establish more extensive contact with Japan before 1854. One reason for these efforts was that since about 1820 the northern Pacific whaling industry had greatly developed, and more humane treatment of crews of whalers wrecked in Japanese waters was sought, particularly by the United States.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1788](#))

#### 4. [Vietnam, 1802–1902](#)

During the early 19th century, the Vietnamese ruler built a Chinese-style court; internally he was called emperor, though in tributary relations with China he was called king. Before long, though, as elsewhere in East Asia, the Western powers exerted increasing pressure to secure rights to trade and proselytize on Vietnamese soil. Vietnam was the only country in East Asia to become a colony of a Western power—France—by century's end, leading to a partition of the country. 1

##### 1802–20

The reign of **Emperor GIA-LONG** (born **Nguyễn Anh** in 1762) began after his rebellious forces took Saigon with French help, won a number of victories, and finally captured Huê (1801). He established the **Nguyễn dynasty**—with its capital at Huê—which would last, in name, until 1945. He had been supported in his struggles by the French missionary **Pierre Pigneau de Béhaine** (1741–99), bishop of Adran. He moved to build a centralized monarchy on the Chinese model, with a Confucian bureaucracy, and he instituted sanctions against Buddhist and Daoist religious practices. Two regional rulers, one in Hanoi and the mighty Lê Van Duyêt (1763–1832) in Saigon, exercised considerable local authority, but their power was withdrawn under Gia-long's successor. The population of the country was roughly 8 million. Administrative sites, aside from those that were major cities or ports, did not become centers for trade; commerce was conducted, as before, at river confluences. The all-important commerce with China tended to be dominated by Chinese émigré merchants, numbering some 40,000 at this time. Land registers were updated annually beginning in 1807 as a part of Gia-long's reforms, but there were still many poor peasants and many with no land to till. Corvée requirements also fell with a heavy burden on the peasantry. Gia-long also enacted a law code (1812) patterned closely after that of Qing China. 2

Both Gia-long and his successor sought Western technology to build their military capacity as well as to modernize other sectors of the economy. Yet, for all his efforts, the Gia-long reign witnessed roughly 100 uprisings—caused by the devastations of natural disasters and the government's inability to respond.

3

Catholic missions had been active in the country since the early 17th century (See [1624](#)) and with considerable success. The French, excluded from India by the British, focused their attention ever more on Vietnam. Gia-long, while interested in Western technology, was not open to giving either the French or the British free rein in his country.

4

## 1820–41

The **reign of Emperor MING-MANH** (b. 1791) witnessed a continuation of many of the trends set in motion by his father, Gia-long. The power of the government was further centralized, and, as if by exchange, local administrative autonomy grew stronger, especially with the emergence of the *van than* class, a middle-level local stratum of intellectuals who were charged with local administration. Unlike the seemingly similar locally resident *yangban* of Yi dynasty Korea, the *van than* never became wealthy landlords. The state's inability to address problems of the poor masses also continued to plague it. There were over 200 uprisings during Ming-manh's reign. Despite these problems, he furthered use of Chinese-style civil service examinations as the means of bureaucratic recruitment. He fashioned his court in the Confucian Chinese model, and he took measures against Christianity, proscribing it as heterodox, for he suspected that Christians supported rebellious provincial lords. There were some 300,000 Vietnamese converts to Catholicism. Following an uprising in 1833 in which Christians had been involved, he began serious repression, including the execution of missionaries and converts. He was openly derisive of Buddhism as well, and Buddhist-oriented popular religions were frequently responsible for local insurrections. He refused so much as to meet with a British envoy (1822). With the dissolution of the British East India Company's monopoly of trade with China (1834) and the Opium War (1839–1842) (See [1841–42](#)), commercial relations of the Western powers within East Asia changed.

5

## 1840

Ming-manh sent missions to London and Paris to try to reach some measure of compromise with the powers supporting Christianity, but missionary animus crushed these efforts.

6

## 1841–47

During the short **reign of Emperor THIÊU-TRI**, the sanctions against Christians continued, as did the will of the ruler not to meet with foreign missions. The party of former missionary Karl Gutzlaff (1803–51) in 1847 was a complete failure. On several occasions during these years, U.S. and particularly French naval commanders intervened militarily on behalf of Catholic missionaries. In 1847 the French bombarded Danang (Tourane).

7

## 1848–83

The **reign of Emperor TU-DUC** (b. 1830) witnessed the exacerbation of problems with the Western powers and domestic troubles as well. Despite all of these problems, the deeply Confucian Tu-duc encouraged cultural development to an unprecedented extent, making his reign a high point of literary culture in Vietnamese history. He also relentlessly suppressed Christianity, sanctioning thousands of executions primarily of Vietnamese converts and of 25 Western priests.

8

## 1858, Aug

A joint French-Spanish expedition under Adm. Rigault de Genouilly, attempting to end the Nguyễn court's intransigence, bombarded Danang on the coast. Unable to proceed by land to the capital at Huê, the expedition turned south and occupied Saigon in early 1859. Britain registered no objections.

9

## 1862, June 5

The **Treaty of Saigon** was signed, following French fighting and pressure along the Vietnamese coast. It stipulated that Vietnam would relinquish to the French control over the three southern provinces of “Cochin China,” as the French and other Westerners came to call the southern part of Vietnam, and pay an indemnity of 20 million francs over ten years. Long associated by Westerners with the whole of Vietnam, the name Annam became associated henceforth with central Vietnam; and Tonkin (or Tongking) became associated with the north (taken over by the French, 1884). Free exercise of the Catholic religion was to be allowed, and three ports in the central and northern parts of the country were to be opened to French trade. Tu-duc had little choice but to go along

10

with the French; he was fighting to suppress rebellion in the north. There was much popular resistance to the French incursions, such as the “righteous army” of peasants organized by Truong Dinh (1820–64) in the Mekong delta area. Although they and similar forces raided and irritated the French, their efforts failed to sustain an effective movement.

## 1863–68

Adm. Pierre de la Grandière served as governor of Cochin China. He organized a governmental system through “admirals,” but most of the actual governing was done through Vietnamese officials. 11

## 1863, Aug. 11

**King Norodom** (b. 1836, r. 1836–1904) of Cambodia accepted a French protectorate. 12

## 1867

The French occupied the three western provinces of Cochin China, after an insurrection. 13

## 1868

French explorations were carried out along the Mekong River as far as the Chinese province of Yunnan. It was hoped that this would prove a useful route into southwestern China, but the river was shown to be unnavigable along its upper reaches, and the French therefore began to turn their attention to the Red River of Tonkin. The Mekong delta was to become the site of massive public works projects under the French, with irrigation canals dug and large tracts of land reclaimed for rice agriculture; immense rice plantations emerged, and rice exports grew tenfold between 1860 and 1900. 14





(See [1792–93](#))

## F. [The Pacific Region, c. 800–1914](#)

### 1. [The Pacific Islands, 1794–1914](#)

By the end of the 18th century, the era of European discovery was effectively over, though some significant expeditions, such as the one led by American Charles Wilkes (1838–41), made some further contributions. The 19th century saw the beginning of trade and large trading companies in the islands, the advent of Christian missions, and, most important, the annexation of the islands by European powers. By 1900, all the Pacific islands had come under some form of European control, the sole exception being Tonga, which managed to retain its sovereignty under British supervision. New tools and ideas introduced by European traders brought about profound social and economic change in the island communities and helped destabilize traditional political structures. Large-scale indentured labor migration in the islands was an important legacy of colonial rule. Among the more tragic consequences of increasing contact with the outside world were the introduction of new diseases, depopulation, and large-scale land alienation. As the 19th century ended, the islands had become deeply enmeshed in European political and economic concerns. 1

#### 1794, Feb. 25

**Kamehameha** and other chiefs place island of Hawaii under protection of British Crown. 2

#### 1797, March 6

The **London Missionary Society**, a nondenominational body comprising Congregationalists, Calvinistic Methodists, Anglicans, and Presbyterians, reached Tahiti on the ship *Duff*. It established a major station there and subsequently sent missionaries 3

to Tonga and the Marquesas Islands. **Rev. John Williams**, who arrived in Tahiti in 1817, spearheaded the society's drive in the Pacific.

## 1801

**Pork trade began between Tahiti and the British convict colony of New South Wales**, with the active backing of the latter's Governor King. It encouraged colonial entrepreneurs to pursue commercial opportunities in the South Seas and enabled the Pomares of Tahiti to use their new connection to enhance their power.

4

## 1804

The discovery of **sandalwood** in Fiji precipitated a rush in 1807 that was over by 1810. A similar short-lived rush in Hawaii began in 1811. A longer-lasting and more significant trade began in Melanesia after the discovery of sandalwood at Eromanga (New Hebrides) in 1829. The trade introduced new tools, which altered the fabric of island society and economy.

5

## 1810

**Kamehameha I** (the Great) achieved the unification of the Hawaiian Islands. Similar efforts on the part of the Pomares of Tahiti and Cakobau of Fiji met with less success.

6

## 1814

The **Church Missionary Society** established a station in New Zealand and subsequently in the Pacific islands.

7

## 1820

The **American Board of Commissioners for Foreign Missions** sent its first missionaries abroad, to Hawaii. Also, the **Wesleyan Missionary Society** sent its representatives to New Zealand and Tonga.

8

## 1828

The Dutch annexed western New Guinea. 9

## 1840

**The British claimed sovereignty over New Zealand with the Treaty of Waitangi.** 10

## 1842

**The French, led by Dupetit-Thouars, annexed the Marquesas and declared Tahiti and the Society Islands a French protectorate.** In 1844, they took Gambier Islands in the Tuamotus, claiming a protectorate over the entire group, which was formally annexed in 1881. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1785](#))

## 2. [The Philippines, 1800–1913](#)

In the course of the 19th century, corruption in the church and bureaucracy and ethnic discrimination increased social and political discontent in the Spanish colony. A fledgling export economy developed, most notably in sugar, which strengthened ties to the outside world and weakened links with Spain. The number of Chinese in the country grew, and their economic role increased. Most significant, an elite of “Filipinos” emerged, a mixed group of mestizos, indios, and Spaniards born in the archipelago who saw themselves as representatives of a distinct Philippine nation. They spearheaded the movement for overthrow of the Spanish government. Muslim power in the south was still considerable in the first half of the 19th century. Sulu in particular enjoyed the fruits of a large regional market for slaves, which led to conflict with the Spanish and British who sought to halt the slave trade. However, by the 1880s the power of Sulu and the Muslim states of Mindanao had weakened. Partly out of fear of the encroachments of other imperial powers, Spain mounted a push into the Muslim areas and was able to establish its suzerainty over the region, even though it could not exercise real administrative control. With the Philippine revolution and the American takeover, Mindanao and Sulu were effectively incorporated into the Philippine state. <sup>1</sup>

### 1820

**Mexican independence** led to a decline in trade, and the Royal Philippine Company became bankrupt. Large numbers of Spaniards and mestizos moved to the Philippines after the independence wars in Latin America. The Spaniards took privileged positions in the bureaucracy, which grew rapidly. Ethnic inequalities intensified. <sup>2</sup>

### 1823

The Mexican mestizo **Andres Novales** led a revolt in the King's Own Regiment. The uprising, which resulted from tensions between mestizos and Spaniards in the bureaucracy and the military, deepened ethnic divisions and contributed to the development of Philippine nationalism. 3

### 1826

A royal decree stated that friars should control most Philippine parishes. Indio and mestizo priests were demoted to curate rank. 4

### 1834

Manila was opened to international commerce. 5

### 1839

Removal of residence and work restrictions on the Chinese led to an increase in the Chinese population. 6

### 1841

**Apolinario de la Cruz** led a major popular uprising against the Spanish after they refused to acknowledge a religious order he had founded. 7

### 1844

The Spanish government outlawed private trading by provincial governors. This gave the Chinese new commercial opportunities, and they became an important economic presence in the colony. 8

### 1847

The mercenary **Oyanguren** annexed Davao Gulf on Mindanao for Spain. 9

## 1851

Spain attacked Sulu, destroyed the capital at Jolo, and forced the sultan to make concessions, which the Spanish interpreted as an acceptance of Spain's control over Sulu. 10

## 1859

Establishment of **Ateneo de Manila**, a school open to all ethnic groups. Such schools contributed to the emergence of an indigenous intellectual elite known as the *ilustrados*, who were instrumental in the formation of Philippine national consciousness. 11

## 1861

The government decreed that all parishes in the archdiocese of Manila be given to friars, displacing Filipino clerics. The struggle over religious appointments intensified, adding to Filipino resentment of the friars, who occupied 817 out of 967 parishes by 1898. 12

Rivalry between Buayan and Magindanao allowed the Spanish to acquire more territory in Mindanao, including Cotabato. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1792–93](#))

### 3. [Australia, 1788–1914](#)



#### [AUSTRALIA AND NEW ZEALAND \(MAP\)](#)

The 19th century in Australia was characterized by European settlement and political and economic development in European terms. British settlement saw the steady dispossession of some 200 Aboriginal groups: by 1914 only a few desert people remained in control of their country. Between 1788 and 1836, the British government or government-assisted expeditions settled all the sites to become state capitals at federation in 1901, in the east with convicts, in Western and South Australia with free settlers. Despite severe depressions in the 1840s and 1890s, white expansion was confident and prosperous. Stimulated by exports, chiefly gold and wool, by 1901 white Australians enjoyed the world's highest wage levels and living standards and were proclaiming an egalitarian society and an outpost of white civilization in the Pacific. <sup>1</sup>

The later 19th century saw many patterns emerge in Australia similar to those in western Europe and the United States, such as the development of a strong working-class movement. Gender distinctions, including insistence on the domestic responsibilities of respectable women and condemnation of those who seemed to deviate from the respectability model, also followed trends similar to those in Europe. The Australian economy developed industrial centers for the national market along with the potent commercial export economy in agriculture and mining. <sup>2</sup>

The **Dutch**, who discovered and explored the western and parts of the northern and southern coasts of Australia (1613–42), called the land **New Holland**. **Capt. James Cook**, who discovered and explored the east coast during his first voyage (1768–71), called that part **New South Wales**. In 1786 the British government decided to use a site Cook had named in New South Wales, Botany Bay, to transport convicts who crowded the British prisons after it became impossible to send them to America. The plan was to set up a **convict colony** that would support itself, although probably strategic <sup>3</sup>



considerations also influenced the choice of site.

### 1788, Jan. 26

**Capt. Arthur Philip** arrived at **Port Jackson (Sydney)**, with the **FIRST CONVICT TRANSPORTS** and convoy, 11 ships with 717 convicts, of whom about 520 were men. In the following month 15 convicts and escorts were sent to organize another settlement on **Norfolk Island** (till 1814). Philip remained governor until 1792, during the most critical period of the colony and under difficult conditions: scarcity of food; uncertainty of supplies; laziness, incompetence, and quarrelsomeness of many convicts; prevalence of vice of every kind. The colony was protected by the **New South Wales Corps**, raised in England and itself an unimpressive and insubordinate body. The governor enjoyed absolute power and alone formulated policy. The convicts were supplied from government stores, but on expiration of their terms the more deserving were given 30 to 50 acres of land. Time-expired soldiers were given grants of 80 to 100 acres. The officers were more richly endowed, and some of them, like **John Macarthur**, soon became wealthy and influential.

4

### 1792–95

**Francis Grose** and then **William Paterson** acted as vice governors. As members of the **New South Wales Corps**, they provided richly for their comrades. The officers were given the service of convicts and were allowed to establish a monopoly of cargoes brought to the settlement. **Importation of rum** was permitted, and rum soon became currency, much to the detriment of the settlement.

5

### 1793, Jan. 16

**Arrival of the first free settlers** (11 in all), who received free passage, tools, convict service, and land grants.

6

### 1795–1800

**John Hunter**, governor. A mild, well-intentioned administrator, he was soon at loggerheads with the officers of the corps, through whose influence at home he was ultimately recalled.

7

## 1797, May 16

The first merino sheep were imported, leading eventually to the creation of the Australian wool industry.

8

## 1800–6

**Philip King**, governor. His main ambition was to break the power of the officers, wherefore he forbade their trading and prohibited the importation of spirits. Neither policy proved much of a success, and so King, like his predecessor, was in constant conflict with the officers, of whom Macarthur was the leader.

9

## 1803–4

**Settlement of Tasmania**, carried through by the governor for fear that the French might seize it. Settlements were established near present-day **Hobart** and near **Launceston**. In 1810–14 the convicts on Norfolk Island were transferred to Tasmania. From the outset the settlers had much trouble with Aborigines and bushrangers (escaped convicts turned bandits and freebooters).

10

## 1804

**Insurrection of the Irish convicts**, who had been sent in large numbers after the suppression of the revolution in Ireland in 1798. The rising was put down with ruthless vigor.

11

## 1806–9

**William Bligh**, governor. He was appointed in the hope that, as a well-known disciplinarian, he would be able to end the domination of the officer clique and stop the disastrous liquor traffic. But his drastic methods and fiery temperament resulted merely in rebellion.

12

## 1808, Jan. 26

**Rum Rebellion.** The officers, outraged by the arrest of Macarthur, induced the commander, **Maj. George Johnston**, to arrest Bligh as unfit for office and to hold him captive until the arrival of a new governor (1809). Though the home government condemned this action, it removed Bligh.

13

## 1821

**COL. LACHLAN MACQUARIE**, governor. His appointment marked the **end of rule by the naval commanders**. Macquarie took his Highland regiment to Australia and obliged the members of the New South Wales Corps to enlist in the regular force or return home, which about one-half of them did. The new governor devoted himself to the systematic buildup of Sydney, road construction, establishment of orphanages, and unrelenting war on the vice prevalent throughout the colony. **Civil courts** were established (1814) and a bank opened (1817). In 1816 the home government removed all restrictions on free emigration to Australia, thus preparing the way for a change in the character of the colony. But by 1810 there were already 3,000 free settlers, endowed with large blocks of land. These freemen objected violently to **Macquarie's efforts to secure social equality for the emancipists** (pardoned convicts or those who had served their time) and to discourage free immigration. As a result, Macquarie, like earlier governors, was engaged in constant struggle, though on a different basis.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **4. New Zealand, c. 800–1913**

Archaeological evidence dates the earliest human occupation of New Zealand to around the 9th century C.E. (See [The Pacific Islands in Pre-European Times](#)). According to Maori tradition, the ancestors of the **Maori people migrated by sea to Aotearoa (New Zealand) from Hawaiki**, thought to be in the eastern Pacific. Maori artifacts and language show affinities with those of Eastern Polynesia. Many Maori genealogies trace tribal descent from **ancestral canoes**, each of which is associated with a particular area of the country. The Maori had a sophisticated Neolithic culture based on agriculture, fishing, and the hunting of birds. Maori society adapted successfully to New Zealand where the climate was much colder and vegetable food less abundant than in their area of origin. Maori people lived throughout the country but were concentrated in the North Island. Demographers estimate the Maori population was around 100,000 in 1769. <sup>1</sup>

Concepts of prestige (*mana*) and the rules of sacred propriety (*tapu*) have always been fundamental to Maori religious and political life, reflected in sophisticated **carving and oral literature**. **Land** and **ancestors** were and still remain vital elements in Maori culture. Intertribal relations were intensely competitive and, in response to warfare, **defensive engineering** was highly developed. <sup>2</sup>

#### **1642**

**The first contact between Maoris and Europeans** occurred when the Dutch explorer **Abel Tasman** (See [1642–44](#)) landed briefly in the South Island and gave the country the name Nieuw Zeeland. Tasman's stay was extremely short and had little impact beyond making the existence of the country known to Europeans. <sup>3</sup>

#### **1769, 1773, and 1777**

**CAPT. JAMES COOK** led expeditions to New Zealand (See [1768–71](#)). These <sup>4</sup>

expeditions transmitted information about the country's geography, flora, fauna, and culture back to Europe. Starting with Cook's expeditions, **European diseases, plants, and animals** entered New Zealand, bringing about important changes in the Maori population and the landscape.

In the 1790s Euro-American **whalers** and **sealers** began to establish permanent stations in New Zealand. Trade in products such as timber and flax, particularly with Australia, brought the Maori into increasing contact with the world economy.

5

## 1814–1913

In the first half of the 19th century the Maori remained the dominant culture in New Zealand. Quickly adapting imported technology to their own ends, the Maori exploited the new opportunities brought by contact with foreigners. At the same time, disease, the capitalist economy, and new ideologies transformed Maori society and politics. Relations with Europeans varied from place to place, largely in accordance with tribal political needs. A treaty between Maori leaders and Britain in 1840 established British authority over the country, initiating a rapid growth in immigration from Britain. Despite active political and military resistance by the Maori, Europeans had taken control of most of the country by 1870. Maori population and landholdings both declined, although charismatic leaders helped to maintain communal cohesion. After 1852 New Zealand became a self-governing British colony, and in the late 19th century its politics came to be characterized by a populist form of social democracy. Economic expansion, based on gold and agriculture, was stimulated by ambitious programs of government borrowing and public works in the last quarter of the 19th century. In the 1890s, New Zealand carried out a series of social reforms, including women's suffrage, social welfare measures, and government-controlled industrial arbitration.

6

## 1814

Beginning with **Samuel Marsden**, English missionaries attempted to convert the Maori population to Christianity. Marsden established the first Church of England mission in the Bay of Islands. The missionaries also gave the Maori language a written form. In 1815 the **first Maori-English dictionary** was compiled, and more standardized and accurate orthography was developed in 1820. Literacy spread quickly among the Maori.

7

## 1820s

Western technology, such as clothing, guns, and metal implements, and food plants like the potato became pervasive among the Maori. Disease and intertribal wars prosecuted by chiefs such as **Hongi** and **Te Rauparaha** disrupted Maori society. 8

### 1830s

**Maori people were significant participants in the growing commerce with the outside world**, marketing flax to Australia in the period prior to 1831 and exporting large quantities of grain and legumes to New South Wales in the 1830s. Another transformation occurring at this time was the growing number of European residents, many of whom purchased land from the Maori. However, the Maori remained the key political force in New Zealand until the middle of the 19th century. 9

### 1833

First record of the **Papahurihia millennial movement**, a Maori response to the influx of Christian ideas resulting from increased missionary activity, including the translation of Christian writings. It was the first of many prophetic movements fusing Maori belief and Christianity in the postcontact period. 10

**James Busby** became British resident, the first official representative of the British government in New Zealand. 11

### 1835

A group of Northern Maori chiefs asserted their political sovereignty by drawing up a **declaration of independence**, later recognized by the British government. 12

### 1837

Busby reported to the British Crown that New Zealand was in a state of anarchy. Although a distorted picture of the situation, this prompted the British government to intervene more deeply in the country. Opinion differed among the British in New Zealand; some wanted to safeguard Maori rights, whereas others wished to open the country for settlement. Both groups, however, called for intervention by Britain. 13

## 1838

Founding of the **New Zealand Company** in Britain, which proposed sending immigrants to set up a colonial society founded on a strong middle class. 14

## 1839

**William Hobson** was sent by the British government to negotiate with the Maori, paving the way for annexation of New Zealand. 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## G. [Africa, 1795–1917](#)



### [THE PARTITION OF AFRICA, 1914 \(MAP\)](#)

#### 1. [Overview](#)

Given the importance of the transatlantic slave trade for African history during the period 1500–1800, it would seem logical that the abolition of the slave trade, first declared by the Danes in 1792, but enacted by Britain in 1807, would be a major watershed. Indeed it was, but such was the resiliency of African historical process that it took many decades before the abolition of the European slave trade was felt in Africa. 1

The **abolition of the European slave trade** did not mean the end of slave exports. Britain embarked on aggressive diplomacy to bring the other European nations into the accord. However, as long as there was demand for slaves in the Americas and in the emerging French Indian Ocean plantation islands, African suppliers and European and American carriers would bring slaves to the buyers. Thus, the end of the transatlantic slave trade occurred when Cuba and Brazil began to enforce the prohibition on slave imports in the 1860s. Disguised slave exports persisted well into the 20th century. 2

However, Britain's prohibition of the slave trade to its nationals in 1807 did signal an important change in the organization and nature of the international economy. 3  
Increasingly throughout the 19th century, **industrial capitalism shaped the demand and supply of goods and service on a world scale**. European industries and the mass markets they fed required massive inputs of **tropical raw materials**, including vegetable oils and cotton. Europeans now wanted Africans to remain in Africa, cultivate the tropical commodities they needed, and consume the products of their industries.



European prohibition on the slave trade confronted African political economies in which warfare and enslavement had become deeply embedded. It was not easy to retool the engines of state enterprise. The crisis African states faced was, however, eased by the gradual decline in demand for African slaves in the Americas and by the coincident **expansion of demand for slave labor in Africa** itself. Slavery was a very old institution in Africa, and it had always been a means of increasing the size of domestic groups. In the face of demand for African agricultural commodities, Africans increasingly turned to slave labor to augment the scale of production. By reducing the price of African slaves, the abolition of the transatlantic slave trade paradoxically encouraged the expansion of slavery in Africa. 4

The **African slave market** had traditionally **avored females**. Female slaves added significantly to the reproductive potential of African households, and most African farming systems relied heavily on female labor. It is not at all clear whether this gender division of labor shaped African preferences for female slaves or whether the presence of female slaves encouraged female farming. Politically ambitious men in matrilineal societies, such as the Yao of East Africa, used female slaves as a means of attracting male followers and as a means of developing junior patrilineages in order to gain control over their own offspring. **Female slaves further encouraged the development of patriarchy and polygyny**. Since most Africans at this time lived in rural settings, additional agricultural labor was always desirable. 5

Between 1800 and 1914, Africans were drawn into a rapidly changing international economy. The new international economy intersected with ongoing processes of change in Africa. The result was a **speeding up of conflict and change in Africa**, leading increasingly to conflicts between African groups and between Africans and Europeans as Europeans scrambled to claim African territories as colonies. These processes occurred unevenly throughout the continent. By 1914 most of Africa was under **European colonial control**. 6

In southern Africa, the 19th century opened as Africans pursued their own state-building activities. This was most pronounced among the Nguni-speaking Bantu of southeastern Africa. Increased international commercial activity at Delagoa Bay intersected with human and livestock population growth and led to **ecological crisis**. In the foothills of the Draksenburg Mountains, Dingiswayo of the Mthwethwa introduced significant organizational innovations that yielded a powerful military machine. Under his successor, Shaka, the Zulu kingdom became a major polity in the region. Its military campaigns unleashed **reverberating cycles of warfare, political consolidation, and political dissolution** (known as the Mfecane), which reached as far north as Tanzania. White Afrikaner pioneers, called the **Trekboers**, entered this area in the 1830s after fleeing from British-controlled areas of South Africa. The better armed Afrikaners became only one more state-building group in this region, whose history over the course of the 19th century was characterized by conflicting but fluid frontiers. 7

The **discovery of diamonds in 1867 and gold in 1887** profoundly changed both white and black southern African societies and drew them all into an economy dominated by mining enterprises and the need to secure cheap labor. Providing labor for the mines or food for miners initially offered Africans new economic opportunities and introduced a brief period of prosperity. Africans, however, increasingly sought the independence of agriculture in preference to the discipline of the mines. White South Africans and their governments sought to limit Africans' choices and to force them to provide cheap agricultural or mining labor. The South African War (1899–1902) eventually yielded a unified South Africa firmly dedicated to white political and economic superiority.

8

East Africa was drawn increasingly into a world in which the European economic system was becoming dominant. Deeper patterns of Indian Ocean commerce persisted, but demand expanded for **slaves and ivory**, both essentially predatory activities. Slaves were being drawn to supply demand in the Americas, in the Indian Ocean plantations, the trans-Saharan and Red Sea trade, and in the Swahili slave economies of the coast. Africans and Arab plantation owners began to acquire slaves as agricultural labor in order to service international demand for cloves as well as regional demand for food for the slave and ivory caravans. Long-distance caravans organized by African merchants from the interior and by Swahili merchants from the coast crisscrossed East Africa, pushing ever deeper the **frontiers of international commerce**. These trends coincided with the waves of warfare and state building flowing from the South African Mfecane, yielding increasing cycles of predation and enslavement. In the waning days of the century, rinderpest, jiggers, smallpox, and other epidemics profoundly destabilized African societies. Human and animal populations declined. Rinderpest alone contributed to the loss of up to 90 percent of all large livestock. For cattle-keeping societies, this loss was catastrophic.

9

In the interlacustrine region, the 19th century witnessed the **consolidation of larger state systems** at the expense of the smaller polities. Buganda emerged preeminent in the region of Lake Victoria, developed a centralized bureaucracy, and began a process of colonization of the outlying regions. The cattle-keeping Tutsi warrior aristocracies emerged successfully in Burundi and Rwanda, structuring the region's economies through their loans of cattle and dependents. In the Sudan, Egyptian forces were trying to impose their authority over the fluid slave-catching frontier, which funneled large numbers of slaves down the river and into the agricultural regions of Egypt. From 1881 to 1885, the Egyptian forces confronted the state-building endeavors of the Mahdi. Intra-European competition for control over the region led to a serious diplomatic crisis in Europe.

10

In West Africa the century opened as the **militant Muslim forces** were about to embark on the jihad that led to the founding of the Sokoto Caliphate. The waves of Islamic expectancy and militancy reached outward and led to the founding of the Hamdullahi Caliphate in Masina and the Usonian state farther west. Under several of these religious

11

polities, Islamic education and piety made significant advances. The Sokoto Caliphate emerged as one of the strongest states in West Africa.

State building and consolidation were not limited to the interior. In the 19th century, the Asante strengthened a powerful empire in the forest region of what is now Ghana and centralized state power through elaborate **bureaucracies** of state officials. As in the theocratic states of the interior, the forest states were also based upon warfare, conquest, tribute, and the resettlement of captured population.

Perhaps the most striking change to occur in West Africa was the rapid expansion of international commerce in bulk vegetable commodities, especially palm oil and peanuts. For example, the peanut exports from the Gambia rose from a mere 47 tons in 1835 to over 11,000 tons in 1851. Similar patterns of expansion occurred throughout the coastal zones of West Africa and demonstrated how rapidly Africans responded to economic incentives. This has been called the **West African peasant revolution**, and it introduced significant changes in the region's political economy. European merchants established mutually beneficial commercial relations with African middlemen and African producers. Until midcentury, the **barter terms of trade favored African commodity producers**, who benefited both from rising commodity prices and falling prices for manufactured goods. By midcentury, commodity prices began to fall, and by the onset of the European depression of 1867, the international commerce of West Africa was in turmoil. European and African merchants competed for diminishing shares of the market, which led to bankruptcies, fraud, and commercial conflicts. European merchants petitioned home governments for protection. The pace of European colonialism increased, and by the 1870s, the scramble was on.

Until the 1870s, Europeans had neither wanted nor were able to impose themselves on Africans. However, **medical and technological innovations**—including the discovery that quinine provided prophylaxis against malaria, and the invention of the repeating rifle—provided the means for Europeans to defeat Africans in battle and to survive afterward. This window of military superiority closed rather quickly. In 1896, the African army of Menelik II was armed with modern repeating rifles and resoundingly defeated the invading Italian army at the **Battle of Adua** (Adowa). The Battle of Adua marked the end of the “scramble phase” of European colonialism.

By then, however, Europeans had laid claim to all of Africa except for Liberia, which since 1847 had been an internationally recognized republic under the rule of returned African-American freed slaves, and Ethiopia. Europeans' actual control over the land and peoples of Africa was much more doubtful. Indeed, Europeans and their African allies fought widespread resistance movements in the decades immediately following conquest. Some of these **primary resistance movements** drew on well-established forms of organization, such as polities. Others, including the Chimurenga in Southern Rhodesia and Maji Maji in Tanganyika, forged new organizations and networks. Resistance organized by polities was more easily suppressed, since Europeans usually

maintained decisive military superiority, and there was usually someone who could surrender. Resistance by acephalous societies proved remarkably difficult to suppress, since each community had to be defeated in turn.

**Other forms of resistance**, including migration, tax evasion, disobedience, and disrespect, were much less obvious and much more difficult to control. Such forms of resistance continued throughout the colonial period. Even more difficult for colonial officials to understand and to control were the ways in which Africans turned to Christianity and to Western education as means of resisting the power of colonial rule.

16

The missionary enterprise was an intimate part of European cultural imperialism. Christianity provided Africans with a means of creating a new sense of community. Since the BaKongo prophetess Beatrice Kimpa Vita of the late 17th century, Africans had sought to Africanize European cultural institutions such as the church. Church practices could be shaped to address African concerns more directly. **Breakaway African churches**, which predated colonialism but proliferated under European colonial rule, demonstrated how Africans used Western cultural institutions to resist European domination. Africans also turned to Islam in increasing numbers during the colonial period. African Muslims joined **Sufi brotherhoods** as a means of simultaneously creating new communities and maintaining cultural and political distance from European institutions.

17

Even European-dominated mission enterprises provided Africans with new opportunities. Particularly in central, eastern, and southern Africa, mission stations formally linked to European churches became sanctuaries to which runaway slaves and oppressed women could flee. Equally important, missions became the primary medium for the **expansion of Western literacy** and thus provided the training for a generation of African nationalists. (See [Overview](#))

18

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1792–93](#))

## **2. European Exploration, 1795–1895**

### **1795–97, 1805–6**

**MUNGO PARK** explored the **Gambia** and reached the **Niger** at Segou, finally establishing the fact that the great river flowed east. During his second voyage, Park drowned in the Niger near the Hausa state of Yauri. 1

### **1798–99**

The Portuguese **Francisco de Lacerda** traveled from Tete on the Zambezi northward to **Lake Mweru**. 2

### **1802**

**Pieter Jan Truter** and **William Somerville** explored **Bechuanaland** and penetrated the interior almost as far as **Lake Ngami**. 3

### **1802–11**

The Angolan of color **Pedro Baptista** and **A. José** **crossed the continent** from Angola to Tete on the Zambezi. 4

### **1815**

**France abolished the slave trade.** Other countries (notably Spain and Portugal) followed suit. 5

### 1818

**Gaspard Mollien** discovered the **sources of the Gambia and the Senegal rivers.** 6

### 1821–25

**Walter Oudney, Dixon Denham, and Hugh Clapperton** journeyed from Tripoli across the desert to **Lake Chad** and thence westward to the **Niger**, proving that the river had no connection with the lake. 7

### 1825–26

**Alexander G. Laing** crossed the desert from Tripoli to **Tuat** and thence to **Timbuktu**, the first 19th-century European to visit that city. Laing was killed on his return across the desert. 8

### 1825–27

Clapperton led another Niger expedition from the coast to the interior. All members of the party become ill with malaria and dysentery. Richard Lander accompanied the expedition. Clapperton died in Sokoto in 1827. 9

### 1827–28

**René Caillié** reached **Timbuktu** from Guinea and proceeded thence to Fez. 10

### 1830–34

**Richard and John Lander** explored the lower **Niger** from Bussa to the sea. Richard Lander died along the Niger River.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1776](#))

### 3. [Regions](#)

#### a. [Sudanic West and Central Africa](#)

##### 1804

The career of **Usuman dan Fodio** (b. 1754) began in the late 18th century, when he traveled throughout the **Hausa kingdom of Gobir** as an itinerant Muslim teacher. He attracted many followers, among whom were newly won converts as well as Hausa farmers and Fulani pastoralists who nursed **grievances against the entrenched Hausa leadership**. In 1804, dan Fodio withdrew his allegiance to the Hausa ruler and launched a major  **jihad**. **Following the model of the Prophet**, Usuman dan Fodio led his followers on a **hijra**, a flight from unbelief, to a rural outpost on the border of Gobir. At first the jihad was designed merely to protect the Islamic community that had grown up around dan Fodio, and was restricted to Gobir, Kebbi, and Zamfara. Later it developed into a **war of conquest**, spilling over into Kano, Zaria, Nupe, and Borno. Dan Fodio's success in spreading Islam constituted one of the most important **Muslim revival movements** of the 19th century. 1

##### 1808

**Sheik Muhammad b. Amin b. Muhammad al-Kanami** came to power by leading a resistance movement against Usuman dan Fodio's forces in Borno. In a series of important letters, al-Kanami **challenged the legality of the jihad against Borno**, since Borno was also a Muslim polity. Although Borno lost some of its western provinces to the Sokoto Caliphate, Sheik Muhammad al-Kanami's efforts eventually led to a rejuvenation of Borno's political institutions and a revival of Islam. After having turned back the jihad, al-Kanami gained an enormous following and ousted the ruling Borno dynasty in favor of his own. 2



## 1812

Following the success of his jihad, Usuman dan Fodio established the **Sokoto Caliphate**, a powerful Muslim empire.

3

## 1810 or 1818

**Seku Ahmadu**, also known as Ahmadu Lobbo, a former student of Usuman dan Fodio, opposed the mixture of traditional beliefs and Islam so commonly tolerated among West African leaders. In either 1810 or 1818 (the exact date is uncertain), he led a jihad against the Muslim chiefs in Masina; later the jihad expanded to include the Bambara. Seku Ahmadu established an austere Muslim empire ruled from the newly built city of **Hamdallahi**.

4

## 1817

Following dan Fodio's death, his son, Muhammad Bello, succeeded. Bello ruled from 1817 to 1837, during which time the caliphate's power was consolidated. Fulani loyalists under nominal allegiance to dan Fodio and Bello then launched successive military campaigns to expand the state's borders. The **walled city of Sokoto** became the capital of the eastern half of dan Fodio's empire. **Ribats**, fortified posts, were erected in newly conquered territory. The Sokoto Caliphate became one of the most dynamic political, religious, and economic regions in Africa. Part of its prosperity came from the **relocation of captured slaves to the core areas of Hausaland**, where they contributed to agricultural, craft, trading, and herding activities. **Indigo-dyed Hausa cloth** fed demand as far west as Senegal and deep into the Saharan desert. Under the Sokoto Caliphate, Arabic became the language of diplomacy, and the aristocracy developed distinctive vernacular poetry. Each year, the Sokoto Caliphate launched new military campaigns to expand the empire or to reclaim territory lost to rebellion.

5

## 1848

Having returned from the pilgrimage, where he was introduced into the **Tijanyyia brotherhood** and became the Tijanyyia leader of West Africa, **al-hajj Umar Tal** (b. 1794) launched a jihad. In 1848, Umar Tal, originally from Futa Toro, established an

6

Islamic state in Duinguiray. In 1852–53, he launched a jihad against the Bambara of Kaarta; by 1854, he had established control over the Bambara and Malinke societies of the upper Niger and Senegal basins. Facing increasing pressure from French colonial expansion along the Senegal River Valley, in 1860 he launched a jihad against the Segu Bambara. By 1862, Umar Tal had conquered Masina and established a large empire. At its peak, the Umarian Empire stretched from the lower Senegal in the west to Timbuktu in the east, and from Guemou in the north to Duinguiray in the south. Unlike earlier jihads, that of Umar Tal occurred during the French conquest of West Africa. The Umarian Empire was not stable and suffered from **endemic resistance** and **civil wars**.

### 1855

The **French** built a fort at Medine to fight against al-hajj Umar.

7

### 1856–58

**N'Diambour, Sinn, and Salum** submitted to the French.

8

### 1859

**French control over Senegal** was expanded.

9

### 1862

Al-hajj Umar conquered Masina and occupied Hamdallahi in 1862. During the conquest of Masina, the empire was under the leadership of the original Seku Ahmadu's grandson, who shared his grandfather's name. Umar was killed shortly thereafter during **widespread revolts against the Umarian conquest**.

10



(See [1799](#))

## b. [Forest West Africa](#)

### 1792

Although only a marginal carrier, **Denmark prohibited the slave trade to its nationals, the first European nation to do so.** <sup>1</sup>

### 1806

The **Asante** defeated the Fante at Abora, near Cape Coast. <sup>2</sup>

### 1807

By passing the Act for the Abolition of the Slave Trade in 1807, **Britain became the first major slave-trading nation to prohibit the trade.** The British government authorized its navy to begin suppressing the human trade and to pursue a diplomatic offense to force other European carriers to abolish the trade. Although the slave trade **continued into the 1880s**, the volume of slaves exported overseas declined. In its place, the **industrializing countries of Europe sought tropical commodities, such as vegetable oils and cotton, to feed their mills.** Shifting European demand from slaves to agricultural produce induced a **peasant revolution** in West Africa, as Africans increased agricultural production. <sup>3</sup>

### 1808–15

Six thousand slaves were captured at sea by the **British Anti-Slavery Squadron** and released in Sierra Leone.

4

### c. 1810

The **Yoruba kingdom** was subject to civil wars. Oyo was sacked. Illorin became an independent kingdom.

5

### 1811

An **Asante** campaign against the Fante failed.

6

### 1814

In 1814 the **Church Missionary Society (CMS)** established a school at Freetown in order to train freed slaves as teachers and missionaries. In 1827 the school was moved to Fourah Bay, east of Freetown. It eventually broadened its focus beyond missionary training and offered a general curriculum in higher education.

7

### 1815 Ff

The British used the court of admiralty in Freetown to “**liberate**” slaves captured on the high seas. Shortly after the passage of the antislave trade act, the **British Anti-Slavery Squadron** began patrolling the West African coast to intercept ships illegally carrying slaves. Intercepted ships were brought to Freetown in Sierra Leone. There a court of vice-admiralty prosecuted crews and freed slaves. Despite the British patrols, the slave trade was not eradicated.

8

### 1816

Building of **Bathurst**, Gambia, began.

9

### 1817

**A jihad was launched in Ilorin**, and a Fulani emirate linked to the Sokoto Caliphate was established. The jihad in Ilorin, formerly a dependency of the Oyo Empire, also coincided with **expansion of civil wars in Yorubaland, which led to the destruction of Oyo**. Decades of turmoil and fighting fed the slave trade. 10

## 1821

British possessions in Sierra Leone, the Gold Coast, and the Gambia were joined as the **British West Africa Settlements**. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1800](#))

### c. [Northeast Africa \(Horn\)](#)

#### 1. Ethiopia

##### 1800–55

Ethiopian “**Zamana Mesafent**” (“era of the princes”) was marked by a breakdown of central power and the **emergence of regionally based feudalism**. During this period the imperial monarchy survived in form but was without substantial authority. There was rivalry among regional feudal lords to become the most powerful in order to dominate the emperor. The Ethiopian Church was also riven by factions. The feudal lords were supported by in-kind payments and corvée labor of the peasantry, who were further undermined by the constant state of war among the regional princes. 1

##### c. 1800–20

**Galla kingdom** of Enarea was founded. 2

##### 1838

**Protestant missionaries** were expelled from Tigre. 3

##### c. 1842

**Lazarist missionaries** arrived in Tigre and Eritrea. 4

### c. 1847

**Theodore**, the future emperor, organized rebels and overran Gondar.

5

### 1855–68

The **modern period in Ethiopia** began with the reign of **Tewodros II**, who consolidated and recreated the Ethiopian Empire. Tewodros established a **national army and appointed salaried governors and judges** after defeating feudal lords. Initially he was allied with the church, but he attempted to reform it. Excess church land (beyond that needed to support essential clergy) was redistributed, and Tewodros permitted the introduction of an **Amharic Bible by Protestant missionaries**.

6

### 1866

The Gondar region rebelled against **Tewodros**, who imprisoned several British officers.

7

### 1867

A **British punitive expedition**, involving 68,000 men under Sir Robert Napier, was sent to release British prisoners held by **Tewodros**.

8

### 1868

**British forces** freed British prisoners, and Tewodros committed suicide. The British expedition demonstrated the power of **modern weaponry**.

9

### 1872, Jan



**Yohannes IV** achieved the Ethiopian throne. He was more successful than Tewodros in bringing about **unification** by following a conciliatory policy toward both the nobility and the clergy. He supported **modernization of the military with imported firearms and a British adviser**. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1800](#))

## d. [East Africa](#)

### 1. Swahili Coast and Hinterland

#### 1800

**Nyamwezi** people from the Tanganyikan interior established a **long-distance caravan trade to the Swahili coast**, trading ivory for beads and cloth. Omani authority on the Swahili coast was significant only in Mombassa, Zanzibar, and Kilwa; other towns were dominated by local rulers. 1

#### 1800–45

**Increased long-distance trade initiated change in interior societies**, with rise of wealthy traders known as “**BIG MEN**” who used their wealth to attract followers. Regional cultural practices developed, and there was intermarriage among groups. Coastal towns became bigger and more ethnically mixed. **Plantation and domestic slavery** grew at the coast. **Slave concubinage** led to a cultural mix of African and Arab. Trade led to the **spread of Islam and the Kiswahili language** in the interior. 2

#### 1806–56

**Sayyid Sa’id bin Sultan** ascended to the Omani throne. 3

#### 1814

**Adballah ben Ahmad al-Mazrui**, governor of Mombassa, declared Mombassa independent. 4

## 1814–40

**Sayyid Sa'id** moved to reestablish Omani dominance of Swahili towns, displacing the Mazruis (1822–37) in Lamu, Pemba, and Mombassa. 5

## c. 1818

**Cloves** were introduced into Zanzibar. 6

## 1822

**Hamid ben Ahmad al-Busaidi**, sent by Sayyid Sa'id, compelled Barawam Lamu, Pate, and Pemba to acknowledge Omani suzerainty. 7

## 1827

**Sayyid Sa'id** visited his domains in East Africa. 8

## 1830–80

**EXPANSION OF IVORY AND SLAVE TRADE** drew East Africa into the capitalist world economic system before the dawn of colonial rule. By the 1870s, most of the East African interior was integrated into the international trade network through Zanzibar. **Swahili-Arab traders** began to trade in the interior for ivory and slaves. Slaves were sought for foreign trade and for clove and other plantations on islands and the coast, while cloth, copper, beads, and guns were traded in the interior. Ivory trade thrived with the Nyamwezi in the central region, while wars encouraged slave trade in the southern region. Interior peoples, especially the Nyamwezi, Kamba, and Shambaa, took an active role in long-distance trade as porters to the coast. **Ivory and slave trades also stimulated interregional trade** in the interior, especially of iron and salt. **The slave trade caused great disruption** among interior peoples but brought wealth to 9

groups acting as raiders and traders. Villages became more compact for defense purposes. Swahili-Arab traders influenced styles of dress and introduced imported goods. **Guns were common by 1860.** Rectangular building styles spread inward from the coast. Trade led to a mixing of ethnic groups at the coast and at interior trading centers. Involvement in trade also led to the emergence of “big men” who amassed followers on the basis of new wealth, unconnected to traditional sources of authority such as religion. Coastal trade also influenced a shift in the interior to **societies based more on military power than on religious authority.**

## 1840

**Sayyid Sa’id moved the Omani capital to Zanzibar** and began to reorient the Swahili trading economy toward exports. <sup>10</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1800](#))

### e. [West Central Africa](#)

#### 1800

Around this time, **Swahili-Arab** traders in **slaves and ivory** established trading posts in northeastern present-day Zambia and southeastern present-day Zaire. These posts came to take on a **military character and supplanted local chiefs in the eastern Lunda Empire**. <sup>1</sup>

#### 1800–73

Consolidation and expansion of the **Lunda Empire** under a succession of rulers: **Yavo ya Mbanyi** in the early part of the century, **Nawaji ya Ditende** (c. 1821–c. 1853), and **Muteba ya Chikombe** (c. 1857–73). The empire was ruled through a combination of traditional leaders and an appointed bureaucracy. It was knitted together by an ideology of unity and a balanced administrative structure. The empire was also strengthened by a location suited to agriculture and by the copper and salt trade. Wealth was also based on the **slave trade for export and for domestic slave labor**. <sup>2</sup>

#### 1819–21

**Cotton** cultivation was introduced into Angola. <sup>3</sup>

#### 1822

Popular **uprising and mutiny** in Luanda. 4

**1834**

Angola ignored **antislavery** prohibitions. 5

**1838**

The governor of Angola **was removed for trafficking in slaves**. 6

**1839**

**King Denis**, chief of the left bank of the Gabon River, accepted the French treaty. 7

**1840**

As part of the **new Portuguese expansion into Angola**, merchants founded the port of **Mocamedes** to tap into the ivory trade of the southern highlands. 8

**1842**

**King Louis**, chief of the right bank of the Gabon River, accepted the French treaty. 9

**1844**

**Holy Ghost Fathers** started missionary work in Gabon. **Protestants** opened a mission station at Bimbia. 10

**1845**

**Baptist** missions opened at Douala. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1800](#))

## f. [Southern Africa](#)

### 1. North of the Limpopo

#### c. 1800–50

**Exports of slaves** from Mozambique to South America rose to over 15,000 per year. In some years, 25,000 slaves were exported. <sup>1</sup>

#### 1800–40

**Lozi state**, composed of pastoralist people on the Zambezi floodplain, emerged. The Lozi king acted as the owner of cattle, which he redistributed in return for other goods, generating a kind of internal trade. <sup>2</sup>

#### 1827–29

**A Portuguese garrison** was established in Lundazi District, Zambia. <sup>3</sup>

#### 1840–64

The **Lozi** of the Zambezi floodplain (Zambia) were conquered and ruled by **Kololo** cattle-raiding migrants from Botswana, displaced by the social disruption known as **Mfecane**, who successfully adopted the Lozi canoe-based tributary system. The Kololo also entered the Angolan slave trade with captives generated by cattle raids, beginning in 1850. Soon thereafter they also entered the ivory trade, which brought about tensions <sup>4</sup>



leading to the **kingdom's disintegration** in the 1860s.

### c. 1840

**Ndebele trekked** to Matabeleland and defeated the Kalanga and the Rozwi. Kololo migrated across the Zambezi to the Tonga Plateau. **The Ngoni incursions began**, destabilizing wide swaths of the Central and East African interior. 5

### 1850–65

**Export of slaves** from Mozambique declined and then ended. 6

### 1859

**London Missionary Society mission** founded in Inyati, Southern Rhodesia. 7

### 1861–64

Failure of the **UMCA** (University Mission to Central Africa) mission to Shire Highlands, Nyasaland. 8

### 1862

**J. S. Moffat** joined the mission at Inyati. 9

### c. 1873

Four hundred white and black pupils attended **schools** in Mozambique. 10



(See [1778–1800](#))

## **g. [Madagascar](#)**

### **1800–10**

**Andrianampoinimerina** (Nampoina), having come to power in 1783, conquered neighboring kingdoms and **reunified Imerina** through strength of imported arms by 1806. Nampoina consolidated power and the authority of the king as owner of land. He inaugurated a system of corvée labor for public works. Wars generated slaves for export and internal use. 1

### **1803**

**A French** force established itself at Tamatave. 2

### **1810–28**

Rule of **Radama I**, son of Nampoina, in Imerina. 3

### **1811**

**The British** occupied Seychelles, Madagascar, and Île de France. 4

### **1817**

**Radama I** began campaigns of conquest and **reforms to modernize the army with European advisers**. The army reached a strength of 15,000 with modern arms, enabling the conquest of much of Madagascar. This conquest ended the country's isolation, leading to importation of more European goods and ideologies. Under British pressure, **Radama agreed to a treaty to prohibit the slave trade**.

5

## 1820

**The London Missionary Society (LMS)** established a mission station at **Tamatave**.

6

## 1822, Feb. 22

Radama I declared sovereignty over all Madagascar.

7

## 1826

LMS opened 30 **schools** throughout Madagascar.

8

## 1827

Having adopted phonetic Roman orthography for Malagasy, there was a **rapid spread of literacy**. Radama I also encouraged the spread of **European building and crafts** in the capital.

9

## 1828, July 27

**Radama I died**, succeeded by his wife, **Ranavalona**, with support of a consortium of chiefs and the Europeanized ruling class. Britain terminated the treaty of protection. Unsuccessful **uprising of Sakalava** against Merina.

10

## 1830–40

Reaction against Western involvement in Madagascar led to **persecution of Christians** in Imerina. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **[H. North America, 1789–1914](#)**

### **[1. The United States, 1789–1877](#)**

#### **[a. Overview](#)**

The period between the new Constitution and Reconstruction is perhaps the most significant phase of American history. This period not only witnessed the gradual growth of respect for American sovereignty abroad, but also entailed dramatic economic, population, and territorial growth at home, including **early industrialization, immigration, and urbanization**. Even in rural areas, growing **commercialization** entailed new motivations and anxieties as well as increased production for the market. Commercialization even affected family roles and values, with growing emphasis in the rising middle class on the home as moral haven. In some sectors the **per family birthrate** began to drop. 1

Closely intertwined with these demographic, economic, and territorial changes were far-reaching cultural and political transformations: the rise of political parties, universal suffrage for white men, and a plethora of new religious and social movements. Although the nation deepened its economic, social, and political independence during the period, it moved only slowly toward cultural independence from the elite traditions of Europe. At the same time, the **removal of Native Americans** from western lands to make way for white settlers and the rapid **spread of slavery** into the Deep South signaled increasing fragmentation along regional, class, and racial lines. These growing socioeconomic, political, and cultural conflicts would culminate in the eruption of the brutal Civil War, followed by the equally painful period of Reconstruction. 2

Following the establishment of the new constitutional order, the U.S. population increased from **3.9 million in 1790** to **9.6 million in 1820**. The Louisiana Purchase in 1803 added the nearly 2 million people who occupied the nine new states and three territories west of the Appalachian Mountains. The nation's **urban population** increased from less than 550,000 in 1820 to 1.8 million in 1840. By 1870, when the U.S. population reached nearly 40 million, about 25 percent of the total lived in cities, as the urban population grew more rapidly than the population as a whole. 3

The U.S. population had not only expanded. It had become more ethnically diverse. The 4

Mexican-American War (1846–48) resulted in the acquisition of California and New Mexico, including present-day Utah, Nevada, and Arizona. The Mexican-American population would grow over time. Nearly 2 million Irish immigrants entered the U.S. during the two decades before the Civil War. German immigrants added another million, supplemented by 750,000 immigrants from Canada and Great Britain. Understandably, immigration played a major role in the nation's population growth. It was during the early 19th century that the U.S. became one of the first countries to undergo the **demographic transition**—a sharp decline in the number of births in both urban and rural areas. Among the many factors accounting for the falling birthrate were various methods of birth control.

The War of 1812 strengthened the nation's claim to sovereignty and expanded its role in the market economy. The financing of banks, transportation, and especially manufacturing enterprises escalated. Although the earlier outwork system (which employed manufacturing workers in their homes) persisted in some industries, American manufacturers turned increasingly toward the **factory system** as the primary mode of organizing production. By using new technology and reducing the labor requirements of production, early industrialists undermined the independence of craftworkers and opened the way for the widespread use of common waged labor. Although some master craftworkers benefited from such changes by becoming employers, by 1840 an estimated 50 percent of the nation's free workers labored for wages and found it difficult to acquire property, maintain skills, and move up in the socioeconomic system. 5

These demographic and economic changes effected a series of political and cultural transformations. As early as the presidential election of 1796, Federalists and Democratic-Republicans (known as Republicans) had adopted party labels in their quest for public office. The rise of Republicans in the election of 1800 signaled the development of a more democratic polity, which culminated in the establishment of **universal white male suffrage** during the 1820s and the triumph of the Democratic Party with the election of Andrew Jackson in 1828. New cultural and social movements both reflected and reinforced these changes. The advent of the **Second Great Awakening**, for example, transformed much of the country into fervent defenders of evangelical Protestantism. Emphasizing piety over theology and education, evangelical Baptist, Methodist, and Presbyterian denominations rapidly expanded. On the one hand, by promoting the virtues of hard work, thrift, discipline, and temperance, the Second Great Awakening reinforced the beliefs and practices of the expanding middle class. On the other hand, its stress on human will and the capacity of people to change their lives helped to stimulate a plethora of reform movements designed to alleviate inequality and democratize American society. The rise of utopian communities like Brook Farm, the Shakers, and the Oneidas; the women's suffrage movement; workingmen's parties; and the abolitionist movement all aimed to reverse diverse forms of inequality and suffering that had increased under the impact of early industrialization. 6

As the U.S. deepened its socioeconomic and political independence, it also experienced a **cultural renaissance** during the 1840s and 1850s. With the exceptions of Washington Irving (1783–1859) and James Fenimore Cooper (1789–1851), few American artists were known outside the United States before the 1830s; thereafter, however, writers increasingly responded to Ralph Waldo Emerson's (1803–82) call for a declaration of cultural independence from what he called the “courtly muse” of the old western European world. Henry David Thoreau (1817–62), Walt Whitman (1819–92), Nathaniel Hawthorne (1804–64), Herman Melville (1819–91), and others reflected the slow growth of independence in American letters. In short, the impact of republican institutions, the expansion of evangelical Protestantism, the gradual emergence of cultural independence, and rising participation in the market economy all helped to define American nationhood during the period from the establishment of the Constitution through the mid-19th century.

As in earlier periods, however, America remained divided along regional, cultural, and class lines. The westward movement of white settlers continued to remove Native Americans from the land; southerners expanded their dependence on slave labor with the rise of cotton culture in the Deep South; women remained disfranchised and subordinate to white men; growing numbers of Americans found themselves in the ranks of landless wage laborers; and, as Irish and German immigrants entered the country in growing numbers, significant ethnic and religious differences divided white Americans. Although the nation repeatedly worked out compromises (1820, 1850) and saved the nation, the increasing politicization of slavery, sectionalism, and class interests fractured the nation by the 1860s. The U.S. entered nearly five years of brutal military conflict. The Civil War and the era of Reconstruction that followed would liberate some 4 million slaves and define African Americans as part of the body politic, but it was only a partial victory. Region, class, and race would continue to undermine the democratic promise of America. Even as the North and South reunited through the medium of urban industrialization, the fall of Republican governments in the South, the rise of the coercive sharecropping system, and the emergence of white supremacist groups like the Ku Klux Klan reinforced earlier forms of inequality and opened new challenges to America's democratic institutions.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## **b. The Early National Period**



THE UNITED STATES DURING THE CONFEDERATION PERIOD (MAP)



THE EXPANSION OF THE UNITED STATES (MAP)

### **1789, March 4**

**First Congress** met at New York.

1

### **April 30**

**WASHINGTON INAUGURATED AS PRESIDENT.** Creation by Congress of three executive departments: state, war, and treasury. The **Judiciary Act** of 1789 provided for a system of federal district and circuit courts. The first ten amendments to the Constitution, the so-called **Bill of Rights**, were adopted by the Congress and sent to the states.

2



## c. [The Civil War](#)



### [THE CIVIL WAR 1860-1865 \(MAP\)](#)

#### 1861, March

The **Morrill tariff** marked the beginning of successive tariff increases, which by 1864 reached duties of 47 percent. 1

**MILITARY EVENTS.** The Confederates, having seized Federal funds and property in the South, bombarded **Fort Sumter** on April 12–13, just as a relief expedition of the Federalists approached. 2

#### March 13

Great Britain recognized the Confederate states as belligerents. 3

#### April 15

Lincoln called for 75,000 volunteers to serve for three months and summoned Congress to meet on July 4. On May 3 he appealed for 42,000 men to serve for three years or for the duration of the war. General expectancy of a short conflict. **The North had immense advantages:** 23 states with a population of almost 23 million against 11 states with a white population of 5 million; the North possessed financial strength, manufacturing facilities, and extensive railway communications. The South was largely dependent on 4

cotton growing and badly hampered by the blockade of the Confederate ports (proclaimed on April 19); from the beginning the South was on the defensive. **However, the South was not without some advantages:** Confederate soldiers were fighting on home terrain, slave labor freed a larger proportion of men to fight, and the martial tradition of the slaveholding class gave the South a military edge.

**Within the first two weeks of war, women spearheaded the establishment of nearly 20,000 organizations to help supply troops with clothing, food, medicine, and spiritual support.** Northern women eventually coordinated their efforts through a central body, the **Sanitary Commission**. Superintendent of nurses for the Union army, **Dorothea Dix** (1802–87) assured officials that she would recruit only women over age 30 and “plain in appearance.”

### May 23

**Gen. Benjamin Butler declared as contraband three slaves who escaped to his lines in Virginia and refused to return them to their master.** By Aug., 1,000 contrabands had joined Butler's camp.

### July 21

**FIRST BATTLE OF BULL RUN.** By July there were some 30,000 troops in and around Washington, under command of Gen. Winfield Scott. At Bull Run the federal army was routed. The effect of the battle was to open the eyes of the federalists and to introduce a period of more extensive and systematic preparation.

### Aug

**Lincoln signed the First Confiscation Act,** authorizing the seizure of all property, including slaves, used to support the Confederacy. Also in August, an income tax of 3 percent was levied on all income in excess of \$800.

### Nov. 1

Gen. **George B. McClellan** (1826–85) was appointed to succeed Scott in command of the federal forces. McClellan's policy was one of cautious, careful preparation and reliance on numbers. He spent the winter training some 200,000 men (the Army of the Potomac) for a march on the Confederate capital, Richmond.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. [Reconstruction](#)**

### **1865, March**

Congress created the **Bureau of Refugees, Freedmen, and Abandoned Lands**. Known <sup>1</sup> as the **Freedmen's Bureau**, the agency assisted the former slaves and helped them adjust to freedom. Although helpful, the bureau often placed planters' interests above those of the freed people, such as when they coerced blacks to accept unfair labor contracts.

### **May 29**

**Pres. Johnson issued a proclamation of amnesty, granting pardon to all ordinary <sup>2</sup> persons who had participated in the rebellion who would take an oath of allegiance.**

### **Dec**

Joint Committee of Fifteen on Reconstruction was appointed by Congress. <sup>3</sup>

### **Dec. 18**

**Ratification of the Thirteenth Amendment, abolishing slavery. <sup>4</sup>**



## **2. The United States, 1878–1914**

### **a. Overview**

Between the end of Reconstruction and the advent of World War I, America nearly completed its transition from a predominantly agrarian society to a predominantly urban industrial nation. Immigration, urban growth, and the expansion of industrial capitalism proceeded apace. The number of Americans living in cities reached nearly 50 percent, fueled by the arrival of nearly 17 million immigrants, mostly from southern, central, and eastern Europe. The Asian and Hispanic populations also increased. The **birthrate continued to drop**, falling from 39.9 live births per 1,000 people in 1880 to 32.3 by 1900. The nation witnessed the increasing decline of the agricultural sector, the emergence of a progressive movement to reform the worst abuses of industrialism, and the intensification of racism at home and abroad (as the nation expanded beyond its continental boundaries and became an imperial nation with significant overseas possessions). Despite the heightening of nationalistic fervor as the U.S. became a major world power, class, race, and regional differences continued to define the American experience. 1

The unequal impact of industrialism underlay the emergence of a variety of new social movements. In rapid succession, white workers embarked upon a series of organizing drives: the Knights of Labor in the late 1870s and 1880s, the American Federation of Labor during the 1890s, the Socialist Party of America in the early 1900s, and the Industrial Workers of the World after 1905. Native Americans continued to resist the encroachment of white settlers upon their land, as reflected in the persistence of Indian wars through the 1890s. African Americans, European immigrants, Hispanic Americans, and Asian Americans all intensified their separate institutional and community-building activities, designed to fight the impact of racial, class, and ethnic discrimination on their lives. Likewise, in an effort to arrest the deterioration of their livelihood, farmers launched an aggressive campaign to gain control over state and national economic policy. Their movement gained its greatest expression in the formation of the Populist Party in 1892. For a brief moment, it appeared that farmers would succeed in bridging not only regional differences between the South and the West, but racial and ethnic ones as well. The movement produced some of the most dramatic examples of black-white cooperation 2



in American history.

Under the impact of these diverse social movements, the political system itself underwent significant change. Whereas the period from the fall of Reconstruction through the 1890s represented what some analysts call the “**politics of equilibrium**,” characterized by little disagreement on major issues, the 1890s ushered in a new era of political conflict. <sup>3</sup>

Following the decline of the **Populist revolt** and the triumph of the Republican Party in the election of 1896, the nation experienced a resurgence of reform. Between 1900 and World War I, the **Progressive movement** sought to control the most exploitative features of industrial capitalism—especially its abuse of men, women, and children. Despite heroic efforts to right outstanding wrongs of the industrial system, failure to address the issue of racial injustice was undoubtedly the movement's greatest shortcoming.

During the late 19th and early 20th century, the system of Jim Crow was consolidated in the South, and its de facto counterpart proceeded apace in the North and the West. <sup>4</sup>

Although some whites joined blacks in the formation of the NAACP (1909) and the National Urban League (1910), racial justice represented a low priority for most white Americans. Perhaps it was inevitable that America would stop short of developing a more equitable multiracial society. It was during this period that America completed its continental expansion from the Atlantic to the Pacific. Following the Spanish-American War, the United States also took its place as a new empire with its own colonial claims over peoples of color in Hawaii, Puerto Rico, and Guam.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. New Political, Social, and Diplomatic Issues

### 1878, Feb

**The Bland-Allison Act.** In 1873 Congress had omitted the standard silver dollar from the list of authorized domestic coins to be minted in the future, commonly referred to as the **Crime of 1873**. The silver producers were supported by the farmers, who believed the free coinage of silver would bring an upturn in the price of farm products. In 1877, the Bland-Allison Act was passed over the veto of Hayes and authorized the secretary of the treasury to purchase from 2 million to 4 million dollars' worth of silver bullion monthly for coinage. <sup>1</sup>

### 1879

The **U.S. Geological Survey** was founded, consolidating under one office the several surveys that had been gathering valuable information on western North America for over a decade. Under the directorship of **John W. Powell** (1834–1902) after 1881, the survey grew into a powerful agency for the progress of science in the United States. <sup>2</sup>

**Frank W. Woolworth** established his **five-and-ten-cent store** at Lancaster, Pa. By 1900, the company's volume of business reached over \$5 million and continued to rise, reaching \$15 million in 1910. <sup>3</sup>

### Jan. 1

**Resumption of specie payment.** The success of the policy was greatly aided by the unusual demand abroad for American agricultural products, which brought gold into the country in large quantity. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1763, Oct. 7](#)) (See [1783–87](#))

### **3. British North America, 1789–1914**



[CANADA, FORMED 1867 \(MAP\)](#)

#### **a. Overview**

The period between the American Revolution and the 1880s witnessed major transformations in Canadian society. The country made the transition from a political economy shaped by British mercantilism to a new system of free trade, industrialization, and urbanization. During this period, the nation also attracted large numbers of new immigrants, moved into the western territories, and gradually brought disparate provinces into a larger national union. Significant class, regional, and racial factors nonetheless shaped the nation's history, but they did not erupt into a bloody civil war (between Europeans, as in the United States) partly because they were legally defined and institutionalized from the outset. 1

Canada's European population increased from an estimated 250,000 in 1791 to over 1.6 million in 1845. By the 1870s, the nation's population had increased to nearly 4 million. Although French-speaking Canadians outnumbered other nationality groups during the early years, by the 1840s English-speaking Canadians surpassed their French-speaking counterparts in numbers. With the repeal of the British Corn Laws (See [1846, June 26](#)) during the 1840s and the rise of free trade policies thereafter, the Canadian economy experienced the beginnings of a fundamental reorientation toward industrialism. New manufacturing establishments slowly emerged, cities expanded, and improvements in transportation and communication proceeded apace. By the 1860s and 1870s, new urban industrial elites increasingly displaced an earlier commercial elite with close ties to agricultural production. Nonetheless, for most of this period the old commercial elite 2

dominated the economy, society, and politics of the nation. They controlled the provincial governments and made policies that reinforced their control of the nation's resources. White workers, women, African Canadians, and Native Americans found it difficult to reverse patterns of inequality that subordinated them within the Canadian political economy. Moreover, the cleavage between French- and English-speaking Canadians persisted.

Despite social fragmentation, Canada experienced significant strides toward independence and sovereignty. Although it was divided between Upper Canada and Lower Canada and remained closely anchored to the British Empire following the American Revolution, it gained an expanding measure of autonomy during the 19th century. In 1840, the Union Act brought the two Canadas together in one legislature, and, following the American Civil War, the British North American Act created the Dominion of Canada. Consisting of four provinces—Ontario, Quebec, Nova Scotia, and New Brunswick—the nation moved toward even greater control over its domestic and foreign affairs.

3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Dominion of Canada, 1789–1877**

### **1791, June 10**

**PASSAGE OF THE CANADA ACT** through the British Parliament. It went into effect on Dec. 26. Canada was divided at the Ottawa River into **Upper Canada (chiefly English) and Lower Canada (predominantly French)**. Each part had a governor, a Legislative Council appointed by him, and an elected Assembly. Colonial laws could be disallowed by the home government within two years of passage. One-seventh of all land granted was to be reserved for the maintenance of the Protestant clergy. All rights of the Catholic Church were reaffirmed. <sup>1</sup>

**EXPLORATION OF THE WEST.** In 1789 a Spanish expedition from Mexico took possession of the northwest coast, but in 1790 Spain abandoned claims to the region (**treaty of Oct. 28**). In 1792 **Capt. George Vancouver** explored the Pacific coast and circumnavigated Vancouver Island. In 1793 **Alexander Mackenzie** reached the coast after the first overland journey from the east. Meanwhile (1785–95) **David Thompson** had traversed much of the territory along the coast of Hudson Bay north to Fort Churchill, as well as the regions about Lake Winnipeg and along the Saskatchewan and Athabasca Rivers. **Jay's Treaty** between the United States and Great Britain (Nov. 19, 1794) provided for a boundary commission to determine the frontier west of the Lake of the Woods. <sup>2</sup>

By 1810 much of the southern half of present-day Canada had been trekked by various explorers and traders. In 1811 **Lord Selkirk** bought from the **Hudson's Bay Company** 116,000 square miles for settlement in Manitoba, Minnesota, and North Dakota. Scottish settlers arrived there on the **Red River** in 1812. In 1815 an attack was launched on the colony by agents of the rival Northwest Company; colonists were driven out in 1815 and 1816. An investigation in 1817 upheld the claims of Lord Selkirk, and the colony was reestablished. <sup>3</sup>

Estimated population of Canada: French descent, 140,000; British, 110,000; 50,000 Indians in the settled sections of British North America; and a small number of African Canadians. Nearly 50 percent of the 3,000 **black loyalists in Nova Scotia** responded to their lowly position by emigrating to the **African colony of Sierra Leone**. 4

Despite the support of Indians like Joseph Brant during the American Revolution, Britain offended them by ceding large tracts of Indian land to the U.S. 5

## 1796

The arrival of **Jamaican maroons augmented** Nova Scotia's small black population. 6

## 1804

**The Alien Act** was passed, permitting banishment of anyone found guilty of disturbing the peace in Upper Canada. 7

## 1807

Napoleon closed off Baltic Sea sources of timber supplies and helped to stimulate the growth of the Canadian timber industry. 8

## 1809

An opposition political group called the **Society of Loyal Electors** was formed on **Prince Edward Island**. A similar group known as the **Parti Canadien (later Parti Patriot)** formed in **Lower Canada** at about the same time. They were considered the earliest manifestations of political parties in Canada. 9

Painter **William Berczy** (1744–1813) produced his masterpiece of early Canadian painting, *The Woolsey Family*. 10

## 1812, June 18

**UNITED STATES DECLARED WAR ON GREAT BRITAIN**. Among the causes of conflict were the continued trouble with the Indians, supposedly instigated and equipped 11

by the British in Canada, and the American desire to conquer Canada. A triple attack was planned: on Montreal; on the region opposite Niagara; and on the region opposite Detroit. On the Montreal front and at Niagara, the offensive failed to materialize. At Detroit a short advance was made, followed by retreat. The British, under Gen. Isaac Brock, secured the **surrender of Detroit** (Aug. 16, 1812). Brock then turned to Niagara and fought the successful engagement of **Queenston Heights** (Oct. 13), in which he was killed.

Canada's small **black population** was reinforced by the **arrival of 2,000 ex-slaves from the United States**. By 1860, an estimated 30,000 additional slaves entered Canada via **the Underground Railroad**. <sup>12</sup>

## 1813

The Americans captured **York** (Toronto) on April 27, but abandoned it soon afterward (May 2). In Ohio the Americans were vigorously attacked by the British, supported by the Indians (**Tecumseh**). On Sept. 10 **Lt. Oliver Hazard Perry**, with an improvised fleet, won the naval **Battle of Lake Erie** and forced the British to abandon Detroit. The Americans, under **Gen. William Henry Harrison**, crossed into Ontario and fought the successful engagement on the **Thames River** (Oct. 5), but were unable to follow up the advantage. The campaign against Montreal was begun on Oct. 17, but the Americans were defeated in the **Battle of Chrysler's Farm** on Nov. 11, and the advance was abandoned. On Dec. 10 an American force burned **Newark**; in retaliation, the British and Canadians, after taking **Fort Niagara** (Dec. 18), burned **Buffalo** (Dec. 29–31). <sup>13</sup>

## 1814, July 5

The Americans, advancing from Niagara, took **Fort Erie** and won the engagement at **Chippewa Plains**. They advanced to Queenston, but then fell back again. <sup>14</sup>

## July 25

Sixteen thousand British troops had been sent to Canada, and an invasion was begun by way of Lake Champlain. <sup>15</sup>

## Sept. 11



An American naval force under **Lt.** (later Captain) **Thomas Macdonough** won the **Battle of Plattsburg** and forced the retirement of the British.

16

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. Newfoundland, 1855–1878**

#### **1855**

**Responsible government was granted.** The bicameral legislature comprised the Legislative Council (15 members), which was appointed by the governor-in-council, and the House of Assembly (36 members), which was elective. A responsible cabinet was instituted. 1

#### **1864**

Copper was discovered in the north, and mining operations were begun. 2

#### **1873**

Direct steam communication with England and America was established. 3

### **d. [Canada, 1878–1914](#)**

As in the United States, this period represented the triumph of industrialism in Canadian society. The nation had taken significant steps toward national unification in 1867, but 1885 is considered the crucial watershed in Canadian history during this period. The year 1885 marked the completion of the Canadian Pacific Railway, the nation's first transcontinental transportation network. Like the United States, Canada was now linked by a single rail system from the Atlantic to the Pacific. Moreover, in 1885, Canadian forces defeated the Métis (a multiracial ethnic group) and its Indian allies and opened the way for the unrestricted European occupation of the Canadian west. In the wake of the Métis war, Canada also embarked upon a public debate about its national identity, which revealed deep cleavages between English-speaking (mainly Ontario) and French-speaking (mainly Quebec) Canada. At the same time, this period witnessed the growth of the labor movement, rising demands for women's suffrage, and growing animosities and restrictions against the small Chinese population. Thus, by the eve of World War I, Canada continued to wrestle with significant class, cultural, and regional divisions. <sup>1</sup>

#### **1878, Oct. 5**

**Marquess of Lorne**, governor-general (1878–83). <sup>2</sup>

#### **Oct**

General elections were held on the **tariff issue**. Conservatives were victorious in support of protection; Macdonald became premier (Oct. 17), and the protective tariff was instituted. <sup>3</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Newfoundland, 1878–1914](#)

### 1880

The government loaned \$1 million to create a **railway from St. John's to Hall's Bay**; it was completed to Harbour Grace (1884); after financial difficulties, construction was taken over by Mr. R. G. Reid (1893) and built to Port-aux-Basques. <sup>1</sup>

### 1888

**The Bait Act** took effect, after considerable controversy and the protests of the French government. It prohibited capture in Newfoundland waters of bait fish for exportation or sale, except under special license. French retaliations followed until a modus vivendi was enacted (1890). The issue was finally settled in the Anglo-French convention of 1904. <sup>2</sup>

### 1894–96

**Bank failures**, insolvency, and severe financial depression. Canadian banks replaced former government institutions. A delegation was sent to Ottawa to discuss union with Canada. Canada objected to assuming all of Newfoundland's \$16 million in debt, and negotiations were broken off. <sup>3</sup>

### 1900

Resignation of **Sir James Winter**; succeeded by **Mr.** (later Sir) **Robert Bond**. <sup>4</sup>

### 1906, Oct

Modus vivendi with the United States followed difficulties with fishing rights under the Treaty of 1818. The dispute was referred to the Hague tribunal, and an award (Sept. 1910) allowed Great Britain (Newfoundland) the right to make regulations subject to the Treaty of 1818 and defined the “three-mile limit” in bays to be from a line across the bay at a point where a distance of ten miles was not exceeded. 5

## 1909

Resignation of premier **Sir Robert Bond**; succeeded by **Sir Edward P. Morris**. 6

## 1914, Aug. 4

**Declaration of war by Great Britain.** Newfoundland, like the other members of the empire, supported the mother country and sent troops. (See [Newfoundland](#)) 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1781](#)) (See [The Portuguese Colonial System](#))

## I. [Latin America, 1806–1914](#)



### [LATIN AMERICAN STATES AFTER THE REVOLUTIONS \(MAP\)](#)

#### 1. [Periodization](#)

Latin American history in the 19th century can be divided into several general periods, despite the great diversity of the major regions and nations. **Wars of independence** dominated the decades between 1806 and 1825. The following quarter-century saw the **insecurities of new nations** and the **rise of political forms like *caudillismo*** (strongman rule) in response; manufacturing imports from British industry and political turmoil weakened local economies. Midcentury decades saw some political and economic stabilization and signs of greater cultural vitality as Latin American novelists and other intellectuals began to emerge. **The rise of the export economy and some new foreign interference**, particularly from the United States, marked the decades around 1900.

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(See [1781](#))

## 2. [The Wars of Independence, 1806–1872](#)

### a. [Causes](#)

Political, economic, and social factors inherent in the Spanish colonial system were the fundamental causes that led to the separation of the American colonies from the mother country. The Bourbon reforms prompted widespread discontent in Spanish America. Though export-oriented areas thrived with free trade policies, Spanish American entrepreneurs were excluded from transatlantic trade and shipping, which the Spaniards controlled. The opening of colonial markets to European manufactures affected local industries in certain areas. Popular sectors throughout Spanish America viewed new fiscal exactions as endangering their living standards. Sales taxes and the enforcement of state monopolies affected many ordinary traders and consumers. Tribute and forced sales of goods angered Indian and mestizo peasants. <sup>1</sup>

The Bourbon reforms (See [Administration](#)) curtailed the ecclesiastical *fuero*, an institution that placed the clergy outside the control of civil authorities. In areas where the church had grown influential, this measure caused resentment, especially in the lower clergy. In contrast to the weakening of the church, the Bourbon reforms reinforced the military *fuero*, which placed Spaniards and creoles, and even people of color who served in the army, outside civilian jurisdiction. The army created an avenue of social recognition for creoles and nonwhite people, and allowed them to develop military skills that later proved useful in the struggle for independence. The creole aristocracy, however, felt threatened by policies that allowed nonwhites to achieve privileges previously reserved for the elite. The participation of popular sectors, most of them of nonwhite background, in the independence conflicts provoked “caste war” fears, since the elites, considering themselves white, framed any assault on their privileges as a racial attack. <sup>2</sup>

The French Revolution of 1789 influenced the **creole elite intellectuals** of the Spanish colonies, but the slaves in the French colony of St. Domingue (Haiti) made a deeper impact on the creole elite when they destroyed the slave system and achieved independence (1804) through a violent social revolution. Slaveholders of the Americas learned from this defeat of French colonialism that they should avoid those conditions <sup>3</sup>



that might aid slaves in their struggle for freedom. **To preserve slavery, creole aristocracies of Cuba and Puerto Rico** remained loyal to the colonial state. The American Revolution was also a source of ideas for creole thinkers favoring independence. Many saw **federalism** as the most appropriate system for the new American republics, where unequal regional resources and political power became an immediate source of civil strife. The United States also provided an example of the coexistence of slavery with a republican state, an attractive model, given the economic benefits that sectors of the Spanish American elites derived from slavery.

Crucial for the growth and timing of the independence movements were the political developments in the metropolis. Napoleon invaded Spain and established his brother Joseph on the throne (See [1808, March](#)). The American colonies refused to recognize him and proclaimed allegiance to the deposed **Ferdinand VII**. The **Constitution of Cádiz** (1812), issued by Spanish Liberals opposing absolutism, provided for a constitutional monarchy and the election of deputies throughout the Spanish domains. Such measures encouraged the formation of **juntas** in the American cities, which tried to govern in the name of the deposed king. The restoration of Ferdinand VII and his determination to restore the old system propelled the creole movement toward separatism.

The **Wars of Independence** passed through two phases; between 1809 and 1816, movements for separation failed everywhere except in the area of the Río de la Plata; between 1816 and 1825, independence was achieved.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Río De La Plata**

The period of independence in the region of Río de la Plata opened with a British attempt to gain possession of a portion of the area. 1

### **1806**

A British fleet occupied Buenos Aires. The viceroy fled, and **Santiago Liniers**, at the head of the colonial militia, organized the unified war effort of Spaniards and creoles, who defeated the British. Upon his return, a *cabildo abierto* deposed the viceroy and elected Liniers, an act that the Crown approved. 2

### **1806–7**

The British government dispatched an expedition to conquer Buenos Aires. After taking Montevideo, they advanced on Buenos Aires, where the militia organized by local merchants defeated them. The British agreed to retreat from the Río de la Plata and Montevideo. Urban militia allowed the creole elite to control plebeian mobilization through military organization. Military chiefs gained wider influence in the political arena. 3

### **1809–10**

In view of the apparent success of Napoleon, a provisional junta of the provinces of the Río de la Plata was established in the name of Ferdinand VII (May 25, 1810). Direct Spanish authority was never restored. The junta included **Mariano Moreno** (1778–1811), a creole lawyer, and **Cornelio Saavedra**, a merchant from Upper Peru. 4

## 1810–11

The provisional junta rejected royal authority, suppressed Indian tribute, and sought to extend control over the **Banda Oriental** and **Paraguay**. An expedition sent to liberate Upper Peru was defeated, and Paraguay refused to adhere to the provinces of the Río de la Plata. Moreno and his followers opposed the predominance of militia chiefs. The junta forced Moreno from office, and a triumvirate was installed, with **Bernardino Rivadavia** (1780–1845), an extreme liberal, as secretary. The triumvirate dissolved the junta and reorganized the urban militia. 5

## 1812

The triumvirate prohibited slave trade and dissolved the provincial juntas, weakening its popularity in the interior and littoral provinces. Army officers formed the **Logia Lautaro**, a Masonic lodge, which removed the triumvirate and Rivadavia from power. The conflict between centralists (*unitarios*) and federalists (*federales*) intensified. **José Gervasio Artigas**, leader of the Banda Oriental, pressed for the prompt establishment of a federal system. 6

## 1812–13

An expedition to invade Upper Peru failed. An assembly abolished Indian forced labor and gave freedom to all children of slave mothers. It suppressed titles of nobility and disentailed properties, excepting those belonging to the Church. 7

## 1814

Royalist military buildup in Montevideo and new defeats in Upper Peru induced pessimism about independence among the leaders of Buenos Aires, who started to consider a reconciliation with Spain. The king, however, refused to accept any compromise with the new leaders. 8

Buenos Aires forbade foreign merchants to trade freely with the other riverine provinces, creating further enmity toward the main port. Liberal policies hurt Buenos Aires merchants unable to restrain the growing role of the British in provincial trade. Support for federalism also grew within Buenos Aires, since it would allow the province to keep the revenues from foreign trade for itself. 9

## 1815

Gen. Alvear (1789–1852) became dictator, while Artigas ruled in the Banda Oriental, and the provinces of Santa Fe and Córdoba announced their own independence. **GEN. JOSÉ DE SAN MARTÍN** (1778–1850) departed for Mendoza to organize an army to liberate Chile and later move by sea to attack royalists in Peru. He became one of the greatest military figures of the independence wars. 10

## 1816, July 9

Congress of Tucumán declared the **independence of the United Provinces** and elected **Juan Martín Pueyrredón**, a member of the Logia Lautaro, as supreme chief. In his eagerness to destroy federalism, he allowed the Portuguese invasion of the Banda Oriental (See [1811](#)). Federalists, however, prevailed in the littoral provinces. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **c. [Paraguay](#)**

#### **1811**

A *cabildo abierto* summoned in Asunción by the intendant swore allegiance to Ferdinand VII. Paraguayans defeated Buenos Aires forces, which attempted to incorporate Paraguay into the United Provinces. **Fulgencio Yegros**, a military chief, led proindependence creoles to depose Spanish authorities. A congress of delegates created a governing junta, which included Yegros, as chief, and **Dr. José Gaspar Rodríguez de Francia** (1766–1840), a creole lawyer of the *cabildo*. <sup>1</sup>

#### **Aug. 14**

**PARAGUAY PROCLAIMED INDEPENDENCE FROM SPAIN.** Dr. Francia <sup>2</sup> withdrew from the junta, condemning the excessive influence of the military in government, but the junta and the *cabildo* called him back. Francia signed a treaty with Buenos Aires, which agreed to the principles of federation and free trade. Thus, Francia obtained a tacit recognition of Paraguay's independence and lower taxes for Paraguayan trade. Again, he retreated from the government to create a following for himself among small landowners, ranchers, and farmers, and a network of informers.

#### d. [The Banda Oriental \(Uruguay\)](#)

##### 1811

Montevideo creoles, eager to avoid subordination to Buenos Aires, refused to support the May revolution in that city. In the countryside, however, masses of small landowners, dissatisfied with the expansion of the great estates, rose against Spain. **José Gervasio Artigas** (1764–1850), a man from the *estanciero* (rancher) class, emerged as leader and proclaimed allegiance to the junta of Buenos Aires. He formed a coalition of ranchers and gauchos, and attracted to his army Guaraní Indians led by Andrés Guacará (**Andresito**). Royalists encouraged the Portuguese military, which invaded the Banda Oriental to incorporate it into the Portuguese Empire. Artigas withdrew his troops. Spontaneously, civilians, fleeing from royalist reprisals and Portuguese brutality, joined him en masse and marched into exile. This **exodus of the “Orientales”** (later Uruguayans) left the Banda Oriental virtually depopulated. When Portugal was forced to withdraw from the Banda Oriental, these exiles returned and, allied with Buenos Aires forces, expelled royalists from Montevideo. Buenos Aires leaders, unable to impose centralism upon the Banda Oriental, withdrew.

##### 1815

Artigas ruled the Banda Oriental. Across the Río de la Plata, the provinces of Santa Fe, Entre Ríos, Corrientes, and Córdoba recognized him as the **Protector de los Pueblos Libres** in their struggle against Buenos Aires centralism. Through the **Reglamento Provisorio**, Artigas promoted free trade and distribution of confiscated properties to poor nonwhite and white people. This measure alarmed the landlords.

##### 1816

The Portuguese invaded the Banda Oriental, with the approval of Pueyrredón, Buenos Aires's centralist leader, who sought to destroy federalism.

3

## 1817–20

Montevideo surrendered to the Portuguese army, while Artigas organized guerrilla resistance in the countryside. The Portuguese tried to ally the Banda Oriental elite with the Portuguese Empire, but limited compensation for war damages and the granting of lands to Portuguese created hostility.

4

## 1820

The defeat of Artigas and his troops at **Tacuarembó** ended the period known as the **Patria Vieja**. Artigas marched into exile in Paraguay. In later years Artigas acquired greater stature as the founding father of Uruguay and as a man of advanced political vision.

5

## 1821

A pro-Portuguese congress voted the incorporation of the Banda Oriental into the Portuguese Empire as the **Estado Cisplatino**. In 1824, the *cabildo* of Montevideo swore the allegiance of the Estado Cisplatino to the constitution of the newly proclaimed empire of Brazil.

6

## 1825

**Fructuoso Rivera** (c. 1788–1854), a *caudillo* who briefly supported Brazilian rule, recruited an army of anti-Brazilian patriots. Revolution against Brazil began in April with the landing of the expedition of **33 Orientales** headed by **Antonio Lavalleja**, a *caudillo* and Artigas's follower. Lavalleja and Rivera became allies, attracting the allegiance of hundreds of cowboys and ranchers. Lavalleja sought the support of the Buenos Aires government, proclaiming the incorporation of the Banda Oriental into the **United Provinces of the Río de la Plata**. War between Argentina and Brazil ensued.

7

## 1827

A liberation army composed of Argentine and Banda Oriental soldiers defeated the Brazilian army at **Ituzaingó**. Rivera occupied Brazilian territory in Rio Grande do Sul, forcing Brazilian forces to withdraw from the Banda Oriental in exchange for the land he had occupied. 8

## 1828

Lavalleja governed independently while negotiations with British mediation led Buenos Aires and the empire to recognize the independence of the Banda Oriental. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## e. [Chile](#)

### 1810

Upon the apparent triumph of Napoleon in Spain, a junta assumed authority in the name of Ferdinand VII and deposed the captain general. The junta was led by **Juan Martínez de Rozas**, a creole official, who promoted liberal reforms. A **general congress** convened at Santiago. <sup>1</sup>

### 1811–12

Measures to open commerce provoked opposition from creole merchants and most of the landed elite. **José Miguel Carrera** (1785–1821), a member of a landed military family allied to the antiroyalist deputies, led troops and urban crowds to expel conservatives from the congress. He formed an executive junta that abolished the slave trade and freed all children born from slave mothers subsequent to the decree. The creole ruling class divided into factions organized around powerful landed aristocratic families. Gen. **Bernardo O'Higgins** (1778–1842), although not pro-aristocratic, objected to Carrera's bid for popular support. <sup>2</sup>

### 1812

The junta promulgated the **Reglamento Constitucional**, which recognized Ferdinand VII while asserting that no orders or laws issued outside Chile should be enforced there. It proclaimed civil rights for all Chileans, freedom of the press, and the subordination of the executive to the congress. These measures caused deep discontent in the aristocracy. Royalist Chileans joined the army sent by the viceroy of Peru to subdue Carrera. <sup>3</sup>

### 1814

The royal government was established in Santiago. O'Higgins agreed on an armistice with Spanish chiefs, but Viceroy Abascal repudiated the treaty and sent a new expedition, which defeated the proindependence army at **Rancagua**, sealing the end of the period known as the **Patria Vieja**. <sup>4</sup>

## 1814–17

The retaliatory policy followed by the royalist government alienated creoles. O'Higgins moved to Mendoza to collaborate with Gen. San Martín (See [1815](#)) in preparing the liberation of Chile and Peru. **Manuel Rodríguez**, who had served Carrera, organized guerrillas in the countryside. <sup>5</sup>

## 1817

San Martín, at the head of the patriot army, crossed the Andes and defeated a Spanish army at **Chacabuco** (Feb. 12). O'Higgins was made supreme director. <sup>6</sup>

## 1818, Feb. 12

**THE INDEPENDENCE OF CHILE WAS PROCLAIMED.** San Martín's troops defeated a royalist army from Peru at **Maipú**, thus securing the independence of Chile. San Martín started to organize an army to liberate Peru. <sup>7</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## f. [Peru and Upper Peru \(Peru and Bolivia\)](#)

### 1809

The inhabitants of **Chuquisaca** and **La Paz**, declaring loyalty to Ferdinand VII, established juntas in their cities and deposed Spanish authorities. Royal troops soon crushed the movements. Viceroy **José de Abascal y Sousa** (1809–16), with the support of the Limeño aristocracy, made the Viceroyalty of Peru the stronghold of royalism in South America. 1

### 1810

Buenos Aires's declaration of independence gained widespread support in Upper Peru, whose population initially welcomed a Buenos Aires military expedition, led by Gen. **Juan José Castelli**. His attempts to suppress Indian tribute, however, antagonized the upper classes. His troops sacked Indian towns and behaved as an occupying force. Royalists defeated Castelli's army and retook control of Upper Peru (1811). They sought Indian support, giving weapons to the *kurakas* to distribute among Indian peasants. 2

### 1813

In Cuzco, *kuraka* **Mateo Pumacahua** mobilized a large Indian army on behalf of creole patriots imprisoned in Cuzco. The royalist army defeated and executed him (1815). 3

### 1813–15

Two Buenos Aires expeditions invaded Upper Peru but disintegrated as soldiers plundered the countryside and royalists defeated them. Disenchanted with the Buenos Aires–led independence movement, Upper Peru patriots sought to develop their own 4

independence forces, while Buenos Aires military leaders altered their strategy for liberating Peru.

## 1816–24

Royalists eradicated guerrillas from the countryside, and reestablished their dominance in Upper Peru. 5

## 1820

After completing preparations in Chile, **San Martín** transported his forces to Peru by sea. Marquis de **Torre Tagle**, who approved of San Martín's conservatism, promoted aristocratic support for him and proclaimed independence in Trujillo. The viceroy abandoned Lima, and San Martín entered the capital. 6

## 1821, July 28

San Martín proclaimed the **INDEPENDENCE OF PERU** and assumed the title of protector of Peru. Peruvian Liberals opposed San Martín's monarchical plans. 7

## 1822

After meeting Simón Bolívar (1783–1830) in Guayaquil, San Martín resigned and withdrew his troops. 8

## 1823

After struggles among the proponents of independence in Lima, a new government was established and invited **Simón Bolívar** to Peru. **Antonio José de Sucre** (1795–1830), his closest lieutenant, moved to Lima with Colombian troops, and Bolívar followed, being proclaimed dictator. 9

## 1824

Bolívar and Sucre led their troops into the highlands, where they defeated the royalist army at **Junín** (Aug. 24) and at **Ayacucho** (Dec. 9), which secured the independence of the new republics of South America. The Spanish leaders agreed to withdraw their armies from Peru. Sucre led his troops to liberate Upper Peru and convened a **congress at Chuquisaca**. 10

### 1825, Aug. 6

Anxious to preserve their autonomy from the hegemonic pretensions of Buenos Aires, Upper Peru patriots resorted to Sucre's protection to proclaim the **INDEPENDENCE of the new republic of Bolívar (BOLIVIA)**. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **g. Venezuela, Nueva Granada, and Quito (Gran Colombia)**

### **1808**

In Bogotá, a junta convened to govern in the name of Ferdinand VII. Cartagena and other cities of Nueva Granada also formed juntas (1810). The captain general of Caracas blocked attempts by the *cabildo* to establish a junta. 1

### **1809**

In Quito, a revolt installed a junta in the name of Ferdinand VII, with the support of the Quiteño elite. An army, sent by the viceroy of Peru, suppressed the movement. 2

### **1810**

In Caracas, an extraordinary *cabildo* created a junta to govern in the name of Ferdinand VII and deposed the captain general. Conservatives in the junta forbade the entry of **Francisco de Miranda** (1750–1816), veteran proindependence conspirator, but the revolutionaries imposed him. The junta decreed free trade and abolition of the slave trade. 3

### **1811, July 5**

A national congress with representatives from the landed class proclaimed **VENEZUELAN INDEPENDENCE**. It promulgated a constitution restricting the franchise to landowners and included federalist measures to attract provincial support. *Pardos* revolted for full citizenship rights. Violence from the lower classes alarmed the creole landowners, many of whom withdrew from the independence movement. Miranda was given command of the revolutionary forces, and Bolívar became one of his 4

lieutenants. **SIMÓN BOLÍVAR**, born in Caracas of a creole cacao planter family, was a resolute republican. He was the greatest figure of the independence movement.

In Bogotá, the **republic of Cundinamarca** was inaugurated. The other provinces, refusing to join it, formed the **Federation of the United Provinces of Nueva Granada**. Popayán, Pasto, Santa Marta, and Panama remained loyal to Spain. Proindependence provinces favoring federalism waged war against proindependence provinces endorsing centralism.

5

## 1812

A royalist army invaded patriot territory. Miranda capitulated. Royalists sent him as a prisoner to Spain, where he died in 1816. Spaniards seized Bolívar's properties but permitted him to go to Nueva Granada.

6

## 1813

Bolívar launched the **Campaña Admirable** (Admirable Campaign). He entered Caracas in Aug. to inaugurate the **second Venezuelan republic** and assumed dictatorial powers. He proclaimed war to the death against Spaniards who did not support independence and promised amnesty to royalist creoles. Poorer Venezuelans remained aloof since they distrusted the creole landed elite and slaveholders. **José Tomás Boves**, a peninsular merchant and smuggler, organized a guerrilla war on behalf of the Crown, promising confiscated properties to the men who enlisted in his army. *Llaneros* enthusiastically followed Boves, angered by a law approved by the antiroyalist government of Caracas, which prevented *llaneros* from freely hunting on the plains. The war between patriots and royalists was waged with great violence; the killing of prisoners and the massacre of civilians became common practices on both sides.

7

## 1814

Boves's royalist army defeated the revolutionary forces at **La Puerta**, where Boves died but destroyed Bolívar's control of Venezuela. Bolívar escaped to Nueva Granada.

8

## 1815

Royalists took Cartagena. Bolívar abandoned Nueva Granada and went to Jamaica where he issued his “**Letter from Jamaica.**” In Haiti, he gained support from Pres. **Alexandre Pétion**, to whom he promised to abolish slavery in the future republic. 9

## 1816

Royalists took Bogotá, and executed many patriot leaders. Peasants were subjected to forced labor, and Nueva Granada became a supply center for royalist reconquest. 10

In Venezuela, *llaneros* remained restless under royalist control, since their major demands had not been met. **José Antonio Páez**, a *llanero* chief based in the region of Apure, started to operate against the royalists. 11

## 1817

Bolívar returned to the Orinoco region and sought popular support for the creole independence movement promoting *pardo* soldiers and promising freedom to slaves in the patriot army. He issued a decree ordering the distribution of confiscated properties among the patriot troops as payment for their services. 12

## 1819

Once **Francisco de Paula Santander** (1792–1840) had organized patriot military support in Nueva Granada, Bolívar led a patriot army across the Andes and defeated the royalist forces at **Boyacá River** (Aug. 9). Patriots occupied Bogotá (Aug. 10). In this campaign, Bolívar definitively liberated Nueva Granada. 13

## Dec. 17

The **congress of Angostura** approved the fundamental law creating **Gran Colombia**, a republic based on the union of Venezuela and Nueva Granada. Bolívar was made president and military dictator. 14



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **h. New Spain (Mexico)**

### **1808**

Following the intervention of Napoleon in Spain, creole elements sought a greater role in the government. With support of the viceroy, a general junta was convened. The *audiencia*, controlled by Spaniards, dismissed the pro-creole viceroy. Four viceroys governed between 1808 and 1813. <sup>1</sup>

### **1810**

**Miguel Hidalgo y Costilla** (1753–1811), a creole priest, initiated a separatist revolt in the town of Dolores, in the Province of Guanajuato. He had limited creole support, but his call galvanized hundreds of peasants and mineworkers who had suffered oppressive conditions in the Bajío region. Although Hidalgo tried to restrict attacks to Spaniards and Spanish properties, his followers destroyed estates indiscriminately, unleashing general rural violence. Massacres committed against wealthy Spaniards and creoles in Guanajuato deeply unsettled the upper class. The rebels threatened Mexico City, but peasants of the region refused to join them. A Spanish army defeated Hidalgo's troops. <sup>2</sup>

### **1811**

A new defeat of revolutionary forces at the **bridge of Calderón**, near Guadalajara (Jan. 17), allowed Spanish authorities to capture Hidalgo. The Inquisition tried him and delivered him to the secular courts for execution (July 31). <sup>3</sup>

### **1812**

**José María Morelos** (1765–1815), a mestizo priest, continued the revolt.

4

## 1813

A congress convened at **Chilpancingo** (Sept. 14) made Morelos executive chief and **declared independence** (Nov. 6).

5

## 1814, Oct. 22

The **constitution of Apatzingan** was promulgated, establishing male suffrage and abolishing the caste system and slavery, but preserving the prerogatives of the Church. **Agustín de Iturbide** (1783–1824), a creole in Spanish service, forced Morelos to retreat. Morelos was captured and executed (Dec. 22, 1815), and the revolutionary congress was dissolved.

6

## 1816–21

Viceroy **Juan Ruiz de Apodaca** instituted a conciliatory policy and secured the surrender of most of the revolutionary leaders. Only a few guerrilla leaders, among them **Vicente Guerrero** (1783–1831), continued resistance.

7

## 1820

The **liberal revolution in Spain** (See [1820](#)) threatened the position of the clergy and the upper classes. Conservative creoles and Spaniards decided to secede from Spain to avert reforms. **Agustín de Iturbide** became their leader and with Guerrero formulated the **Plan de Iguala**.

8

## Feb. 24

This proclaimed the **INDEPENDENCE OF MEXICO**. According to the plan, Mexico would be a constitutional monarchy under Ferdinand VII or other European prince, creoles and Peninsulars were declared equal, and the Catholic religion and church properties were to be maintained. Viceroy Apodaca was dismissed. Iturbide assumed

9

authority and created an army.

## Aug. 24

A newly arrived viceroy accepted the plan of Iguala by the **Convention of Córdoba**. A regency under Iturbide was formed, pending choice of a sovereign. A constituent congress was convened. The Spanish government refused to accept the Convention of Córdoba. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **i. Guatemala and Central America**

### **1811–18**

In the **captaincy general of Guatemala** (Guatemala, San Salvador, Honduras, Nicaragua, Costa Rica, and Chiapas), liberals campaigned for free trade, a more representative government, and the dissolution of *fueros* and monopolies. The captain general repressed them and subdued other rebellions in the provinces of San Salvador, Honduras, and Nicaragua (1811–12). Central American liberals were mainly creole professionals allied to the leading creole families.

1

### **1821, Sept. 15**

Influenced by the launching of the Plan de Iguala in Mexico, a junta of liberals and moderates convened in Guatemala City to declare independence, with the captain general as leader.

2

### **1822**

Union with Mexico under Iturbide was discussed in every province. Guatemala and Chiapas decided to join independent Mexico. El Salvador rejected union either with Mexico or Guatemala. Some cities in Honduras and Nicaragua accepted union with Guatemala, but refused to submit to Mexico. Others claimed total autonomy. Costa Rica agreed to separation from Spain and sought union with Colombia. Conservatives were prone to annexation to Mexico, whereas liberals rejected it and favored an independent republican federation.

3

Iturbide, as emperor of Mexico, sent a Mexican army to advance the annexationist cause.

4

### **1823**

After military invasion, El Salvador and Costa Rica republicans capitulated.

5

## June 24

Upon learning of the abdication of Agustín I, a Central American congress decided to form the **United Provinces of Central America**, independent from Mexico and integrated by Guatemala, El Salvador, Honduras, Costa Rica, and Nicaragua.

6

## August 20

Mexico recognized the new political entity.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [The Portuguese Colonial System](#))

## **j. Brazil**

### **1808**

As a result of the war in Europe, the king of Portugal, John VI, transferred his court to Brazil, leaving Portugal to be governed by a British-dominated regency. He established his capital in **Rio de Janeiro** and decreed free trade for Brazilian ports. This caused discontent among Portuguese merchants, who were unable to compete with the British. <sup>1</sup>

### **1817**

In **Pernambuco**, a military revolt supported by some planters, merchants, and bureaucrats proclaimed a republic. An army was sent from Bahia, and the rebels surrendered. <sup>2</sup>

### **1820**

The **Portuguese overthrew the regency** in Lisbon and provisionally adopted the Spanish constitution of 1812. The Cortes summoned the king to return and invited Brazil to send representatives to a constituent assembly. <sup>3</sup>

### **1821**

Several military conspiracies in Brazil favored liberal measures and constitutional monarchy. A dispute erupted over the demand for the immediate return of the king to <sup>4</sup>

Portugal. A Portuguese faction formed by merchants with Portugal-based interests favored the return as a means to revive monopolies, whereas the “Brazilian” faction, which included Brazilian planters and bureaucrats as well as Brazil-based Portuguese merchants, opposed the departure of John VI. Brazilian deputies in Lisbon rejected attempts by the Cortes to reduce Brazil to colonial status. The king decided to return and leave his son, Pedro, in Brazil as prince regent. **José Bonifácio de Andrada e Silva** (1763–1838) was elected president of the São Paulo provisional junta and was named chief of the first “Brazilian” cabinet.

## 1822

Brazilian radicals and liberals gave their allegiance to Prince Pedro (1798–1834), who declared (Jan. 9) his determination to remain in Brazil (“**Fico**”—**I will stay**). He soon convoked a Brazilian constituent assembly. José Bonifácio drew support from large landholders, slaveholders, and merchants in Rio to oppose the principle of popular representation for the assembly, a condition radicals tried to reverse, proposing direct popular elections.

5

### Sept. 7

The **Grito de Ypiranga** (Cry of Ypiranga). While in São Paulo Dom Pedro received dispatches from Portugal, which, although offering concessions, returned Brazil to dependent status. He therefore **proclaimed Brazilian independence**.

6

### Oct. 12

The Senate proclaimed Dom Pedro **constitutional emperor of Brazil**. He pledged acceptance of the constitution to be formulated by the assembly and was crowned **Pedro I** (Dec. 1). Portuguese garrisons and some Brazilians in the northern provinces opposed separation, but the Brazilian navy subdued them. (See [Brazil](#))

7





### **3. Latin America, 1820–1914**

#### **a. Overview**

Spanish colonies emerged from the independence wars divided into republics that briefly cooperated to form broader political units. In Brazil the monarchy held the country together despite strong autonomist and prerepublican movements. By 1850, the countries of Spanish-speaking America had 22.5 million inhabitants, and Brazil had 7.2 million. Most of the population lived in the countryside. As a result of immigration and economic expansion, population grew rapidly in the final decades of the century. In 1900, 44 million people lived in Spanish America, and 18 million in Brazil. This period also witnessed a gradual increase in the size of urban centers, but most of the population still lived in the countryside. <sup>1</sup>

**Great Britain asserted dominance** over the new nations through its commercial agents and a powerful navy, which proved useful in obtaining better trade conditions for British merchants. **Export economies** developed in the new countries in response to the international market. The resultant expansion of the commercial economy was particularly intense after 1870. The export sector contributed to labor exploitation by encouraging regulations binding laborers to their masters, the expansion of debt peonage, and the use of Chinese indentured servants. **Slavery was in decay** in most countries by the mid-19th century, but it remained the bedrock of a vigorous export economy in Brazil and Cuba until the 1880s. **In the last decades of the 19th century, commercial growth and the first phase of industrialization** led to the expansion of cities and the formation of a working class, in some cases from immigrant backgrounds. An incipient labor movement soon confronted repressive measures against its attempts to improve the lot of workers. <sup>2</sup>

**Following independence, elites split into liberal and conservative factions, which clashed over issues such as federalism, free trade, and the status of the church.** Liberal measures expropriating church and communal Indian lands encouraged land concentration and, hence, the consolidation of a large landholding class. Territories seized from nomadic Indian tribes also favored latifundia. In some Spanish-American countries, the *caudillos* (civil or military leaders) emerged as the main power brokers. <sup>3</sup>

Popular sectors, systematically excluded from political participation, found in the *caudillos* a channel to pressure the elites. In other countries, less disruptive forms of political bossism developed to keep the masses under control. With the consolidation of national states and the emergence of the cities and urban classes, the *caudillos'* role diminished somewhat, giving way to the formation of political parties.

**Literature in the 19th century**, especially novels and essays, frequently served as a **vehicle to promote cohesive national identities**. Leading writers such as **Domingo F. Sarmiento** (Argentina), **Andrés Bello** (Chile), and **José de Alencar** (Brazil) were prominent political figures who self-consciously used their writings to outline a particular vision of the national “destiny.” Novels such as Alencar's *Iracema* (1865) and *Amalia* (1851) by Argentine writer José Mármol used the romantic genre to allow their characters to form amorous alliances across class, ethnic, and regional lines. Influenced by the romantic canon, intellectuals in the postindependence decades sometimes idealized the indigenous population as the repository of the national essence.

Social Darwinism, however, soon emerged as a major intellectual trend. Cultural elites began to portray Indians and other nonwhite groups as unfit for citizenship in civilized political entities, thus “justifying” the ongoing exclusion of the majority from the formal political system. **Among elites the dominant tendency was to imitate European styles**, including urban architecture, and to foster exclusive institutions that mimicked European high culture. Artists and intellectuals began to seek an alternative to Europeanization in rural popular culture, which some considered a more authentic source of national identity. Meanwhile, waves of immigration from Spain, Italy, and Portugal expanded the ranks of urban popular movements. New forms of association (unions, leagues, mutual-aid societies) and open cultural institutions offered alternatives to political exclusion. Labor activism introduced new ideologies such as anarchism and socialism. (See [Cultural Developments](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## **b. [South America](#)**

### **1. Argentina**

After independence, the city of Buenos Aires was dominant because of its commercial role, but its place in the broader political system was disputed. Urban elites wanted to make it the national capital and form a central government with control over the provinces. Powerful rural landowners of Buenos Aires Province, in contrast, sought to subject the city to their interests and a federalist framework. 1

#### **1819**

The fragmentation of the territory controlled by Buenos Aires created a general crisis in the region. Gen. **Martín Rodríguez** installed a governing junta. 2

#### **1821–23**

Gen. Rodríguez became governor of Buenos Aires and named an extreme liberal, **Bernardino Rivadavia**, as minister. Liberal policies helped British merchants gain preeminence in the Río de la Plata trade. Native merchants shifted investments and formed a new class of big ranchers (*estancieros*). 3

Liberals enforced antivagrancy laws to compel peasants and gauchos (free horsemen) to seek fixed employment. Gen. Martínez undertook a campaign against Indians to open new lands for ranching. 4

#### **1825**

Treaty with Great Britain to suppress slave trade. Buenos Aires organized a war against Brazil for the liberation of the Banda Oriental. 5

## 1826

Rivadavia was elected president of the **United Provinces of the Río de la Plata**. He made the city of Buenos Aires the national capital, separating it from its province. Ranchers opposed this and united under the **federalist** banner against Rivadavia's **unitarian** policies. 6

## 1827

Forces from Buenos Aires and the Banda Oriental defeated Brazil at **Ituzaingó** (Feb. 20), but negotiations with Brazil ended in failure. Rivadavia was forced to resign and was exiled. The congress returned the city of Buenos to its province. **Manuel Dorrego**, federalist leader in Buenos Aires, became its governor. **JUAN MANUEL DE ROSAS** (1793–1877), a wealthy rancher, was named chief of the Buenos Aires militias. **Facundo Quiroga**, *caudillo* of La Rioja, mobilized militias from the interior provinces against the congress. The congress dissolved itself, and the **Confederación del Río de la Plata** (Argentine Confederation) was established. 7

## 1828

Brazil and Buenos Aires accepted the independence of the Banda Oriental. Unitarians led by Gen. **Juan Lavalle** protested the accord by occupying Buenos Aires and executing Dorrego, provoking antagonism toward the unitarians. 8

## 1829

Rosas, with peasant support, vanquished Lavalle at **Puente de Márquez**. Federalists seized the city of Buenos Aires; Rosas was elected governor of Buenos Aires Province. 9

## 1831

Federalists strengthened Buenos Aires's influence in the provinces. Rosas courted support from the urban black population, but he reopened the slave trade. 10

### 1833

Rosas led the “Expedition of the Desert” against various Indian cultures of the Pampas. The elite supported this campaign because big ranchers expected to grab Indian lands. 11

In the city of Buenos Aires, **Encarnación Ezcurra**, Rosas's wife, mobilized plebeian support against Rosas's opponents, patronizing a paramilitary band popularly known as the *Mazorca*. 12

An English army occupied the Falkland (Malvinas) Islands. 13

### 1835–36

The legislature of Buenos Aires, with the assent of the provinces, made Rosas dictator. The ultraconservative Rosas, despite his populist veneer, supported the big ranchers who massively increased their landholdings and secured tight control over the gauchos. The ranching economy offered women few opportunities and led to their migration to the cities to work as domestic servants. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## c. [Central America](#)

### 1. Overview

The **United Provinces of Central America** (1823–38) consisted of five autonomous states with their own state assemblies and executives. Guatemala City was the seat of the central government. The constitution outlawed slavery but denied full political rights to Indians and *ladinos* (mestizos). Principal exports were cochineal (a dye stuff), logwood, and indigo. <sup>1</sup>

#### 1825–26

National elections held. The Conservative Party supported the church and the preeminence of the Guatemalan elite. The Liberal Party, seeking to end church influence and merchants' monopolies, imposed its candidate, **Manuel José Arce**, on the central government. Arce deposed the Liberals and named Conservative **Mariano Aycinena** as the new governor of Guatemala, winning Conservative support. <sup>2</sup>

#### 1826–29

In El Salvador, Liberals revolted against the pro-Arce Conservative government, and a three-year **civil war** ensued, involving Honduras, Guatemala, and El Salvador. **Francisco Morazán** (1792–1842) from Honduras emerged as the victorious Liberal leader. <sup>3</sup>

#### 1830

Morazán became confederation president. He decreed confiscation of church lands and abolition of *fueros*. The federal capital was moved to El Salvador. The British consul wielded great influence.

4

### 1831–37

Poll tax for *ladino* and Indian peasants caused such opposition that it was temporarily suspended (1833). Cochineal production increased demand for land and labor in Guatemala. Colonization projects, the new judicial system, and anticlerical measures outraged rural masses.

5

### 1837–38

A peasant revolt, supported by rural priests, challenged Liberals. **Rafael Carrera** (1814–1865), a mestizo officer, led the revolt that defeated Morazán. Congress dissolved the Central American Confederation.

6

### 1842–52

Morazán tried to reconstitute the confederation but was defeated and executed. Attempts at cooperation among the Central American states failed.

7

### 1850

**Clayton-Bulwer Treaty**. U.S. fear of a British-controlled canal across the isthmus led to an accord by which both nations pledged not to occupy any part of Central America. Belize and the Bay Islands were excluded.

8

### 1862–72

Central American states formed the United Army of Central America to expel William Walker's forces from Nicaragua.

9

### 1906



After the war of Nicaragua against El Salvador and Honduras, a Central American court of justice was established to resolve regional conflicts. (See [Overview](#)) <sup>10</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [Mexico](#)

The wars of independence left the Mexican economy in ruins. Elites were deeply divided <sup>1</sup> between conservatives aiming to preserve the colonial order and liberals trying to reduce the power of the church. *Caudillos* emerged to claim power for themselves, creating further disturbances in the countryside, where many peasants joined irregular armies.

### 1822

Gen. **ANTONIO LÓPEZ DE SANTA ANNA** (1794–1876) rebelled against the <sup>2</sup> emperor **Agustín I** (Agustín Iturbide) and declared himself in favor of the republic.

### 1823

Iturbide was forced into exile. A junta of three generals, including liberal **Guadalupe Victoria**, <sup>3</sup> was formed. Conservative **Lucas Alamán** (1792–1853) was named foreign minister.

### 1824

A constitution maintained military and ecclesiastical *fueros*, and Catholicism remained <sup>4</sup> the official religion. Guadalupe Victoria won the presidency.

### 1828

Santa Anna imposed **Vicente Guerrero** as president. <sup>5</sup>

## 1829, Sept

A law abolished slavery, provoking protests from Texas colonizers.

6

## 1830

Vice president Gen. **Anastasio Bustamante** (1780–1853) seized power and named conservative Alamán as chief minister. He raised tariffs to protect the textile industry. Guerrero rebelled but was defeated.

7

## 1832

Santa Anna rose up against the government. Alamán and Bustamante were exiled.

8

## 1833, April 1

Santa Anna was named president. His government was dominated by the liberal federalist minister of education, **José María Luis Mora** (1794–1850). Legislation disentailed some church property; the military lost the *fuero*.

9

## 1834

Conservatives called upon Santa Anna to restore “religion and *fueros*.” Liberals were expelled from Congress.

10

## 1835

Federalist constitution was suspended, moving Yucatán to secede and Texans to revolt against the central government. Santa Anna led his troops against rebels.

11

## 1836, April 21

Texans defeated Santa Anna at **San Jacinto** (See [1836](#)), forcing him to accept Texas's independence. Centralists staged a comeback with Bustamante as president. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **e. [The Caribbean](#)**

### **1. Cuba**

During the wars of independence, **Cuba** and **Puerto Rico** remained loyal to Spain. Slave labor and fertile soil allowed the sugar economy to flourish, especially after the destruction of slavery in Haiti. In 1827, Cuba had 707,400 inhabitants. The slave population in Cuba increased dramatically between 1790 and 1860. After 1860, slave trade declined, and colonial authorities actively promoted white immigration. Sugar planters, monopolizing land in western Cuba, and tobacco manufacturers formed a powerful elite. In the east, hacendados and free farmers of color predominated. <sup>1</sup>

#### **1868–78**

The **TEN YEARS' WAR**. Following the liberal revolution in Spain (1868), eastern small slave owners and farmers unleashed a war for independence with the **Grito de Yara**. Sugar planters of the west supported Spain. Massive participation of slaves in rebel ranks prompted Spain to pass the **Moret Law** of 1870 that freed children of slave mothers and slaves over age 60. The war ended with the **convention of El Zanjón** (Feb. 10, 1878), by which Spain promised amnesty and freedom to slaves and Asian indentured workers who had fought the war on both sides. <sup>2</sup>

#### **1879–86**

In the east, **Antonio Maceo** (1845–96) led slaves in a guerrilla war (**Guerra Chiquita**). Slaves resorted to legal and illegal measures to gain freedom. Spanish authorities tried to ensure a gradual process of emancipation. The **Patronato Law** of 1880 regulated emancipation by creating a transitional status for slaves. **Spanish authorities abolished slavery in 1886.** <sup>3</sup>

## 1895–98

**WAR OF INDEPENDENCE. JOSÉ MARTÍ** (1853–95) united Cubans to fight for independence. A war without quarter devastated the island. About 10 percent of the population died. The U.S. entered the conflict, alleging Spain's destruction of the *Maine*, a warship stationed in Havana Harbor, thus initiating the **Spanish-American War** (See [1898](#)). Spain was quickly defeated, and by the **Treaty of Paris** (Dec. 10) withdrew from Cuba and ceded Puerto Rico and the Philippines to the U.S. Many Cubans viewed U.S. intervention with distrust.

4

## 1899–1902

**U.S. occupation of Cuba.** U.S. entrepreneurs secured most of the repair and renovation projects in the aftermath of the war. Despite peace and economic recovery, there was extensive discontent with U.S. control of Cuba. The U.S. introduced the **Platt Amendment** (Feb. 12, 1901) by which the U.S. had the right to dictate all of Cuba's international agreements, to intervene in domestic political affairs, and to establish a military base at Guantánamo Bay. Cuba had 1,573,000 inhabitants in 1900.

5

## 1903–6

**Tomás Estrada Palma**, a pro-U.S. candidate, was elected president. U.S. forces withdrew. U.S. investors greatly augmented their ownership of land, industries, and services in Cuba. Popular unrest continued, fueled by electoral fraud. Liberals deposed Estrada Palma.

6

## 1906–8

**Second U.S. military intervention.** **Charles Magoon** became provisional governor of Cuba. He broadened the franchise and held elections.

7

## 1908–13

**José Miguel Gómez**, a liberal, assumed the presidency. U.S. forces withdrew. Power of foreign investors and local bourgeoisie increased. The **Morúa Law** prohibited political associations based on color or race. Black Cubans tried to resist, but their movement met harsh repression in the eastern provinces (1912). U.S. racism reinforced local prejudices. 8

## 1913–17

Conservative **Mario García Menocal** became president. Liberals revolted against his reelection in 1917. The U.S. intervened on behalf of García Menocal. (See [Cuba](#)) 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Table of Contents

### Page 6

#### VI. The World Wars and the Interwar Period, 1914–1945

##### A. Global and Comparative Dimensions

##### 1. Emerging Global Relationships

###### a. Developing Global Institutions and Structures

###### b. Globally Competing Ideologies

##### 2. Nationalist Options

###### a. Globalization of Culture

##### 3. International Relations

###### a. The Post–World War I Era

###### b. The Era of the Great Depression

##### 4. Science

###### a. Mathematics, Physics, Astronomy

###### b. Chemistry, Biology, Geology

##### 5. Technological Developments

###### a. Energy and Materials

###### b. Materials and Construction

###### c. Machines and Industrial Techniques

###### d. Agricultural Production and Food Technology

###### e. Transportation and Communication

##### B. World War I, 1914–1918

##### 1. The Western Front, 1914–1915

##### 2. The Eastern Front, 1914–1915

##### 3. The War at Sea, 1914–1915

##### 4. The Balkan Situation, 1914–1915



5. The Intervention of Italy, 1915
6. The Middle East, 1914–1918
7. The Western Front, 1916–1917
8. The Eastern Front, 1916–1917
9. The Italian Front, 1916
10. The Balkan Front, 1916–1917
  - a. Greece
  - b. Romania
11. The War at Sea, 1916–1917
12. The War in the Air, 1914–1918
13. The War in the Colonies, 1914–1918
14. Peace Negotiations, 1916–1917, and the Intervention of the United States, 1917
15. The Settlements in Eastern Europe, 1917–1918
16. The End of the Habsburg Monarchy
17. Operations in the West, 1918
18. The Peace Settlements
  - a. The Treaty of Versailles
  - b. The Treaty of Saint-Germain
  - c. The Treaty of Neuilly
  - d. The Treaty of Trianon
  - e. The Treaty of Sèvres

#### Military Summary

- The Western Front, 1914–1915
- The Eastern Front, 1914–1915
- The War at Sea, 1914–1915
- The Balkans, 1915–1916
- The Italian Front, 1914
- The Western Front, 1916–1917
- The Eastern Front, 1916–1917
- The Italian Front, 1916–1917
- The Balkan Front, 1916–1917
- The War at Sea, 1916–1918

The Western Front, 1918

C. Europe, 1919–1945

1. Economic and Social Changes
2. Intellectual and Religious Trends
3. Culture and Popular Culture
4. European Diplomacy and the Depression, 1919–1939
5. The British Isles
  - a. Great Britain
  - b. Ireland
6. The Low Countries
  - a. Belgium
  - b. The Netherlands
7. France
8. The Iberian Peninsula
  - a. Spain
  - b. Portugal
9. Italy and the Papacy
10. Switzerland
11. Germany
12. Austria
13. Czechoslovakia
14. Hungary
15. The Scandinavian States
  - a. Overview
  - b. Denmark
  - c. Norway
  - d. Sweden
  - e. Finland
  - f. Iceland
16. Russia (Union of Soviet Socialist Republics)
17. The Baltic States
  - a. Overview

b. Lithuania

c. Latvia

d. Estonia

18. Poland

19. The Balkan States

a. Yugoslavia

b. Albania

c. Greece

d. Bulgaria

e. Romania

D. North America, 1915–1945

1. The United States

2. The Dominion of Canada

3. Newfoundland

E. Latin America and the Caribbean, 1914–1945

1. Overview

a. Regional Diplomacy

b. Cultural Developments

2. South America

a. Argentina

b. Chile

c. Paraguay

d. Uruguay

e. Bolivia

f. Peru

g. Ecuador

h. Colombia

i. Venezuela

j. Brazil

3. Central America

a. Overview

b. Panama

- c. Guatemala
- d. El Salvador
- e. Nicaragua
- f. Costa Rica
- g. Honduras

#### 4. Mexico

#### 5. The West Indies

- a. Cuba
- b. Puerto Rico
- c. The Virgin Islands
- d. The Dominican Republic
- e. Haiti

### F. The Middle East and North Africa, 1914–1945

#### 1. Overview

#### 2. The Middle East

- a. The Ottoman Empire and Turkey
- b. Iran (Persia)
- c. Afghanistan
- d. Egypt
- e. Syria
- f. Lebanon
- g. Palestine
- h. Transjordan
- i. Iraq
- j. States of the Arabian Peninsula

#### 3. North Africa

- a. Morocco
- b. Algeria
- c. Tunisia
- d. Libya

### G. South and Southeast Asia, 1914–1945

#### 1. India

## 2. Southeast Asia

### a. Mainland Southeast Asia

### b. Peninsular and Island Southeast Asia

## H. East Asia, 1902–1945

### 1. Overview

### 2. China, 1914–1945

### 3. Mongolian People's Republic, 1911–1926

### 4. Korea, 1910–1945

### 5. Japan, 1914–1945

### 6. Vietnam, 1902–1945

## I. The Pacific Region, 1914–1945

### 1. The Pacific Islands

### 2. The Philippines

### 3. Australia

### 4. New Zealand

## J. Africa, 1914–1945

### 1. Overview

### 2. Regions

#### a. Sudanic West and Central Africa

#### b. Forest West Africa

#### c. Northeast Africa (Horn)

#### d. East Africa

#### e. West Central Africa

#### f. Southern Africa

#### g. Madagascar

## K. World War II, 1939–1945

### 1. The Campaigns in Poland and Finland, 1939–1940

### 2. The Invasion of Denmark and Norway, 1940

### 3. The Conquest of the Low Countries and the Fall of France, 1940

### 4. The Battle of Britain, 1940

### 5. The Balkan Campaigns, 1940–1941

### 6. The Campaigns in the Soviet Union, 1941–1944

- [7. Defense of the Western Hemisphere, 1939–1945](#)
- [8. Naval Warfare and Blockade, 1939–1944](#)
- [9. The Campaigns in the Middle East and Africa, 1939–1943](#)
- [10. The Invasion of Italy, 1943–1944](#)
- [11. The Liberation of France and Belgium, 1944](#)
- [12. The Battle of Germany, 1945](#)
- [13. The War in Asia, 1939–1941](#)
- [14. The War in the Pacific, 1941–1945](#)
- [15. The Organization of Peace](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, June 28](#))

## **VI. The World Wars and the Interwar Period, 1914–1945**

### **A. Global and Comparative Dimensions**

Two world wars and a worldwide economic depression of great magnitude provide the global background and foundation for developments in the first half of the 20th century. The globalization of political, economic, and cultural life intensified in a context of the continuing relative domination by the West. However, the core of the West itself spread beyond Western Europe and increasingly, Western Europe became a less central part of the modern industrialized world. By midcentury, world affairs came to be dominated by the two great superpowers of the United States and the Soviet Union. The changing dynamics of world relationships can be seen in two different areas: (1) the emergence of significant patterns of global connections in political, ideological, economic, and sociocultural structures; and (2) the further intensification of international and interstate relationships on a global scale. <sup>1</sup>

#### **1. Emerging Global Relationships**

Important changing patterns of global connections developed in three areas in the first half of the 20th century: (1) the development of global structures of interstate, economic, and sociocultural relationships; (2) the emergence of globally competing sociopolitical ideologies for shaping the nature of societies in the modern era; and (3) significant experiences with global dimensions in economic life, social transformation, and culture. <sup>2</sup>

##### **a. Developing Global Institutions and Structures**

From the beginning of World War I to the end of World War II, many different types of global relationships developed. Three important types of structures emerged: (1) political organizations and relationships among states; (2) multinational economic and <sup>3</sup>

business structures; and (3) nongovernmental organizations for cultural, religious, and humanitarian purposes. In all of these areas, foundations had been laid before 1914, but during the era of the two world wars and the “interwar period” there was a significant development of global institutions and relationships in many different areas.

## 1. 1914–1946. Interstate Institutions

At the beginning of the 20th century, relations among the major states primarily represented alliances based on treaties and agreements reflecting relatively temporary arrangements among blocks of powers rather than continuing international institutional structures. Few permanent interstate organizations existed. However, the destructiveness of World War I led to major efforts to create permanent international organizations for the regulation of interstate relations or conflict resolution, as well as for the coordination of international services. 4

**World War I negotiations.** In 1914, there was no permanent organization for assembling the prospective antagonists. The existing **International Court of Justice** in The Hague had neither jurisdiction nor power. During the war, occasional efforts at mediation were made, but the war came to an end with a series of armistice agreements that were negotiated often on a bilateral and temporary basis. The major agreements were the armistices between the **Allies** and the Ottoman Empire (at **Mudros**, Oct. 1918), Austria-Hungary (Nov. 3, 1918), and Germany (Nov. 11, 1918). The **PEACE CONFERENCE AT VERSAILLES** (See [1919, Jan. 18](#)) began in January 1919 and defined the main lines of international relations for the world war settlement. The **Treaty of Versailles** (signed June 1918) defined the conditions of the peace settlement. 5

The **LEAGUE OF NATIONS** (See [April 28](#)) was created by the Treaty of Versailles to deter war and provide an administrative structure for managing international relations and conflict resolution. The League came into being with a permanent secretariat in **Geneva** in 1920 (**Sir Eric Drummond**, first secretary-general). In the context of the operation of the League, a number of interstate organizations for coordinating important services were created, including the **International Labor Organization (ILO)**, created in 1919 as a part of the League of Nations to improve global labor conditions, and the **International Commission for Air Navigation**, created in 1919 to assist in international civil aviation. 6

The **Permanent Court of International Justice** was created in 1921 in accord with the League's Covenant and established in The Hague as a continuation of the Permanent Court of Arbitration. 7



Existing international institutions like the **Universal Postal Union**, the **International Institute of Agriculture**, and the **International Meteorological Organization** worked in collaboration with the League of Nations in the continuing process of coordinating important international services. 8

**MULTINATIONAL CONFERENCES** continued to be an important instrument for international relations. These enabled major powers to act without the constraints imposed by League of Nations procedures. One major theme for such conferences was arms control and the possible renunciation of war. Some of the most important of these were: 9

**Washington Conference** (1921–22), which defined Great Power relations in the Pacific basin and in China, as well as set limits on naval armaments. 10

**Locarno Conference and Treaties** (1925) provided for border guarantees in Europe (See [Oct. 5–16](#)). 11

**KELLOGG-BRIAND PACT**, signed in Paris in 1928, involved renunciation of war but made no provision for sanctions. 12

**London Naval Conference** (1930) (See [1930, Jan. 21–April 22](#)) dealt with submarine warfare and other naval armament agreements signed by Great Britain, the U.S., Japan, France, and Italy. 13

**Disarmament Conference in Geneva** (1932) was attended by 60 states and produced no effective agreements. By the mid-1930s, such major conferences were effectively replaced by the Great Power negotiations that were part of the buildup to World War II. 14

Other major conferences were held on a variety of subjects. Many were held in the context of European powers' working out the economic implications of the Versailles Treaty and **German war reparations**. Others defined international cooperation in many nonpolitical areas. Important examples of these are the Madrid Conference (1932) of the **International Telecommunication Union**, which merged the Telegraph Convention (1865) and the Radiotelegraph Convention (1906), and the Havana Conference (1928), creating the **Pan American Convention on Air Navigation**. 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#) 

## **b. Globally Competing Ideologies**

The first half of the 20th century was a time when major modern comprehensive ideologies were developed as the basis for sociopolitical identities and political systems. In the social, economic, and political transformations framed by the two world wars and the Great Depression, world visions and broad programmatic perspectives were an important part of the global scene. The most comprehensive statements of the emerging ideologies were made by movements and thinkers in more industrialized societies. These helped to shape the options defining transformations taking place outside of Europe and North America. Two important lines of experience shaped the developing global competition of ideologies in the first half of the 20th century: (1) the definition and conflict of explicitly modern ideologies in the Western world, and (2) the evolution of options for guiding transformations in the emerging nationalist context of societies dominated by the major powers. 1

### **1. Western Ideological Competitions**

At the beginning of the 20th century in Europe, comprehensive ideological positions defining the basic nature of society tended to be politically marginal. The nationalist unifications of Italy and Germany had avoided becoming ideologically liberal, and Great Britain and France maintained a practical adherence to parliamentary liberalism. Democratic liberalism, in an explicitly capitalist format, as it was emerging in the U.S., was also pragmatic in orientation. World War I destroyed the stability of the politically evolutionary acceptance of change, and following the war, the alternatives were more sharply defined in ideologically programmatic terms. 2

#### **a. Democratic Liberalism**

The victorious powers in World War I were committed to differing forms of democratic 3

liberalism. The **World War I settlement** reflected this ideological position. The global terms were set by the U.S. president **WOODROW WILSON**, in an ideological liberal internationalism committed to the **self-determination** of peoples, **democratic** political systems, relatively **capitalist** market economies, and peaceful resolution of international conflicts by public negotiation. The **League of Nations** was the manifestation of this ideology. Although Great Britain and France were less committed to the international aspects, they maintained their own democratic parliamentary systems and supported efforts to create and maintain them elsewhere in Europe. Germany was reconstituted in the **Weimar Republic**, and in the other new states established in Central and Eastern Europe, parliamentary systems were established. Significant economic difficulties in all of the democracies and growing political divisions among the parties led to increasing pressures for more authoritarian leaders, and in a number of countries dictators came to power. In the continuing democracies, the Depression forced major changes involving significant government intervention in the economy. **Democratic socialism** became a major force in Britain and France, and the **New Deal** of President Franklin Roosevelt, beginning in 1933 in the U.S., was a major transformation of the economy of the U.S. The economies of the liberal democracies were increasingly **mixed economies**, combining aspects of capitalism and socialism in an emerging **democratic welfare state** system. During World War II, the **Axis powers** represented the authoritarian alternative to liberal democracy. When they were defeated, the **Allied powers** established constitutional democratic systems in **Italy, Japan**, and the parts of **Germany** under occupation by American, British, and French forces. In the Western world, after major setbacks during the interwar period, liberal democracy, in modified capitalist and socialist economic systems, emerged after World War II as the dominant sociopolitical ideology.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

## 2. [Nationalist Options](#)

In the areas dominated by the major powers and empires, the first half of the 20th century was a time when nationalist movements began to be important throughout the world. In the 19th century, nationalist movements had been most effective and active in Europe. The advocacy of the right of **self-determination** which was part of the World War I settlement created a number of new nationally identified states in Europe but maintained imperial control in much of the rest of the world. 1

**MIDDLE EAST.** Movements for assertion of national identities had developed in the late 19th century in **Egypt** and **Persia** (Iran), and among **Turks** in the Ottoman Empire. In the **Arab lands** of southwest Asia and French North Africa, there was little Arab nationalism until World War I. Following World War I, major nationalist movements developed in Turkey under **Mustafa Kemal Atatürk** (See [1919, May 19](#)), in Persia under **Reza Shah Pahlevi**, and in Egypt under the **Wafd Party** of Sa'd Zaghloul. In French North Africa, the **Destour Party** and then the **Neo-Destour Party** in Tunisia and less well structured efforts elsewhere presented nationalist programs, as did intellectuals in the states that had been created as League of Nations **mandates** in the Middle East—Syria, Lebanon, Iraq, Jordan, and Palestine. All of these nationalist movements tended to express their goals in terms of **Wilsonian liberal democracy**. They sought self-determination, recognized popular sovereignty, and tried to create independent parliamentary political systems. All also advocated programs of rapid modernization following explicitly Western European models. Fascism and communism had limited appeal or support. The real conflict was between nationalist aspirations and imperialist power. Only in the new Turkish republic under **Atatürk**, and, to a lesser extent, in Persia (Iran), were nationalists able to achieve effective political independence and implement modernization programs of their own rather than an imposed definition. 2

**AFRICA.** The interwar period was from some perspectives the heyday of European imperialism in Africa. Major concepts of imperial governance like **Indirect Rule** were developed by the British, and there was little expectation that imperial rule would end before a long period of time had elapsed. The units of imperial control had been created by the processes of European imperial expansion and had little relationship to the ethnic and cultural identities of the subject peoples. In the interwar period there were, however, 3

small groups of educated Africans who began to call for independence and did so in nationalist terms, calling for the independence of the existing imperialist-created state. In the **Anglo-Egyptian Sudan** a Graduates Congress was formed in 1938 and advocated nationalist aims, presenting a list of demands to the British in 1942. In **Kenya** during the 1920s there was the Kikuyu Central Association, which sought the return of land taken by British settlers, but its leaders, like the later nationalist **Jomo Kenyatta**, were not actively nationalist in the interwar era. In general terms, educated Africans in all colonies expressed desires for self-determination and effective political participation, but effective nationalist movements did not emerge until after World War II.

**PAN-AFRICAN** movements did not have much support in Africa itself, but in the U.S., African-American organizations supported various types of Pan-Africanism and possible return to Africa. The most important advocates of these ideas were **W.E.B. DuBois** early in the century, and **Marcus Garvey** in the Universal Negro Improvement Association in the 1920s. A religious form of American black nationalism was formulated by **Elijah Muhammad** in the organization of the **Nation of Islam** in the 1930s.

**SOUTH ASIA.** In **India**, there was a well-established nationalist movement by the beginning of the 20th century. The **Indian National Congress** had been founded in 1885 with the goal of securing for Indians a greater role in their government. In the interwar period, especially under the dramatic nonviolent leadership of **Mahatma Gandhi**, the nationalist movement gained great strength. The **Muslim League**, founded in 1906, originally worked closely with Congress to secure Indian self-government. During the interwar period, Indian Muslim feelings of identity and fear of Hindu domination in an independent India led the Muslim League to advocate establishing an independent Muslim state in South Asia to be called **Pakistan**. Following World War II in 1947, when British India became independent it was partitioned into Pakistan and the Republic of India.

**EAST ASIA.** In the colonial areas of East Asia there were some beginnings of modern nationalism. In the **Philippines**, the period of rule by the U.S. began with a bloody war of Philippine resistance (1898–1901) and ended with the establishment of commonwealth status in the late 1930s and the Japanese conquest during World War II. Nationalist resistance to French rule in **Indochina**, Dutch rule in **Indonesia**, and British control in various southeast Asia lands began to be expressed in the interwar era but with only limited success until World War II, when the defeat of the imperial powers by **Japan** inspired local nationalists.

**Japan's role.** Japan had an important international role in the development of nationalist movements during the first half of the 20th century. The success of the program of rapid modernization set in motion by the **Meiji Revolution** in the 19th century inspired reformist nationalists like Atatürk in Turkey. Japan's victory in the **Russo-Japanese War of 1905** had a major impact in showing that European imperial powers could be defeated. In **World War II**, the Japanese conquest of the French, British, Dutch, and

American possessions in East and Southeast Asia opened the way for wartime puppet states to set precedents for later demands for independence. In addition, the expansion of Japan's own imperial strength aroused the fears of Japan's historic rivals, China and Korea, and provided a negative impulse for the development of nationalism in China under the **Kuomintang** led by **Jiang Jieshi**. In **Korea**, following its annexation by Japan in 1910, nationalist resistance took a number of forms, including the establishment of a Korean provisional government in exile whose president in 1919 was **Syngman Rhee**, who became the first president of South Korea in the republic created by the U.S. following World War II.

**Nationalist ideologies** in the first half of the 20th century tended to be based on the **Wilsonian liberal democratic** vision of the world. It was not until the time of the Cold War following World War II that more Communist-style perspectives became important in developing nationalist movements and visions.

8

### a. Globalization of Culture

The period between the two world wars was a time when many aspects of human life and experience became more global in style or mode of operation. The Great Depression showed the global nature of important economic aspects of life, but this was also part of many aspects of social and cultural life. These tendencies could be seen in sports, entertainment, and literature.

9

#### 1. Sports

The organizational and social context of sports became significantly globalized in the first half of the 20th century. The sports involved the establishment of significant international organizations both of athletes and of competitions. The **International Amateur Athletic Federation (IAAF)** (founded 1913) became a major global institution by mid-20th century. **THE MODERN OLYMPIC GAMES** became major global events in the interwar era. The **Berlin Olympics of 1936** were an attempt by **Hitler** to glorify the new racist Nazi state but this failed when an African-American athlete, **Jesse Owens**, won four gold medals. The Olympics were extended to include winter games in 1924. The **London Olympics of 1948** were a celebration of the Allied victory in World War II as well as an athletic event.

10

**Major individual sports** also became globalized, with the world's most widely viewed sport of **SOCCER**, or Association Football, reflecting the broader history. Following World War I, association football became a major feature of social recreational life, especially in Europe and Latin America. The first **World Cup** competition was held in

11

1930 and was won by Uruguay. International competitions were interrupted by World War II but quickly resumed following the war.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. International Relations**

The era between the two world wars was a period of complex interrelations among states and involved a variety of other institutions. The major dividing point in the two decades is the beginning of the Great Depression, which can be dated from the collapse of the New York stock market in 1929. The interwar period may be divided chronologically into two phases: (1) the postwar period of adjustment and building, and (2) the era of the Great Depression. <sup>1</sup>

#### **a. The Post–World War I Era**

The main lines of development of international relations during the 1920s were to implement the Versailles Treaty, to organize international relations among the major powers in the changing global context, and to adjust to the globalization of many different types of activities. <sup>2</sup>

#### **1919**

Creation of the **International Labor Organization** and the **International Commission for Air Navigation** as a part of the development of the League of Nations organizational structures. Creation of the **International Federation of Red Cross Societies**, joining the various national societies into a single world federation. The formation of the **Third International (Comintern)** by Lenin. <sup>3</sup>

#### **1919, Nov. 19**



U.S. Senate refused to ratify the **Versailles Treaty** (See [July 10–1920, March 19](#)) and the defensive treaties among the U.S., Great Britain, and France. This significantly weakened the whole structure of the international peace structure established at Paris. 4

## 1919–24

**Conflicts over borders of peace settlement** (See [1919–22](#)). Numerous disputes in **Eastern Europe** took place, contesting control of Vilna (between Poland, Lithuania, and Russia), Teschen (Poland and Czechoslovakia), Bergenland (between Austria and Hungary), Fiume (between Italy and Yugoslavia), and Upper Silesia (between Germany and Poland). In the **Middle East**, there was a **Turco-Greek War** (1919–22) for the control of Western Anatolia, which the new Turkish nationalist movement won, driving Greek forces completely out of Anatolia. 5

## 1920

Creation of the **International Chamber of Commerce**. 6

**Olympic Games resumed**, after eight-year break, in Antwerp. Finnish distance runner Paavo Nurmi was major star. 7

## 1920, Jan. 10

Official **birth of the League of Nations**. The assembly met for the first time Nov. 15. 8

## April 19–26

The **San Remo Conference** of the Allied powers to discuss territorial arrangements and to assign League of Nations Class A Mandates. 9

## June 19–22

**Conference of Hythe and Boulogne** to discuss the Middle Eastern situation and reparations issues. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The Era of the Great Depression**

During the 1930s, the major themes of global history were the continuing efforts to resolve the problem of war, first in terms of continuing the effort to find ways of eliminating war, and then in terms of limiting actual prospects of the major war that was clearly looming; and the efforts to cope with the economic conditions of the global depression. <sup>1</sup>

### **1930, Jan. 21–April 22**

**LONDON NAVAL CONFERENCE.** It led to a treaty signed by Great Britain, the U.S., France, Italy, and Japan, regulating submarine warfare and limiting the tonnage and gun caliber of submarines. The limitation of aircraft carriers, provided for by the Washington Treaty, was extended. Great Britain, the U.S., and Japan agreed to scrap certain warships by 1933 and allocated tonnage in other categories. Increased tonnage was allowable under specified conditions. The agreements were to operate until 1936. <sup>2</sup>

### **Nov. 6–Dec. 9**

Final meeting of the **Preparatory Commission on Disarmament.** It adopted by a majority vote a draft convention to be discussed at a disarmament conference called by the League Council for February 1932. German and Russian representatives did not approve, and Swedish and American delegates had strong reservations. The major problems involved clauses preserving obligations from previous treaties, especially those barring German equality in armament. <sup>3</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1911](#))

## 4. [Science](#)

Science and technology became increasingly international but major developments were concentrated in Europe and the U.S. Throughout the interwar years, physics remained the center of most scientific activity, illuminating a universe that lacked any absolute reality. In 1919 **Ernest Rutherford** (1871–1937) showed that the atom could be split. By 1944 seven subatomic particles had been identified. Although few nonscientists understood the revolution in physics, the implications of the new theories and discoveries, as presented by newspapers and popular writers, were disturbing to millions of men and women in the 1920s and 1930s. 1

The major benchmarks in scientific inquiry follow. 2

### a. [Mathematics, Physics, Astronomy](#)

#### 1915

**Einstein** announced his **general theory of relativity**, which explained the advance of Mercury's perihelion and predicted the subsequently observed bending of light rays near the sun. 3

#### 1918

**Harlow Shapley** (1885–1972), from an extensive study of the distribution of globular clusters and cepheid variable stars, increased the estimated size of our galaxy about ten times. He envisioned the galaxy as a flattened lens-shaped system of stars in which the solar system occupied a position far from the center. 4

#### 1919

**Rutherford** found that the collision of alpha particles with nitrogen atoms resulted in the disintegration of the nitrogen and the production of hydrogen nuclei (protons) and an isotope of oxygen. He was the first person to achieve artificial transmutation of an element.

5

## 1919

**Arthur S. Eddington** (1882–1944) and others, by studying data obtained during a total solar eclipse, verified Einstein's prediction of the bending of light rays by the gravitational field of large masses.

6

## 1919–29

**Edwin P. Hubble** (1889–1953) detected cepheid variable stars in the Andromeda Nebula, a discovery that allowed him to determine the distances between galaxies.

7

## 1924

**Louis-Victor de Broglie** (1892–1987) determined from theoretical considerations that the electron, which had been considered a particle, should behave as a wave under certain circumstances. Experimental confirmation was obtained in 1927 by **Clinton Davisson** (1881–1958) and **Lester H. Germer** (1896–1971).

8

## 1925

**Wolfgang Pauli** (1900–1958) announced the **exclusion principle** (in any atom no two electrons have identical sets of quantum numbers). This principle was an important aid in determining the electron structure of the heavier elements.

9

## 1925–26

**Werner Karl Heisenberg** (1901–76) and **Erwin Schrödinger** (1887–1961) independently, and in different ways, laid the theoretical foundations of the new **quantum mechanics**, which, though violating classical notions of causality, successfully predicts the behavior of atomic particles.

10

## 1927

**George Lemaître** (1894–1966), in order to explain the red shift in the spectra from distant galaxies, introduced the concept of the **expanding universe**. **Eddington** pursued research in this subject from 1930.

11

## 1928

**Paul A. Dirac** (1902–84), by combining quantum mechanics and relativity theory, devised a relativistic **theory of the electron**.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [Chemistry, Biology, Geology](#)

### 1915

**Alfred Wegener** (1880–1930) gave the classic expression of the controversial theory of continental drift in *Die Entstehung der Kontinente und Ozeane*. <sup>1</sup>

### 1921

**Hans Spemann** (1869–1941) postulated an organizer principle that was responsible for the formative interaction between neighboring embryonic regions. He stimulated contemporary embryologists to search for the inductive chemical molecule. <sup>2</sup>

### 1927

**Hermann J. Muller** (1890–1967) announced that he had successfully induced mutations in fruit flies with x-rays. This provided a useful experimental tool, yet in retrospect gave warning to the generations of the 1940s and 1950s of a danger in the release of atomic energy. <sup>3</sup>

### 1929

**Alexander Fleming** (1881–1955) announced that the common mold *Penicillium* had an inhibitory effect on certain pathogenic bacteria. It was not until 1943 under the pressures of World War II, however, that the first antibiotic, penicillin, was successfully developed. <sup>4</sup>

### 1930



**Ronald A. Fisher** (1890–1962) established in *The Genetical Theory of Natural Selection* <sup>5</sup> that superior genes have a significant selective advantage, thus testifying that Darwinian evolution was compatible with genetics.

## 1941

**George W. Beadle** (1903–89) and **Edward L. Tatum** (1909–75) described an <sup>6</sup> experimental assay that evaluated the exact relationships between specific mutant genes in mold and particular stages in the metabolic process.

## 1944

**Oswald T. Avery** (1877–1955) and collaborators announced they had transmuted one <sup>7</sup> type of pneumococcus bacteria into a second type by the transfer of DNA molecules. (See [Science and Technology](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913](#))

## 5. Technological Developments

The major achievements in technology follow. 1

### a. Energy and Materials

#### 1921

**Tetraethyl lead**, gasoline antiknock additive, produced by **Thomas Midgley** (1889–1994). 2

#### 1930–35

Development of first commercially practicable **catalytic cracking system** for petroleum by **Eugene J. Houdry** (1892–1962). 3

#### 1930–37

Development of gas turbine unit for jet propulsion in aircraft by **Frank Whittle**. 4

#### 1942

**DAWN OF THE NUCLEAR AGE.** The first self-sustaining **nuclear chain reaction** achieved at Stagg Field, Chicago, by **Enrico Fermi** (1901–54). The first full-scale use of nuclear fuel to produce electricity occurred at Calder Hall (England) in 1956. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. Materials and Construction**

### **1928**

The first steel-frame, glass-curtain-wall building completed. By 1960 this technique was practically universal for high buildings; developed particularly by **L. Mies van der Rohe** (1886–1969). <sup>1</sup>

### **1941**

**Shell molding**, a revolutionary process producing more accurate castings cheaply, invented by **Johannes Croning**. Powder metallurgy, although known since Wollaston's work at the beginning of the 19th century, achieved extensive application in mid-20th century. <sup>2</sup>

### **1945**

Industrial development of silicones proceeded apace for a wide variety of applications, including lubricants for exceedingly high and low temperatures; binding of fiberglass; water-repellent agents; etc. <sup>3</sup>

### **c. Machines and Industrial Techniques**

#### **1914**

**Conveyer-belt mass production** employed in the U.S. most dramatically in Henry Ford's <sup>1</sup> assembly line for Model T Ford automobile, which became the symbol for American industrial technique.

#### **1915**

Development of **tank in warfare** by British (Sir Ernest Swinton). <sup>2</sup>

#### **1920**

**J. C. Shaw** developed a **sensing device**, controlled by a servomechanism, for a milling machine. Hydraulic trace of J. W. Anderson (1927) allowed the reproduction of complex shapes. Machine tools further supplemented by electrolytic and ultrasonic machines, and cutting machines guided by an electron beam. **Development of laser** (light amplification by simulated emission of radiation) by Theodore N. Maiman (1960); laser also used for precision cutting. <sup>3</sup>

#### **1920 Ff**

**Managerial techniques** improved through development of “scientific management,” <sup>4</sup> whose principles were first enunciated by **Frederick W. Taylor** (1856–1915) in the first decade of the century. Taylor concentrated on time-motion studies. Other proponents of

“rationalized” production were Frank Gilbreth and Charles Bedaux. Quality control developed 1926 ff.

## 1923

First mill for hot continuous wide strip rolling of steel, based on work of John B. Tytus. 5

## 1938

Ladislao J. and George Biro patented the **ballpoint pen**. 6

## 1941–45

Development of **rockets and missiles** during World War II. 7

## 1944

Harvard IBM Automatic Sequence Controlled Calculator, the first automatic general-purpose **digital computer**, completed, ENIAC (electronic numerical integrator and calculator), the first electronic digital computer, built in 1946. Development of special-purpose computers and data processors (1950 ff.), including programmed **teaching machines**. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **d. Agricultural Production and Food Technology**

### **1917**

**Clarence Birdseye** (1886–1956) began development of method for quick **freezing of foods** in small containers; placed on market in 1929. 1

### **1939**

Paul Muller synthesized DDT for use as an insecticide. Othmar Zeidler had prepared DDT in 1874, but its insecticidal qualities had not been suspected. 2

### **1940 Ff**

Development of **artificial insemination** to improve livestock breeding. 3

### **1945 Ff**

Unit **packaging of foodstuffs** improved by development of plastic packaging films. Trend toward prepared “convenience” foods for household use. 4





## **e. Transportation and Communication**

### **1920**

**Frank Conrad** (1874–1941) of the Westinghouse Co. began broadcasting radio programs in Pittsburgh, marking the **beginning of radio** as a mass communication medium. 1

### **1922**

**Herbert T. Kalmus** developed **Technicolor**, the first commercially successful color process for motion pictures. 2

### **1926**

**Sound Motion Pictures.** Although Edison had attempted to put together his phonograph and motion picture inventions for sound movies as early as 1904, it was 1923 before de Forest successfully demonstrated his phonofilm system for recording sound on the motion picture film. The first motion picture with sound accompaniment was publicly shown in 1926, the first talking picture in 1927. 3

### **1926 Ff**

**John L. Baird** (1888–1946) successfully demonstrated **television** in England. His mechanical system of television, similar to that of C.F. Jenkins in the U.S., was based on Paul von Nipkov's rotating disk (1886) but had technical limitations; modern electronic 4

television developed from the cathode-ray tube (1897) of Ferdinand Braun and A.A. Campbell-Swinton's proposals (1911) for use of a cathode ray to scan an image. The crucial invention was the Iconoscope of the Russian American **Vladimir Zworykin** (1889–1982), the device that transmits television images quickly and effectively. Philo Farnsworth of the U.S. contributed the image dissector tube (1927). General broadcasting of television began in England in 1936, in the U.S. in 1941, but languished until after World War II. Peter C. Goldmark of Columbia Broadcasting System (CBS) demonstrated (1940) a sequential method of color television, which gave way to a compatible electronic system developed by RCA in the 1950s.

## 1932

**Edwin H. Land** (1909–91) invented the first practical synthetic light-polarizing material (**polaroid glass**), found useful in sunglasses, cameras, and scientific optical instruments. In 1947 he invented the **Polaroid Land camera**, which developed the film inside the camera and produced a photograph print within one minute; in 1962 he introduced color film for his camera. 5

## 1933

**Fluorescent lamps** introduced for floodlighting and advertising. Developments leading up to this included experiments by George Stokes (1852) and Alexandre Becquerel (1859) to excite fluorescent materials by ultraviolet rays or in a discharge tube; Peter Cooper-Hewitt's invention of the mercury vapor lamp (1901); the introduction of the **Neon lamp** by Georges Claude and the work on cathodes by D.M. Moore and Wehnelt in the 1900s; and J. Risler's application of powder to the outside of tubular discharge lamps (1923). Subsequent developments have included increased cathode life and improved fluorescent powders. 6

## 1933

**Edwin H. Armstrong** (1890–1954), pioneer radio inventor (regenerative, that is, feedback, circuit, 1912, and superheterodyne circuit, 1918), perfected **frequency modulation (FM)**, providing static-free radio reception. 7

## 1937

**Chester Carlson** patented a new dry photographic process (Xerography) based upon principles of photoconductivity and electrostatics.

8

## 1939

**Igor Sikorsky** (1889–1972) flew the first **helicopter** of his design. The first helicopter capable of flight was the work of Ellehammer of Denmark (1912), based on C. Renard's articulated rotor blade (1904) and G. A. Crocco's cyclic pitch control (1906). Juan de la Cierva invented the autogiro (1922), differing from the helicopter in that its rotor autorotated and the engine drove a normal propeller. Further development work was done (1934–36) by Louis Breguet and Heinrich Focke.

9

## 1939

First test flight of a **turbo-jet airplane** (Heinkel) with an engine designed by Hans von Ohain. Simultaneous and parallel work on jet airplanes in Britain, based on turbo-jet engine designed by Frank Whittle (1930). In 1958 **jet-powered transatlantic airline** service was inaugurated by BOAC and Pan-American Airways. In 1962 the British and French governments announced plans to cooperate on the production of a jet-propelled supersonic transport plane (the Concorde), and the U.S. government proposed American production of a supersonic commercial plane the following year. The first plane to exceed the speed of sound in level flight was the American rocket-propelled Bell X-1, which reached Mach 1.06 (approximately 750 m.p.h.) on October 14, 1947.

10

## 1940–45

**Development of radar** (“radio-detection-and-ranging”) stimulated by World War II, for detection of aircraft, blind-bombing techniques, and naval search equipment. Based on Heinrich Hertz's demonstration (1887) that radio waves are reflected similarly to light rays, the technique was first applied by Edward Appleton in Britain (1924) and G. Breit and M. A. Tuve in the U.S. (1925) for investigating ionization in the upper atmosphere. Robert A. Watson-Watt showed the possibilities of employing radio waves to detect aircraft (1935); J.T. Randall and H.A.H. Boot developed the cavity magnetron for high-power microwave transmission. Simultaneously, radar development had been going on in Germany and the U.S., including the development of equipment by Robert H. Page of the Naval Laboratory. After 1940 Britain and the U.S. cooperated in radar development,

11

much of the work being done at the Radiation Laboratory in Cambridge, Mass.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Aug. 6](#))

## **B. World War I, 1914–1918**

### Declarations of War

1

1914

- July 28 Austria on Serbia
- Aug. 1 Germany on Russia
- Aug. 3 Germany on France
- Aug. 4 Germany on Belgium
- Great Britain on Germany
- Aug. 5 Montenegro on Austria
- Aug. 6 Austria on Russia
- Serbia on Germany
- Aug. 8 Montenegro on Germany
- Aug. 12 France on Austria
- Great Britain on Austria
- Aug. 23 Japan on Germany
- Aug. 25 Japan on Austria
- Aug. 28 Austria on Belgium
- Nov. 4 Russia on Turkey
- Serbia on Turkey
- Nov. 5 Great Britain on Turkey
- France on Turkey

1915

- May 23 Italy on Austria

June 3 San Marino on Austria  
Aug. 21 Italy on Turkey  
Oct. 14 Bulgaria on Serbia  
Oct. 15 Great Britain on Bulgaria  
Montenegro on Bulgaria  
Oct. 16 France on Bulgaria  
Oct. 19 Russia on Bulgaria  
Italy on Bulgaria

1916

March 9 Germany on Portugal  
March 15 Austria on Portugal  
Aug. 27 Romania on Austria  
Aug. 28 Italy on Germany  
Germany on Romania  
Aug. 30 Turkey on Romania  
Sept. 1 Bulgaria on Romania

1917

April 6 U.S. on Germany  
April 7 Panama on Germany  
Cuba on Germany  
April 13 Bolivia severs relations with Germany  
April 23 Turkey severs relations with U.S.  
June 27 Greece on Austria, Bulgaria, Germany, and Turkey  
July 22 Siam on Germany and Austria  
Aug. 4 Liberia on Germany  
Aug. 14 China on Germany and Austria  
Oct. 6 Peru severs relations with Germany  
Oct. 7 Uruguay severs relations with Germany  
Oct. 26 Brazil on Germany  
Dec. 7 U.S. on Austria  
Dec. 8 Ecuador severs relations with Germany

Dec. 10 Panama on Austria

Dec. 16 Cuba on Austria

1918

April 23 Guatemala on Germany

May 8 Nicaragua on Germany and Austria

May 23 Costa Rica on Germany

July 12 Haiti on Germany

July 19 Honduras on Germany

## 1. The Western Front, 1914–1915



### THE WESTERN FRONT IN WORLD WAR I (MAP)

**GERMAN STRATEGY** was based on the **Schlieffen Plan**, which provided for the concentration of the main German forces on the French front, the passage through Belgium, and a huge wheeling movement to encircle Paris. This plan required a massing of forces on the German right flank, but even before the outbreak of war the German chief of the general staff, **Gen. Helmuth von Moltke** (1906–Sept. 14, 1914), had transferred some divisions from the right to the left (Lorraine) wing in order to block an invasion of south Germany. The Germans concentrated about 1.5 million men organized in seven armies. On the eastern (Russian) frontier, German forces were relatively few in number and were intended merely to delay the invaders until a decisive victory could be won in the west. 2

The **French plan of campaign** (Plan 17) had been drawn up in 1913 by **Gen. Joseph Joffre** (chief of general staff, July 28, 1911–Dec. 12, 1916) under the influence and teaching of **Gen. Ferdinand Foch**. The plan ignored the danger of a great German advance through Belgium and depended entirely on a vigorous French offensive on the right wing and center. The French reckoned on a Russian advance in the east with about 800,000 men on the 18th day of mobilization. **Britain** was expected to contribute about 150,000 men. 3

**1914, Aug. 4**

In the night the **Germans crossed the frontier** of Belgium, forcing Belgian troops back to Brussels and Antwerp. 4

The **French offensive** (five armies) developed in the region between Mézières and Belfort, Joffre hoping for a breakthrough on either side of Metz. 5

### Aug. 14–25

**Battle of the Frontiers.** French forces met with failure in their invasion of Lorraine. 6

### Aug. 23

**Battle of Mons.** First contact between Germans and British resulted in the latter's retreat. 7

A German advance forced the French and British to fall back to the **Marne River**. The French government moved to Bordeaux (Sept. 3–Dec. 1914). Joffre hastily formed a sixth army on his left, to outflank the German fifth army. Meanwhile Moltke, believing a decision had already been reached by August 25, detailed six corps from the second and third armies to serve on the Russian front. 8

### Aug. 30

**Kluck** gave up his advance to the west of Paris in order to keep contact with Bülow's second army. By September 4 Kluck realized the danger threatening him from the sixth French army before Paris. On the same day Moltke ordered Kluck and Bülow to turn southwest to meet this danger. In the course of the operation a gap was allowed to open between the first and second German armies. 9

### Sept. 5–12

**BATTLE OF THE MARNE.** The opposing armies tried to outflank each other, resulting in a German withdrawal west of Verdun and a cautious British and French advance. 10

### Oct. 10–Nov. 10



**THE RACE FOR THE SEA.** The Germans failed to push through to the **Channel ports**. 11

By the end of 1914 the line on the western front had become fairly well fixed and the war had become a **war of position**, confined largely to **trench warfare**. All but a tip of Belgium was in the hands of the Germans. The Belgian government was established at **Le Havre**, while the occupied area was governed successively by **Gen. Colmar von der Goltz** (to Nov. 1914), **Gen. Moritz von Bissing** (to April 1917), and **Gen. Ludwig von Falkenhausen** (to the end of the war). The Germans also retained about one-tenth of the territory of France (21,000 square kilometers), including many of the most valuable coal and iron mines and several important industrial areas. The line, which in the course of the next three years did not vary by more than ten miles, left to the Allies **Verdun, Rheims**, and **Soissons** and thence turned northward between **Noyon** (Ger.), **Montdidier** (Fr.), **Peronne** (Ger.), **Albert** (Fr.), **Bapaume** (Ger.), **Arras** (Fr.), **Lens, La Bassée** (Ger.), **Armentières, Ypres** (Brit.), **Passchendaele, Dixmude** (Ger.), **Nieuport** (Brit.), **Ostend** (Ger.). 12

**The operations in France in 1915** were devoid of broader interest. The commanders on both sides persisted in the belief that a decision was to be won in this area, and consequently devoted as many men and guns as possible to renewed efforts to break through the opponents' line. None of these "offensives" had a notable effect. All were characterized by appalling loss of life. 13

### April 22–May 25

**SECOND BATTLE OF YPRES.** 14

### May 9–June 18

**SECOND BATTLE OF ARTOIS.** After an unprecedented bombardment, the French succeeded in breaking through on a six-mile front north of Arras and facing Douai. 15

The western front was unusually quiet during most of the summer, the Allies using this period for preparation of a "great offensive" for the autumn. 16

### Sept. 22–Nov. 6

**SECOND BATTLE OF CHAMPAGNE.** After many weeks of desperate fighting the French offensive revealed little gain. 17

### Sept. 25–Oct. 15

**THIRD BATTLE OF ARTOIS.** The failure of the great offensive of the French and British, which Joffre had hoped would work like a pair of pincers to force the German withdrawal from northern France, left the situation in the west substantially where it had been a year previously. (See [The Western Front, 1916–1917](#)) 18

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **2. The Eastern Front, 1914–1915**



### **THE EASTERN FRONT IN WORLD WAR I (MAP)**

The Russian plan of campaign (**Grand Duke Nicholas Nicolaievich**, commander in chief, Aug. 3, 1914–Sept. 5, 1915) was concerned primarily with Austria; large forces were therefore concentrated on the Galician frontier. The Austrians (**Archduke Frederick**, commander in chief, **Gen. Conrad von Hötzendorff**, chief of staff, 1912–17, commander in chief, 1917–July 16, 1918) on their part had drawn plans that depended on German support through an advance on the **Narev River**. Pressure elsewhere prevented the Germans from keeping this engagement, but the Austrians, unable to abandon eastern **Galicia**, with its valuable oil wells, decided to advance from **Lemberg** toward **Lublin** and **Cholm** to cut the railways to Warsaw.

<sup>1</sup>

### **1914, Aug. 26–Sept. 2**

The Austrians won a great victory over the Russians (**Battle of Zamosc-Komarov**), but at once the Russians, with much larger forces, began to drive back the Austrian right wing.

<sup>2</sup>

### **Sept. 13**

**The Russians took Lemberg**, obliging the Austrians to abandon eastern Galicia. At the same time the Russians launched an attack upon the passes of the Carpathians leading into northern Hungary (Sept. 24).

<sup>3</sup>

On the **Serbian front** the Austrians were able to concentrate fewer forces than originally intended. They bombarded **Belgrade** (July 29) and crossed the **Drina River** (Aug. 13) to begin the invasion of Serbia. After months of advances and reverses, the Austrians captured **Belgrade** (Dec. 2). 4

The decisive battles on the eastern front in 1914, however, were won by the Germans. In response to French appeals for action against the Germans, the Russians formed two armies to invade **East Prussia** from the east and the south. Russian successes led to the appointment of **Gen. Erich von Ludendorff**, who had distinguished himself at Liège and was recognized as an outstanding staff officer, as junior officer and chief of staff to **Gen.** (later Field Marshal) **Paul von Hindenburg**, a retired officer of no great distinction. 5

### Aug. 23

Hindenburg and Ludendorff arrived at Marienburg. The essence of this joint plan was to concentrate the German army against the second Russian army (**Gen. Alexander Samsonov**), which was beginning the invasion of East Prussia from the southeast. Throughout these and later operations the Germans were aided greatly by the interception of unciphered Russian messages, and by the unreadiness of Rennenkampf (leader of the first Russian army) to do much to relieve Samsonov. 6

### Aug. 26–30

**BATTLE OF TANNENBERG.** The Germans completely defeated Samsonov's army. The Germans then turned on the first Russian army (**Gen. Paul Rennenkampf**), which was obliged to fall back. 7

### Sept. 6–15

**BATTLE OF THE MASURIAN LAKES.** The Germans advanced to the lower Niemen River and occupied the *gouvernement* of Suvalki. 8

Early in October most of the German troops on this front had to be withdrawn for operations farther south, so that the Russians were able to invade **East Prussia** for the second time. 9

Meanwhile it was necessary for the Germans to do something to relieve the Austrians. **Hindenburg** was made **commander in chief of the German armies in the east** (Sept. 10

18). The plan, as worked out by the German and Austrian staffs, was for a great combined attack on Poland. The Austrians took the offensive in Galicia (Oct. 4), relieved **Przemysl**, and forced the Russians to withdraw from the Carpathians. Meanwhile the Germans (**Mackensen**), advancing on the Austrian left, pushed on toward the Vistula.

### Oct. 9–20

**BATTLES OF WARSAW AND IVANGOROD.** Russian forces pushed back Austrian advances. 11

To relieve the pressure in the south, Hindenburg and Ludendorff planned a great offensive, which, it was hoped, would knock the Russians out before the onset of winter. They appealed to the high command for the transfer of large forces from the west, but the demand was rejected by **Gen. Erich von Falkenhayn** (minister for war, 1906–Jan. 21, 1915; chief of the general staff, Sept. 14, 1914–Aug. 29, 1916), whose attention at this time was concentrated on the drive for the Channel ports. 12

### Nov. 16–25

**THE BATTLES OF LODZ AND LOWICZ.** After initial setbacks, **Lodz** fell to the Germans (Dec. 6). 13

On the **Galician front** the Austrians attempted an offensive to coincide with the German advance. 14

### Dec. 5–17

**BATTLE OF LIMANOVA.** The Austrians failed to break the Russian position before Cracow. Throughout the winter the Russians were within 30 miles of the city. 15

In **Serbia** the Austrians met with even less success as the Serbs forced them out of Serbia (Dec. 3–6). 16

During the winter months the fighting on the Russian front was inconclusive. 17



### 3. [The War at Sea, 1914–1915](#)

The **British Grand Fleet** (**Adm. Sir John Jellicoe**, commander, Aug. 4, 1914–Nov. 29, 1916) consisted of 20 dreadnoughts and a corresponding number of battle cruisers, cruisers, destroyers, and other craft. The fleet was based on **Scapa Flow**, **Cromarty**, and **Rosyth**, with **Harwich** as base for destroyers and submarines. A second fleet, consisting largely of pre-dreadnought types, guarded the Channel. The **Germans** had a **High Seas Fleet** of 13 dreadnoughts, based in the North Sea ports. The Germans remained in port, despite the efforts of **Adm. Alfred von Tirpitz** to bring about a more active policy. 1

#### 1914

The Germans devoted their attention to mine-laying and **submarine work**. After an attempted German submarine raid on **Scapa Flow** (Oct. 18), the Grand Fleet was withdrawn from that base and concentrated, for a time, on the west coast of Scotland. 2

Apart from occasional sinkings, the war in the North Sea was restricted to raids. 3

The largest naval battles occurred between German ships in foreign stations and the Allied fleets assigned to hunt them down (**Nov. 1: naval action off Coronel**; **Dec. 8: Battle of the Falkland Islands**). 4

From the very beginning of the war the question of **neutral shipping** had arisen. Both the British and French governments issued new and more rigorous **interpretations of contraband** (Aug. 20, 25, 1914), adding greatly to the list of contraband goods. To this the U.S. government replied (Oct. 22) that it would insist on the observance of the existing rules of international law. Nevertheless the British continued to revise the list of contraband and to modify the Declaration of London of 1909. On Nov. 2 they declared the North Sea a military zone, and on Jan. 30, 1915, the British admiralty ordered British merchant ships to fly neutral ensigns or none in the vicinity of the British Isles. 5

#### 1915, Feb. 4

The German government announced that a submarine **blockade of Great Britain** would begin on Feb. 18. To this the London government replied with an order in council (March 11) ordering the seizure of all goods presumably destined for the enemy. Cotton was declared contraband on March 18. 6

### May 7

**LUSITANIA SUNK** off the coast of Ireland, with a loss of 1,198 lives, including 139 Americans. 7

The sinking of the *Lusitania* brought the U.S. and Germany to the verge of war and created much greater tension than had developed between the Americans and Allied governments over questions of contraband and blockade. In a speech on May 9 **President Wilson** publicly denounced the sinking, but the note of protest to Berlin (May 13) was somewhat milder in tone, demanding reparations and abstinence from such practices in the future. 8

### June 8

**William J. Bryan** resigned as U.S. secretary of state because of unwillingness to follow the president in his policy. Bryan was succeeded by **Robert Lansing**. 9

On the very next day a much stronger note was dispatched to Berlin, without eliciting a disavowal or assurance for the future. A third note was sent on July 21. 10

### Sept. 1

The German government gave assurances that no liners would be sunk in the future without warning and without some provision for the safety of noncombatants, provided the ship made no effort to offer resistance or to escape. This resulted from a second period of acute tension after the sinking of the *Arabic* (Aug. 19), which claimed two American lives. The German ambassador at Washington, **Count Johann von Bernstorff**, had finally convinced his government of the real danger of war. These assurances were reasonably well observed during the remainder of the year, and so the first phase of the submarine crisis came to an end. (See [The War at Sea, 1916–1917](#)) 11



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

#### **4. The Balkan Situation, 1914–1915**

The three Balkan states, Greece, Bulgaria, and Romania, all exhausted by the Balkan Wars of 1912–13 (See [June 29–July 30](#)), proclaimed neutrality at the beginning of the European conflict. The Russians entertained high hopes of securing the aid of **Romania**, which would have been an important factor in the Galician campaign. On various occasions (July 30, Sept. 16) they attempted to bait the Bucharest government with promises of Transylvania, but so long as **King Carol** lived (d. Oct. 10, 1914) there was no hope of Romanian intervention, since the king strongly regretted Romania's failure to side with its Austrian and German allies. **King Ferdinand** felt morally less bound, but the prime minister, **Ion Bratianu** (premier and foreign minister, Jan. 14, 1914–Feb. 6, 1918) was determined to drive a hard bargain. 1

##### **1914, Dec. 6**

Bratianu rejected Allied suggestions that Romania guarantee Greece against Bulgarian attack or make concessions in the Dobrudja to secure Bulgarian support. 2

##### **1915, Jan. 25**

Bratianu refused to join Greece in support of Serbia. 3

##### **May 3**

The Romanians asked not only for **Transylvania**, but also for part of **Bukovina** and the **Banat**. 4

## July

The Russians were prepared to concede most of these demands, but Bratianu was then unwilling to act unless the Allies had 500,000 men in the Balkans and the Russians 200,000 in Bessarabia (Nov. 1915). 5

The **POSITION OF BULGARIA** became crucial after the entry of Turkey into the war in Nov. 1914. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 5. The Intervention of Italy, 1915



### THE ITALIAN FRONT IN WORLD WAR I (MAP)

On the plea that the Austrian action against Serbia was an offensive action and therefore incompatible with the terms of the **Triple Alliance**, the Italian government in July 1914 refused to join the Central powers and declared neutrality (Aug. 3). But almost from the outset the Italian government maintained that under Art. VII of the Triple Alliance, Italy was entitled to some compensation to counterbalance the Austrian gains in the Balkans. These claims were advanced the more persistently when the foreign ministry was given to **Baron Sidney Sonnino** (Nov. 3), following the sudden demise of **Marquis Antonio di San Giuliano** (Oct. 16). <sup>1</sup>

The necessity of making some concession to Italy in order to keep it neutral was fully recognized in Berlin, but the Austrian foreign minister (**Baron Leopold von Berchtold**) refused to entertain suggestions of territorial cessions. <sup>2</sup>

### 1914, Dec. 20

**Prince Bernhard von Bülow**, former German chancellor, arrived in Rome on a special mission. He admitted the Italian claim to the Trentino, and the German government made every effort to persuade the Austrians to give in (mission of Count Betho von Wedel to Vienna, Jan. 16, 1915). <sup>3</sup>

### 1915, Jan. 13

**Count Stephen Burian** appointed Austro-Hungarian foreign minister to replace Berchtold. Burian finally agreed to the cession of territory (March 9) but was willing to <sup>4</sup>

cede the **Trentino** only after the conclusion of peace. This was not enough to satisfy the Italians, who were already negotiating with the Entente powers. Sonnino demanded of Austria the immediate cession of the **South Tyrol**, the district of **Gorizia** and **Gradisca**, the establishment of **Trieste** and its neighborhood as a free state, the cession to Italy of the **Curzolari Islands** off the Dalmation coast, and full sovereignty over the island of **Saseno** and over **Valona** on the Albanian coast (Italian occupation of Saseno, Oct. 30, 1914; “provisional” occupation of Valona, Dec. 26, 1914). These demands were exorbitant, from the Austrian point of view, but the Germans finally (May 10) induced their allies to agree to substantially all the Italians were holding out for. As it turned out, the Austrians yielded too late.

### April 26

Britain, France, Russia, and Italy concluded the **secret Treaty of London**. **Antonio Salandra**, the Italian prime minister, had envisaged Italian intervention on the Entente side almost since the beginning of war, but the noninterventionists, led by **Giovanni Giolitti**, were too strong to make that at first a practicable policy. During the winter, however, the interventionist movement gathered strength (**Mussolini** broke with the Socialist Party and became an active proponent of intervention). The western powers, meeting with failure on the western front, were ready to offer much. Negotiations were embarked upon in Feb. 1915 but were delayed by the opposition of the Russian foreign minister, Sazonov, to the assignment of the Dalmatian coast to Italy, in view of Serbian aspirations in that region. Under the terms of the treaty as finally concluded, a military convention was to be drawn up to protect Italy against the full force of Austrian attack. The political clauses promised Italy the **South Tyrol** and **Trentino**, **Gorizia**, **Gradisca**, **Trieste**, **Istria**, the most important **Dalmatian Islands** and the southern part of the province of **Dalmatia**, **Saseno** and **Valona**, and full sovereignty over the **Dodecanese Islands** (occupied since 1912). Moreover, in the event of the partition of Turkey, Italy was to have the province of **Adalia**; and in the event of Britain and France enlarging their empires by the addition of German colonies, Italy was to receive extensions of its territory in **Libya**, **Eritrea**, and **Somaliland**. Italy was further to receive a loan, and ultimately part of the war indemnity. The Entente powers were to support Italy in preventing the Holy See from taking diplomatic steps for the conclusion of peace. Italy was to commence hostilities within a month of the signature of the treaty.

5

### May 3

The Italian government denounced the Triple Alliance.

6

## May 10

Conclusion of a **naval convention** among Britain, France, and Italy.

7

## May 23

**Italy mobilized and declared war on Austro-Hungary.** Germany at once severed diplomatic relations (May 24), but for various financial reasons Italy did not declare war on Germany until Aug. 28, 1916.

8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 6. [The Middle East, 1914–1918](#)



### [THE MIDDLE EASTERN THEATER OF WAR, 1914-18 \(MAP\)](#)

#### 1914, Aug. 2

Conclusion of a **secret Ottoman-German alliance** by top-ranking officials, including prime minister **Said Halim** and minister of war **Enver Pasha**. A majority within the Ottoman cabinet, however, favored neutrality and delayed the empire's entry into the war. <sup>1</sup>

#### Aug. 10–11

Arrival of the **German warships *Goeben* and *Breslau*** at the Dardanelles after a long chase through the Mediterranean by the British navy. The Ottoman government allowed the ships into Istanbul and later purchased them. <sup>2</sup>

#### Oct. 29–30

**BOMBARDMENT OF RUSSIAN PORTS** in the Black Sea by **Ottoman warships**. The **OTTOMANS** thereby **ENTERED THE WAR** on the side of the **Central powers**. <sup>3</sup>

#### Nov. 1

**Declaration of neutrality** by the Iranian government. 4

**Nov. 2**

**RUSSIA DECLARED WAR ON THE OTTOMAN EMPIRE. Great Britain and France followed** on Nov. 5. The **British** immediately **annexed Cyprus**. 5

**Nov. 7**

**Proclamation of a jihad** (holy war) against the Entente by the Ottoman sultan in his capacity as caliph. The announcement had no material effect on the course of the war. 6

**Nov. 22**

**British occupation of Basra** in Iraq. 7

**Dec. 17**

Beginning of the **Ottoman offensive in the Caucasus** against the Russians. 8

**Dec. 18**

**Imposition of a British protectorate over Egypt**, which was officially detached from the Ottoman Empire. The British also **deposed the khedive, Abbas Hilmi II**, and replaced him with his uncle, **Husayn Kamil**, who assumed the title of sultan. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Sept. 5](#))

## **8. The Eastern Front, 1916–1917**

### **1916, June 4**

The great **BRUSILOV OFFENSIVE**, initiated somewhat prematurely in order to meet the Italian appeals to distract the Austrians in the Trentino. Brusilov (appointed to the command of the Russian southern front, April 4) had planned the offensive for June 15, to coincide with Joffre's great offensive on the Somme. But the Brusilov offensive was meant to be followed by an even larger operation farther north. After heavy fighting and initial gains, the Russians failed to reach either Kovel or Lemberg. Their losses were about a million men, and the whole operation left the army demoralized and discontented. <sup>1</sup>

The situation in the east was dominated, in 1917, by the developments of the **Russian Revolution** (See [1917, March 8](#)). The provisional government (**Paul Miliukov**, foreign minister, March 15–May 16, 1917) was strongly in favor of prosecution of the war in the hope of realizing the national aspirations. The same was true of **Alexander Kerensky** (minister of war, May 16, prime minister, July 20), who hoped to combat disruptive tendencies and galvanize the country by a new military effort. <sup>2</sup>

### **1917, July 1**

Brusilov began a **great offensive on the Galician front**. <sup>3</sup>

### **Aug. 1**

**Brusilov was succeeded by Gen. Lavr Kornilov**. <sup>4</sup>

## Sept. 8–14

**Kornilov marched on Petrograd** as leader of a counterrevolutionary movement, which failed. 5

## Nov. 7 (Oct. 25 Old Style)

**BOLSHEVIK COUP D'ÉTAT IN RUSSIA.** 6

## Nov. 28

The new Bolshevik regime offered the Germans an armistice and peace. 7

## Dec. 15

**ARMISTICE CONCLUDED ON THE EASTERN FRONT.** (See [The Settlements in Eastern Europe, 1917–1918](#)) 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1915](#))

## 9. [The Italian Front, 1916](#)

The Austrian chief of staff, **Conrad von Hötzendorff**, had for some time been urging upon the German high command the desirability of massing troops in the Trentino for an attack upon the Italian rear and flank, but **Falkenhayn** had flatly refused to contribute forces that he needed for the operations at Verdun. The Austrians decided to make the try alone. As many troops as possible were withdrawn from the Russian front and prepared for an advance on the Asiago plateau. 1

### 1916, May 15–June 3

**The Austrian offensive in the Trentino.** After initial setbacks, the Italians recovered lost territory, but at a cost of 150,000 men. 2

During the first part of 1917 the Italian effort continued to center on the Isonzo (tenth battle (May 12–June 8) and eleventh, and last, battle (Aug. 17–Sept. 12)). As result of two years of operations the Italians had advanced only about ten miles, or halfway to Trieste. 3

In part the Italian failure was due to inadequate artillery and ammunition. **Gen. Luigi Cadorna** had urged Britain and France to send supplies and men in large numbers, so that a knockout blow might be delivered against war-weary Austria. Foch and Lloyd George favored this plan, but Haig had his way and proceeded to the offensive in Flanders. 4

Meanwhile **Ludendorff** decided to follow the annihilation of Serbia and Romania with a similar assault on Italy. Six divisions of German troops were sent to reinforce the nine Austrian divisions on the Isonzo front. It was decided to attack on the Upper Isonzo, near Caporetto, in the hope of breaking through and advancing as far as the Tagliamento River. 5

## Oct. 24–Dec. 26

**THE CAPORETTO CAMPAIGN.** After a complete rout of the Italians on the first day, <sup>6</sup> Italian forces, bolstered by British and French troops, held firm at the Piave River. The Italians had lost almost 300,000 men taken prisoner and even more than that in deserters.

## Nov. 7

**Cadorna was replaced by Gen. Armando Diaz,** who devoted himself to establishing a <sup>7</sup> defensive position and above all to restoring the morale of the troops.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Feb. 24](#))

## 10. [The Balkan Front, 1916–1917](#)

### a. [Greece](#)

Throughout the summer and autumn of 1916 the **Greek situation** continued to be most unsatisfactory from the Entente viewpoint. 1

#### 1916, May 26

A **Bulgarian-German** force occupied **Fort Rupel** in Greek Macedonia, this action enhancing the suspicion that King Constantine was secretly bound to the Central powers. 2

#### June 6–22

The “**pacific blockade**” of **Greece** by the Entente powers. France and Britain sent Greece an ultimatum (June 21) demanding demobilization of the Greek army and the institution of responsible government. The Greek government yielded. The **Skouloudis ministry resigned** and a Zaimis cabinet was organized. The army was put on a peace footing (June 27) and new elections were arranged for. 3

#### July 25

The reconstituted Serbian army, which had been shipped from Corfu to Saloniki, came into action on that front. Russian troops from France and an Italian contingent also arrived (July 30, Aug. 11). 4

## Aug. 30

A Venizelist, pro-Ally movement, fostered by Gen. Sarrail, took place at Saloniki. 5

## Sept. 29

**Venizelos** and Adm. Paul Condouriotis **established a provisional government** in Crete. 6  
Venizelos then (Oct. 9) went to Saloniki, where the **provisional government declared war on Germany and Bulgaria** (Nov. 23).

## Oct. 10

The **Entente powers**, incensed by the surrender of the Greek forces at Kavalla, 7  
**submitted an ultimatum** to Athens demanding the surrender of the Greek fleet. The Athens government (**Lambros ministry**, Oct. 10–May 3, 1917) yielded (Oct. 11), whereupon the Entente powers demanded (Nov. 19) the dismissal of the representatives of the Central powers at Athens and the surrender of war materiel. These demands were rejected (Nov. 30), and in consequence **French and British** landing parties **debarked at Piraeus**. They withdrew again on Dec. 1 after conflicts with the Greeks.

## Dec. 8

**Blockade of Greece.** The Allies demanded (Dec. 14) the complete withdrawal of Greek 8  
forces from Thessaly. The Athens government once more gave in (Dec. 15), but on Dec. 19 the British government decided to recognize the provisional government of Venizelos.  
The Macedonian front was quiet during the winter of 1916–17. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## **b. [Romania](#)**

Since the spring of 1916 the Russian government had been redoubling its efforts to bring Romania into the war. The success of the Brusilov offensive and the readiness of the Russian government and its allies to recognize the Romanian claims to the Bukovina and Banat as well as to Transylvania resulted in the conclusion of a political and military agreement (Aug. 18). <sup>1</sup>

### **1916, Aug. 27**

**ROMANIA DECLARED WAR ON AUSTRIA-HUNGARY.** Germany declared war on Romania, and Italy finally declared war on Germany (Aug. 28). Turkey and Bulgaria declared war on Romania a few days later (Aug. 30, Sept. 1, respectively). <sup>2</sup>

### **Dec. 1–5**

The Romanian government was hastily moved to Jassy, and the capital, **Bucharest, fell into the hands of the enemy** (Dec. 6). <sup>3</sup>

(See [Sept. 1](#))

## 11. [The War at Sea, 1916–1917](#)

The second half of 1915 and the first half of 1916 were not marked by any striking events of naval warfare. The Germans continued their efforts to reduce British preponderance by submarine and mine destruction, and at the same time extended their operations against merchant shipping. <sup>1</sup>

### 1916, Feb. 21

The German government notified the U.S. government that thenceforth armed merchantmen would be treated as cruisers. **The “extended” submarine campaign** began March 1. <sup>2</sup>

### March 24

The *Sussex* sunk by torpedo in the English Channel with the loss of American lives. Acrimonious debate between Washington and Berlin, culminating in an American ultimatum. The Germans agreed to give up unrestricted submarine warfare for the time being (May 10). <sup>3</sup>

Meanwhile (Jan. 1916) **Adm. Reinhardt Scheer** had succeeded Adm. Hugo von Pohl in the command of the German High Seas Fleet. The famous minister of the navy, **Adm. von Tirpitz, resigned** (March 14) in protest against the emperor's unwillingness to make full use of German sea power. He was succeeded by **Adm. Eduard von Capelle**. <sup>4</sup>

### May 31–June 1

**BATTLE OF JUTLAND (SKAGERRAK).** <sup>5</sup>



The German high command reckoned confidently on winning the war through the destruction of the British food supply. The prospects were indeed excellent. Already in the last months of 1916 German submarines had destroyed 300,000 tons of shipping a month. By the beginning of 1917 the Germans had about 120 submarines, the number being increased to 134 by Oct. 1917.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **12. The War in the Air, 1914–1918**

Although only France had done much before the war to develop the military use of the airplane, throughout the war the British and the Germans were the main antagonists. 1

### **1914, Aug. 30**

**The First German airplane raid on Paris.** 2

### **Sept. 22, Oct. 8, Nov. 21**

**British airplanes raided** the German flying-fields at **Düsseldorf, Köln,** and **Friedrichshafen.** 3

### **Dec. 21**

**The first German air raid on England** (Dover). 4

On the western front, and on other fronts to a lesser extent, the airplane was used for reconnaissance, but almost immediately (Sept. 1914) experiments were made by the British in wireless communication between airplanes and artillery, in aerial photography, and in bomb-dropping. There was not much aerial combat until the middle of 1915. 5



### **13. [The War in the Colonies, 1914–1918](#)**

Most of the German colonies were seized by the British and French during the first months of the war (See [Overview](#)). 1

#### **1914, Aug. 8**

The British opened hostilities in German East Africa by bombarding the coast towns of **Bagamoyo** and **Dar-es-Salaam**. Indian forces were then brought to East Africa for the campaign. But the German commander (**Gen. Paul von Lettow-Vorbeck**) defeated a greatly superior landing force in the **Battle of Tanga** (Nov. 2–5, 1914). The campaign remained desultory until in Nov. 1915 the British secured naval control of **Lake Tanganyika**, and landing forces took **Tanga** (July 7, 1916) and **Bagamoyo** (Aug. 15, 1916). **Gen. Jan Smuts**, with a force of Afrikaners and Portuguese, now began to push the operations. **Dar-es-Salaam** fell (Sept. 4), then **Lindi** (Sept. 16) and **Tabora** (Sept. 19). Lettow-Vorbeck and his troops were obliged to fall back to the southeast corner of the colony. The campaign was resumed in 1917, when the Germans defeated their enemies at **Mahiwa** (Oct. 15–18, 1917) and began the invasion of Portuguese East Africa. Lettow-Vorbeck advanced almost to the mouth of the Zambezi but then fell back to **Lake Nyasa**. On Nov. 2, 1918, he began the invasion of **Rhodesia**. The armistice went into effect on Nov. 14, 1918, at which time the Germans were still in the field. 2

#### **Aug. 23**

**Japan** declared war on Germany and began to land forces in Shantung for an attack on the German position at **Tsingtao**. The Japanese were joined by a British detachment. The bombardment of **Tsingtao** was begun in October, and was accompanied by an attack from the land side. On Nov. 7 the fortress was obliged to capitulate. During this same period the Japanese naval forces occupied a number of the German islands (**Marshall** 3

**Islands, Marianas, Palau, Carolines).**

### Aug. 26

**Togoland** defense force capitulated to an Anglo-French force. The colony was divided between the British and the French in agreements of Aug. 26, 1914, and Dec. 27, 1916. 4

### Aug. 30

A New Zealand expeditionary force occupied **Samoa**. 5

### Sept. 11

An Australian force landed on the **Bismarck Archipelago**. German forces in **New Guinea** surrendered to Australians (Sept. 21). 6

### Sept. 7

A British force from Nigeria invaded the **Cameroons** and took **Duala** (Sept. 27). The French invaded the colony from the south and east. The Germans were obliged to fall back and ultimately crossed into Spanish territory (Feb. 9, 1916). 7

### Sept. 19

A British force landed at **Lüderitz Bay**, German Southwest Africa. The Union of South Africa decided to prosecute the war in the German colony, and **Gen. Louis Botha** crossed the Orange River, taking **Swakopmund** (Jan. 14, 1915). He defeated the German forces at **Riet** and **Treckkopje** (April 26, 1915), took **Windhoek** (May 12, 1915), and finally forced the 3,500 German and colonial troops to capitulate at **Otawi** (July 9, 1915). 8



## **14. Peace Negotiations, 1916–1917, and the Intervention of the United States, 1917**

From the very outbreak of the war, **President Wilson** appears to have believed that ultimately the opportunity would present itself for the U.S. government to step in as mediator. 1

### **1916, Jan.–Feb**

The president's close friend and intimate adviser **Col. Edward M. House** visited Europe and consulted with leading statesmen. His conferences with Sir Edward Grey resulted in the so-called **House memorandum** of Feb. 22, which stated that the president was ready, whenever Britain and France thought the time opportune, to propose a peace conference. If the proposal were accepted by the Allies but rejected by Germany, the U.S. would *probably* enter the war on the Allied side. The terms on which the U.S. would mediate would include the restoration of Belgium and Serbia, the retrocession of Alsace-Lorraine to France, the acquisition of Constantinople by Russia, and the transfer of the Italian-speaking parts of Austria to Italy. Poland was to be independent. Germany would retain some colonies and perhaps be given more. 2

Public opinion in the U.S. was still distinctly divided, but sentiment for peace was prevalent except in the eastern states, where there was some feeling for intervention on the Allied side (influence of British propaganda, etc.). The president was re-elected (Nov. 7, 1916) very largely on a platform of peace, but he applied himself almost at once to the resumption of his mediatory efforts. 3

**Dec. 12**

The **German government** appealed to the U.S. to inform the Entente governments that the Central powers were **prepared to negotiate peace**. Failure of the Germans to mention any specific terms, and the fact that all the advantages were on their side, made it relatively easy for the Allied governments to reject the German advances (Dec. 30). 4

## Dec. 18

**President Wilson transmitted his own proposals** to the warring powers. He suggested that the belligerents state their terms for peace and for arrangements to guarantee the world against renewal of conflict. The German, Austrian, and Turkish governments replied (Dec. 26) in an appreciative way, but reiterated their opinion that the best method would be to call a meeting for exchange of views. No definite terms were mentioned. The Allied powers in their reply (Jan. 10, 1917) named specific terms. These included the restoration of Belgium, Serbia, and Montenegro; the evacuation of French, Russian, and Romanian territory, with just reparation; the reorganization of Europe on the basis of nationalities; the restoration of territory previously taken from the Allies; the liberation of Italians, Slavs, Romanians, and Czechoslovaks from foreign rule; the freeing of subject nationalities under Turkish rule; and the expulsion of the Turks from Europe. 5

The far-reaching nature of the Allied terms, at a moment when the military situation was by no means in their favor, estranged even Wilson, who still stuck by the idea of **“peace without victory”** (speech to the Senate, Jan. 22). The first step, however, was to elicit from the Germans a concrete statement of aims. These were confidentially communicated to the president on Jan. 29: restitution of the part of Alsace occupied by the German forces; acquisition of a strategic and economic zone between Germany and Poland on the one hand and Russia on the other; return of colonies and the granting to Germany of colonial territory in accord with its population and economic needs; restoration of occupied France; renunciation of economic obstacles to normal commerce; compensation for German enterprises and civilians damaged by the war; freedom of the seas, and so on. 6

Though this program was anything but hopeful, the president and the German ambassador, **Count Johann von Bernstorff**, continued to negotiate. But these discussions were cut short by the decision of the Germans to begin unrestricted submarine warfare. 7





(See [Dec. 15](#)) (See [1917, Jan](#))

## **15. The Settlements in Eastern Europe, 1917–1918**

While discussion of peace among the western powers led to an impasse, the winter of 1917–18 produced a settlement in the east. 1

### **1916, Nov. 5**

The **Germans**, in occupation of Poland, announced the formation of an **independent Polish state**. The object of this move, inspired by the military men, was to win over the Poles and induce them to enlist on the German side. This hope was sadly disappointed. 2

### **1917, March 30**

The Russian provisional government recognized the independence of Poland. 3

### **April 5**

The British government adhered to the principle of an independent and united Poland. 4

### **Sept. 12**

The Central powers granted a constitution to what was formerly Russian Poland and appointed a regency council (Oct. 15). 5

### **Nov. 7**

The **Bolshevik Revolution in Russia** (See [Nov. 7](#)). **Lenin** and his followers, who regarded the war as a capitalist and imperialist venture, were in favor of a peace without annexations or indemnities, and were determined to make peace, which the Russian people yearned for. The old Russian Empire, indeed, was already dissolving.

6

### Nov. 20

The Ukrainians proclaimed the **Ukrainian People's Republic**.

7

### Nov. 21

The Bolshevik government, having invited all belligerents (Nov. 8) to make peace on the basis of no annexations and no indemnities, and having elicited no reply, opened separate discussions with the Central powers.

8

### Nov. 28

The local Diet proclaimed the **independence of Estonia**.

9

### Dec. 3

**Opening of peace conference at Brest-Litovsk.** Germany (Kühlmann), Austria (Czernin), and their allies negotiated an armistice with Russia (represented by **Leon Trotsky**).

10

### Dec. 6

**Finland proclaimed its independence.**

11

### Dec. 23

**Proclamation of the Moldavian (Bessarabian) Republic.**

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 16. [The End of the Habsburg Monarchy](#)

By the summer of 1918 the **Habsburg Monarchy** was already in full process of dissolution. Disorders were common in the larger centers, parliamentary government had had to be given up, and desertions from the army had reached a large scale. In Russia, in France, and in Italy there had been formed Czech, Polish, and Yugoslav legions that were fighting for the Allies, while national councils of these subject nationalities were springing up not only in the provincial capitals but also in Paris and London. 1

### 1918, April 10

Meeting of the **Congress of Oppressed Austrian Nationalities** in Rome. Here the Czech, southern Slav (Yugoslav), Polish, and Romanian representatives proclaimed the right of self-determination, denounced the Habsburg government as an obstacle to free development of the nations, and recognized the need for fighting against it. 2

### April 21

The Italian government recognized the Czechoslovak National Council as a de facto government. 3

### May 29

Secretary **Lansing** declared the sympathy of the U.S. for the Czechoslovaks and Yugoslavs. 4

### June 3

Allied declarations were made supporting the national aspirations of Poles, Czechoslovaks, and Yugoslavs. 5

### June 15–24

**Battle of the Piave.** The Austrians crossed the river but were unable to maintain their position. They withdrew again after losing some 100,000 men. From this time on there was steady demoralization of the army. 6

### June 30

Italy and France officially recognized the **independence of Czechoslovakia**. Britain followed suit on Aug. 13, and the U.S. on Sept.3. 7

In view of the rapid disintegration of the monarchy, the Austrians made a last bid for military victory. 8

### Sept. 15

The Austrian government appealed to President Wilson to call an informal conference to discuss peace. This plea was rejected by Wilson. 9

### Oct. 4

The Austrians joined the Germans in appealing for an armistice (See [Oct. 4](#)). 10

### Oct. 16

**Emperor Charles proclaimed** the reorganization of the non-Hungarian part of **the monarchy as a federal state**, with complete self-government for the subject nationalities. This move was patently belated. 11

### Oct. 24–Nov. 4

**BATTLE OF VITTORIO VENETO.** **Diaz** attacked the Austrian front all the way from the Trentino to the Adriatic. The Austrians held out for a week on the Monte Grappa, but on the lower Piave they collapsed completely. The Italians advanced to **Vittorio Veneto** (Oct. 30), by which time the Austrian armies were in a state of dissolution, several hundred thousand men being captured and the remainder streaming back toward home. The **Italians took Trieste** (Nov. 3) and **Fiume** (Nov. 5).

12

### Oct. 27

**Count Julius Andrassy** (succeeded Burian as Austrian foreign minister, Oct. 25) notified Wilson that Austria was willing to recognize the rights of the subject nationalities and to make a separate peace.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [July 31–Nov. 10](#)) (See [Aug. 1](#))

## **17. Operations in the West, 1918**

The tremendous gains made by the Germans in the east did not serve to improve the situation with respect to the Western powers. On the contrary, it was generally felt that the terms imposed on Russia and Romania were irrefutable proof of Germany's expansionist aims. In the West the demands for peace died away and the allied governments were able to take a stronger line than ever. 1

### **1917, Nov. 27**

The **Supreme War Council** had been established, consisting of the leading statesmen, with their military advisers (first Sir Henry Wilson, Foch, Cadorna, and Bliss). Even this new board was unable to establish harmony. 2

The **Germans**, now disillusioned about the submarine campaign, fully cognizant of the war-weariness of their allies, and feeling acutely the pinch of the blockade, decided to stake everything on a decision in the west, which it was hoped could be reached before the Americans arrived in great force. **Ludendorff** planned a series of crushing blows to be delivered against the British on a 60-mile front south of Arras, by which he hoped to break through, roll up the opposing forces, and drive them westward to the sea. 3

The British expected an attack but not along the southern part of their front, so that the fifth army (Gen. Sir Hubert Gough) was left holding an extensive front with relatively few forces. 4

### **1918, Jan. 5**

**Lloyd George**, in an address to the Trades Unions Congress, **formulated the British war aims**. These included the restoration of Belgium, Serbia, Montenegro, and the occupied parts of France, Italy, and Romania. In addition, a “reconsideration” of the great 5



wrong done to France in 1871; the establishment of an independent Poland “comprising all those genuinely Polish elements who desire to form part of it”; genuine self-government of the nationalities in the Austro-Hungarian monarchy; satisfaction of the Italian national claims, and of Romanian aspirations; and “recognition of the separate national conditions” of Arabia, Armenia, Mesopotamia, Syria, and Palestine. Lloyd George envisaged further some future organization to limit armaments and prevent war.

## Jan. 8

In an address to Congress **President Wilson outlined** a peace program consisting of **Fourteen Points**, as follows: (1) Open covenants openly arrived at. (2) Absolute freedom of navigation alike in peace and war, except as the seas might be closed by international action to enforce international covenants. (3) The removal, so far as possible, of all economic barriers. (4) Adequate guaranties that armaments would be reduced to the lowest point consistent with domestic safety. (5) An impartial adjustment of all colonial claims on the principle that the interests of the population must have equal weight with the claims of the government. (6) The evacuation of Russian territory and the free determination of its own political and national policy. (7) Evacuation and restoration of Belgium. (8) Evacuation and restoration of French territory and righting of the wrong done to France in the matter of Alsace-Lorraine. (9) Readjustment of the frontiers of Italy along clearly recognizable lines of nationality. (10) Opportunity for autonomous development for the peoples of Austria-Hungary. (11) Evacuation and restoration of Romanian, Serbian, and Montenegrin territory, together with access to the sea for Serbia. (12) The Turkish parts of the Ottoman Empire to be given a secure sovereignty, but the other nationalities to be given an opportunity for autonomous development, and the Dardanelles to be permanently opened to the ships of all nations under international guaranties. (13) An independent Poland, to include territories indisputably Polish, with free and secure access to the sea. (14) A general association of nations to be formed to afford mutual guaranties of political independence and territorial integrity to great and small states alike.

The Allied war aims could be realized only through military victory, and prospects for this were not very good at a time when the Germans were able to transfer troops from the east to the west and when the American forces were not yet numerous enough to make much difference. Some efforts had been made, however, to establish greater coordination of effort among the Allies.



(See [Aug. 1](#))

## 18. [The Peace Settlements](#)



### [TERRITORIAL CHANGES FOLLOWING WORLD WAR I \(MAP\)](#)

#### a. [The Treaty of Versailles](#)

1919, Jan. 18

The peace conference was formally opened at Paris, with 70 delegates representing 27 of the victorious powers. The Germans were excluded until the terms were ready for submission. The German request for a peace on the basis of Wilson's **Fourteen Points** (See [Jan. 8](#)) had been granted by the Allied note of Nov. 5, 1918, with two reservations, but the Fourteen Points receded into the background as the conflict of views and interests developed at the conference. **President Wilson**, received with the wildest enthusiasm when he arrived in Europe in mid-December, represented the new idealism in international relations and was intent primarily on securing the adoption of a plan for a **League of Nations**, to be included in the peace treaty. **Lloyd George**, the chief representative of Great Britain and the empire, was disposed to make a moderate peace, but was deeply committed by promises made in the general election recently held, to the effect that the war criminals would be brought to justice and that Germany would be made to pay for the war. **Clemenceau**, in turn, was frankly the exponent of the old diplomacy, being intent on the interests of France, and on provisions for the security of France. Both Britain and France were bound further by their agreements with Italy, by commitments in the Near East, and so on. The Italian prime minister, **Vittorio Orlando**, played a secondary role, but the foreign minister, **Sidney Sonnino**, stood forth as an unbending champion of Italian claims against Austria and against the new Yugoslav

state.

The plenary sessions of the conference were of little significance, for the decisions rested from the start with the **Supreme Council**, the **Big Ten**, composed of President Wilson and the prime ministers and foreign ministers of the five chief powers (Wilson, Lansing, Lloyd George, Balfour, Clemenceau, Pichon, Orlando, Sonnino, Saionji, Makino). Russia was not represented, though the Russian situation was of vital import. The wars of the counterrevolution were in full swing and the fate of the new states on Russia's western frontiers depended on the outcome. Clemenceau having refused to invite delegates of the warring parties to Paris, a conference was arranged for at the Prinkipo Islands. The Bolshevik government was apparently anxious for some kind of adjustment, but **Kolchak** and **Denikin**, the two leading generals of the counterrevolution, refused to enter into discussion, and the whole project fell flat. Public opinion in both France and Britain was violently anti-Bolshevik, and it seems hardly likely that an agreement could have been reached.

2

### Jan. 25

The conference unanimously adopted a resolution for the **creation of a League of Nations**. A committee was appointed to draft a constitution, and other committees were organized to deal with reparations and various territorial questions.

3

### Feb

In the middle of the month **President Wilson returned** for a time **to the U.S.** and **Lloyd George** to London.

4

### March 25

After the return of Wilson and Lloyd George to Paris, the statesmen devoted themselves to the working out of the German treaty. The Council of Ten was replaced by the **Council of Four**, for the expedition of business.

5

### April 28

The **Covenant of the League of Nations** (See [1914–1946. Interstate Institutions](#)) (worked out by a committee consisting of Wilson, House, Cecil, Smuts, Bourgeois, and

6

Venizelos) was presented in final form. The League was to consist of the signatory states and others admitted by two-thirds vote. The members were to afford each other mutual protection against aggression, to submit disputes to arbitration or inquiry, and to abstain from war until three months after a ruling. All treaties between members which were incompatible with these obligations were declared abrogated; all subsequent treaties were to be registered with the League. The League was to devote itself to problems of disarmament, labor legislation, health, international administration, and so on.

The drafting of the peace terms was marked by violent conflict among the members of the Council of Four. Clemenceau insisted on the separation of the **left bank of the Rhine** from Germany, and desired also the annexation of the **Saar Basin** to France. These demands were opposed by Wilson and Lloyd George, and French security was finally arranged for otherwise, Wilson having ordered preparations for his return home (April 7). Other disputes arose from the demands of Britain and France that Germany be required to meet the **costs of the war**, a proposition to which Wilson objected. The **Polish claims**, supported by France, also caused friction, as did the **Japanese pretensions** in Shantung and the **Italian claims** in Dalmatia, neither of which Wilson was prepared to recognize. All these questions were finally settled by compromise in order to keep the conference together (the Italian delegates left the conference on April 23 and did not return until May 6).

### May 7

The **treaty was submitted to the German delegation**, which had arrived on April 29. The Germans (**Count Ulrich von Brockdorff-Rantzau**, chief of the delegation) protested vigorously that the terms were not in keeping with the conditions on which Germany had laid down its arms and that many of the clauses were impossible to fulfill. Nevertheless the victorious powers made only slight modifications in the draft, and the Germans, after an acute domestic crisis, decided that they were unable to resist and that their only possible course was to sign.

### June 21

The **German fleet** (ten battleships, nine armored cruisers, eight smaller cruisers, 50 torpedo boats, 102 submarines, totaling about 500,000 tons) **was scuttled** by the crews under the command of Adm. Ludwig von Reuter, **at Scapa Flow**, where the fleet had been interned. This act of defiance made the victors more determined to enforce the terms of the treaty draft.

## June 28

**SIGNATURE OF THE TREATY OF VERSAILLES** at Versailles. The treaty provided for the **League of Nations** and for the following territorial cessions by Germany (see [TERRITORIAL CHANGES FOLLOWING WORLD WAR I \(MAP\)](#)): **Alsace-Lorraine** to France; **Moresnet, Eupen, and Malmédy** to Belgium, with a plebiscite in Malmédy after cession; **the Saar** area to be under international administration for 15 years, after which a plebiscite was to be held, France exploiting the coal mines in the meanwhile; northern and central **Schleswig** to decide their allegiance by plebiscite; in the east, Germany to cede the larger part of **Posen** and **West Prussia** to Poland; a plebiscite to be held in **Upper Silesia**; **Danzig** to be a free city within the Polish customs union; plebiscites to be held in parts of **East Prussia** to decide whether they should go to Poland or remain with Germany; **Memel** ceded to the Allies; and the **German colonies** to be ceded to the Allies, to be organized as mandates under supervision of the League. Germany, in **Article 231**, accepted sole responsibility for causing the war. It was henceforth to keep an **army of not more than 100,000 men**, was to have no large guns and only a limited number of smaller ones. The **navy** was limited to six warships and a corresponding number of other craft; Germany was to have **no submarines or military aircraft**; the fortifications of **Heligoland** were to be dismantled; the Allies were to occupy the **Rhineland** for 15 years, and longer if necessary, and a belt 30 miles wide on the **right bank of the Rhine** was to be **demilitarized**. The **Kiel Canal** was opened to the warships and merchant shipping of all nations, and the **German rivers** were internationalized. The former **emperor** and other offenders were to be tried. The Germans were required to pay for all **civilian damage** caused during the war, the final bill to be presented by May 1, 1921; in the interval Germany was to pay \$5 billion, the rest to be paid in 30 years. Germany was to hand over all **merchant ships** of more than 1,600 tons, half of those between 800 and 1,600 tons, and a quarter of its **fishing fleet**. It was to build 200,000 tons of shipping for the victors annually for five years. Large quantities of **coal** were to be delivered to France, Belgium, and Italy for ten years. Germany was to bear the **cost of the armies of occupation**. It bound itself further to agree to the sale of German property in Allied countries.

10

## July 7

The **German government ratified the treaty**, as did France (Oct. 13), Great Britain (Oct. 15), Italy (Oct. 15), and Japan (Oct. 30). The U.S. government never ratified it, the Senate having first proposed amendments, which failed of the necessary votes. The U.S. government also refused to ratify the **treaty of alliance signed with Great Britain and**

11

**France** (June 28) (See [July 10–1920](#), [March 19](#)) providing for assistance in case of attack by Germany. This treaty thus also failed of effect. (See [European Diplomacy and the Depression, 1919–1939](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **b. The Treaty of Saint-Germain**

**1919, Sept. 10**

**Austria signed the treaty** that had been submitted on July 20. This merely registered the breakup of the Habsburg monarchy, at the same time penalizing the new Austrian Republic as the representative of the old regime. Austria recognized **the independence of Czechoslovakia, Yugoslavia, Poland, and Hungary**, these states being obliged to give guaranties of protection of minorities. **Eastern Galicia, the Trentino, South Tyrol, Trieste, and Istria** were ceded by Austria. The **army** was limited to 30,000 men, and Austria, like Germany, was to pay **reparations** for 30 years. The **union of Austria with Germany** was forbidden, except with consent of the Council of the League. (See [Czechoslovakia](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)



[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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### **c. The Treaty of Neuilly**

**1919, Nov. 27**

The **Bulgarians signed the treaty of peace**, which deprived them of a seaboard on the Aegean and gave them only an economic outlet. Bulgaria recognized the **independence of Yugoslavia**. It agreed to pay **reparations** of \$445 million. Its **army** was reduced to 20,000 men, and it was obliged to surrender most of its war materiel. (See [Bulgaria](#)) <sup>1</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **d. The Treaty of Trianon**

**1919, March 21**

The Hungarian government headed by **Count Károlyi** was overthrown by a **Bolshevik coup**, headed by **Alexander Garbai** and **Béla Kun**. This government became involved in war with most of Hungary's neighbors when it became known that territory was to be assigned to them. Ultimately the **Romanians invaded and took Budapest** (Aug. 4) just after the Bolsheviks had been overthrown (Aug. 1). The monarchists then regained control and appointed **Adm. Miklos Horthy as regent** (March 1, 1920). The Romanians were finally induced to withdraw (Nov. 14, 1919), under pressure from the Allies, but only after they had carried away most of what was movable. <sup>1</sup>

**1920, June 4**

The **Hungarians signed the treaty of Trianon**, by which the old Hungary was shorn of almost three-quarters of its territory and two-thirds of its inhabitants. Czechoslovakia was given **Slovakia**, Austria received **western Hungary**, Yugoslavia took **Croatia-Slavonia** and part of the **Banat of Temesvar**, and Romania received the rest of the **Banat, Transylvania**, and part of the **Hungarian plain**. Hungary agreed to pay **reparations**, to keep an **army** of only 35,000 men, to assume part of the old Austro-Hungarian debt, to hand over war criminals, and soon. (See [Hungary](#)) <sup>2</sup>

### e. [The Treaty of Sèvres](#)

In the settlement of the Turkish question the Allies were much hampered by the downfall <sup>1</sup> of the tsarist regime in Russia, the withdrawal of Russian claims to Constantinople, and the publication by the Bolsheviks of the **secret treaties** revealing the Allied plan of partition. President Wilson in particular opposed the former program, while American opinion showed little interest in assuming responsibility for either the Straits area or Armenia. The question dragged on through 1919, while in Turkey a nationalist movement under **Mustafa Kemal** (See [1919, May 19](#)) was building up a strong opposition to the Allied plans.

#### 1919, May 15

The **Greeks**, with the support of the Allies, **landed troops at Smyrna**, acting as agents <sup>2</sup> for Allied interests. The Italians also landed troops in southwestern Anatolia.

#### 1920, April 18

At a **conference** of the Allied prime ministers at **San Remo** the main lines of the Turkish <sup>3</sup> treaty were agreed upon.

#### Aug. 10

The feeble and helpless government of the sultan, protected by an international force of <sup>4</sup> occupation at Constantinople, signed the **Treaty of Sèvres**. By this treaty the sultan's government renounced all claims to non-Turkish territory. **The kingdom of the Hijaz was recognized as independent**. **Syria** became a mandate of France, and **Mesopotamia** (with Mosul), as well as **Palestine**, became British mandates. **Smyrna** and its hinterland

were to be administered by Greece for five years, after which a plebiscite was to be held. The **Dodecanese** and **Rhodes** went to Italy, while **Thrace** and the remainder of the **Turkish islands** in the Aegean were assigned to Greece. **Armenia** was recognized as independent. The **Straits** were to be internationalized and the adjoining territory demilitarized. **Istanbul** and the strip of territory to the Chatalja lines remained Turkish, as did the remainder of **Anatolia**. This treaty was not recognized by the Turkish nationalists, who, under Mustafa Kemal's leadership, continued to build up a military force in Anatolia and to organize a government in defiance of the sultan and the victorious Allied powers. As a result of nationalist successes the Treaty of Sèvres was ultimately replaced by the **Treaty of Lausanne**. (See [The Ottoman Empire and Turkey](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

**[Military Summary](#)**  
**[The Western Front, 1914–1915](#)**

**1914**

**Aug. 4**

The Germans crossed into Belgium. Armies one and two were obliged to pass through a narrow strip between the Netherlands and the Ardennes, heavily guarded by the fortifications of Liège. The Germans got past the forts in a night attack (Aug. 5–6), which were then reduced by heavy artillery (Aug. 6–17). The Belgians fell back on Brussels and then Antwerp, destroying the bridges on the Meuse. <sup>1</sup>

**Aug. 20**

Gen. Kluck entered Brussels after the battle of Tirlement (Aug. 18–19). <sup>2</sup>

**Aug. 14–15**

**Battle of the Frontiers** (Lorraine). The French invasion was checked almost at once and the French armies driven out of Lorraine with heavy losses. The third and fourth armies were also driven back from Luxembourg. Germans captured Namur (Aug. 25), Longwy (Aug. 27), Malmédy (Aug. 30), Soissons (Sept. 1), Laon (Sept. 2), Rheims (Sept. 3), and Maubeuge (Sept. 7). <sup>3</sup>

**Aug. 23**

**Battle of Mons.** First contact between Germans and British. The latter were obliged to fall back with the French fifth army. Further delaying action fought by the British (Gen. Horace Smith-Dorrien) at Le Cateau (Aug. 26). 4

### Sept. 5–12

**Battle of the Marne.** The opposing armies tried to outflank each other (**battle of the Ourcq**). Strongly urged by **Gen. Joseph Gallieni** (military governor of Paris), Joffre (commander in chief of the French armies) decided to order a general counteroffensive (Sept. 5) in the hope of breaking in on the right and rear of Bülow's second army. Sept. 6–9, no decision. Kluck's efforts to outflank the French increased the gap between the German first and second armies, but the British and French failed to take full advantage of this. On Sept. 9, Kluck and Bülow began to fall back (oral instruction of **Col. Hentsch**, from German headquarters). The whole German line began to withdraw west of Verdun. The British and French advanced cautiously. 5

### Sept. 15–Oct. 10

All efforts to dislodge the Germans from north of the Aisne River ended in failure: battle of the Aisne (Sept. 15–18), battle of Picardy (Sept. 22–26), battle of Artois (Sept. 27–Oct. 10). 6

### Sept. 22–25

Repeated German assaults at Verdun. Germans captured St. Mihiel. 7

### Oct. 1–9

Germans forced the Belgian army and a small British force to evacuate Antwerp. 8

### Oct. 10–Nov. 10

**The Race for the Sea.** The Germans captured Ghent (Oct. 11), Bruges (Oct. 14), and Ostend (Oct. 15), but failed to reach the Channel ports as the Belgians flooded the district of the Yser (battle of the Yser, Oct. 18–Nov. 30). The Germans also captured Lille (Oct. 12), but failed to take Ypres (first battle of Ypres, Oct. 30–Nov. 24).

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **The Eastern Front, 1914–1915**

**1914**

**Aug. 17–21**

**Battle of the Tser and the Jadar.** Serbian forces repulsed an Austrian invasion. 1

**Aug. 19–20**

**Battle of Gumbinnen.** The first Russian army defeated **Gen. Friedrich von Prittwitz's** eighth German army, resulting in a German retreat to the Vistula. On learning of this, the German high command dismissed Prittwitz. 2

**Aug. 26–30**

**Battle of Tannenberg.** German forces led by **Gen. Hermann von François** surrounded **Gen. Samsonov's** Russian forces from the west and defeated them. The Germans took over 100,000 prisoners. Samsonov, in desperation, shot himself. 3

**Aug. 26–Sept. 2**

Battle of Zamosc-Komarov. Under **Gen. Moritz von Auffenberg-Komarow**, the Austrians won a great victory over the Russians (**Gen. Alexei Brusilov**). 4

**Sept. 6–15**



**Battle of the Masurian Lakes.** The Germans (**Gen.**, later Field Marshal, **August von Mackensen**) drove the enemy into the difficult lake country and succeeded in capturing 125,000 men. Completely demoralized, the Russians fell back, while the Germans advanced to the lower Niemen River and occupied the *gouvernement* of Suvalki.

5

### Sept. 8–17

**Battle of the Drina.** Austrian forces again crossed the **Drina** into Serbia as the Serbs invaded Sylvania. The Serbs captured Zemlin (Zemun) on Sept. 10, but were unable to continue the advance into Austrian territory. The two opponents fought a long series of desultory engagements on the heights along the river. The Serbs were ultimately forced to retreat and surrender Belgrade (Dec. 2).

6

### Sept. 8–12

**Battle of Lemberg.** Austria abandoned eastern Galicia. The Russians also captured **Czernowitz** in the Bukovina (Sept. 15) and **Jaroslav** (Sept. 21). At the same time the Russians invested the key fortress of **Przemysl** (Sept. 16) and launched an attack upon the passes of the Carpathians leading into northern Hungary (Sept. 24).

7

### Oct. 9–20

**Battles of Warsaw and Ivangorod.** Mackensen advanced as far as Warsaw (Oct. 12), but was obliged to fall back when the Russians counterattacked farther east. The Austrians retreated to Cracow, while the Russians commenced the second investment of Przemysl (Nov. 10) and renewed the invasion of northern Hungary (Nov. 15). Heavy fighting also continued around Cracow (Nov. 16–Dec. 2).

8

### Nov. 16–25

**Battles of Lodz and Lowicz.** For a time the Russians, having brought up reinforcements, threatened to surround the Germans, but in early December the Germans were themselves strengthened by the arrival of new divisions from the western front. Lodz fell to the Germans on Dec. 6.

9

## Dec. 3–6

**Battle of Kolubara.** The Austrians were forced to recross the Serbian frontier as Serbs 10  
recaptured Belgrade (Dec. 15), ending the second invasion of Serbia.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## [The War at Sea, 1914–1915](#)

1914

Aug. 28

British cruisers, supported by battle cruisers (**Adm. Sir David Beatty**), raided **Heligoland Bight**. The German cruisers came out and drove the British fleet off, but Beatty was able to sink three enemy ships. 1

Aug.

When the war broke out, there were eight German cruisers on foreign stations, mostly on the China station. When **Japan** declared war (See [Aug. 23](#)), the German commander, **Adm. Maximilian von Spee**, left for the South American coast with the cruisers *Scharnhorst*, *Gneisenau*, and *Nürnberg*. He bombarded **Papeete** (Sept. 22) and destroyed the British cable station at **Fanning Island**. At **Easter Island** (Oct. 12–18) Spee was joined by the cruisers *Dresden* (from the West Indies) and *Leipzig* (from the California coast). Together they proceeded to the Chilean coast. Meanwhile **Adm. Sir Christopher Cradock**, with three old ships, had been ordered to hunt down Spee. 2

Sept. 10–Nov. 9

The *Emden* (**Capt. Karl von Müller**) left the China station for the Indian Ocean, bombarding **Madras** (Sept. 22) and capturing several ships before being sunk at Cocos Island. 3

Sept. 22

The *U.9* sank three old cruisers, *Hogue*, *Cressy*, and *Aboukir*.

4

### Oct. 18

After an attempted German submarine raid on **Scapa Flow**, the Grand Fleet was withdrawn from that base and concentrated, for a time, on the west coast of Scotland.

5

### Nov. 1

**Naval action off Coronel.** **Spee** destroyed two of Cradock's ships (the *Monmouth* and the *Good Hope*; the *Glasgow* escaped). To meet the danger from the German squadron, all available Allied warships were assembled off the southeast coast of South America. Three battle cruisers were hastily dispatched from the Grand Fleet to the South Atlantic.

6

### Nov. 3

**Adm. Franz von Hipper** raided Yarmouth.

7

### Dec. 8

**Battle of the Falkland Islands.** **Spee** made the fatal decision to attack the **Falklands** on his way homeward. The British squadron (**Adm. Sir Frederick Sturdee**) came upon the Germans unexpectedly and sank four of their five ships (*Scharnhorst*, *Gneisenau*, *Leipzig*, and *Nürnberg*). A total of 1,800 men died, including **Spee** and his two sons. The *Dresden*, having escaped from the Falklands, engaged in commerce-destroying until cornered at Juan Fernandez, where the ship was blown up by its own crew (March 1, 1915).

8

### Dec. 16

German forces bombarded Scarborough and Hartlepool.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **The Balkans, 1915–1916**

**1915**

**Oct. 6**

Beginning of the **great Austro-German campaign in Serbia**. **Belgrade** fell (Oct. 9) and **Semendria** (Oct. 11). <sup>1</sup>

**Oct. 22**

The **Bulgarians** (Gen. Jekov) took **Ūskub** (Skoplje), and then (Oct. 28) **Pirot**. **Nish** fell (Nov. 5). A British and French attempt from Saloniki to block the Bulgar advance on the Strumitsa (Nov. 3–5) and on the Cerna (Nov. 12) was brushed aside. The Allies were again repulsed on the lower Vardar (Dec. 4–10) and forced to retreat to Greek territory. <sup>2</sup>

**Nov. 16**

The Bulgarians took **Prilep**, then **Pristina** (Nov. 23), **Prizrend** (Nov. 29), and **Monastir** (i.e., Bitolje, Dec. 2). The Serbs were now in full flight into Albania, the Bulgars pursuing them and taking **Dibra** and **Okhrid** (Dec. 8), and ultimately **Elbasan** (Feb. 2, 1916). <sup>3</sup>

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **The Italian Front, 1914**

**1914–1915**

**Dec. 20**

**Durazzo** occupied by the **Italians**.

1

**1915, June 29–Dec. 10**

**The first four battles of the Isonzo.** The Austrians (commander **Archduke Eugene**) held the two important bridgeheads at **Gorizia** and **Tolmino**. The Italians (**Gen. Luigi Cadorna**, commander in chief, May 23, 1915–Nov. 7, 1917) tried to force the passage, but their total advance never exceeded 10 or 12 miles. The Isonzo battles were the first (June 29–July 7); second (July 18–Aug. 10); third (Oct. 18–Nov. 3); and fourth (Nov. 10–Dec. 10).

2

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **The Western Front, 1916–1917**

### **1916**

#### **Feb. 21**

**Battle of Verdun.** The Germans concentrated 1,400 guns on a short front of eight miles on the right bank of the Meuse. After a devastating bombardment they took Fort Douaumont (Feb. 25). French reinforcements were rushed to this sector, but the defense was hampered by the bottleneck of the salient. <sup>1</sup>

#### **March 6–April 10**

Renewal of the attack, this time on both sides of the salient. Gen. Robert Nivelle replaced Gen. Pétain, and the French began a series of vigorous counterattacks (May). <sup>2</sup>

#### **June 2**

The Germans finally took Fort Vaux, and before the end of the month the works of Thiaumont (June 23). Heavy attacks continued until July 11, when the Germans went over to the defensive. The French losses have been estimated at about 350,000, the German at somewhat less. <sup>3</sup>

#### **July 1–Nov. 18**

**Battle of the Somme.** After a long and intensive bombardment the British advanced on a front of 15 miles toward Bapaume, while the French objective was Péronne. Though the Germans were outnumbered at least six to one at first, the British had but little success. The heavily laden infantry was unable to move fast enough to keep up with an <sup>4</sup>



extraordinarily rigid time schedule. British losses on one day were 60,000, heavier than in this or any other war.

### Oct. 24–Dec. 18.

The French (Gen. Charles Mangin) counterattacked at Verdun and recaptured Forts Douaumont and Vaux (Nov. 2).

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## **The Eastern Front, 1916–1917**

**1916**

**March 19–April 30**

The Russians fought the inconclusive **Battle of Lake Naroch**, intended only to relieve pressure at Verdun. <sup>1</sup>

**June 4**

The great **Brusilov offensive**. The objective in the south was **Kovel**, an important railway center, but the advance extended over a front of 300 miles. The Austrians, taken by surprise, fell back, leaving many prisoners in Russian hands. The **Russians took Lutsk** (June 8) and **Czernowitz** (June 18). Heavy fighting continued about Kovel, Tarnopol, and Baranovici (**battles of the Strypa**, June 11–30; **Baranovici**, July 2–9; **Kovel**, July 28–Aug. 17) until September. The Russians advanced from 25 to 125 kilometers in the region from Pinsk south to Czernowitz and took half a million prisoners, but the offensive was stopped by the arrival of 15 divisions of Germans from the western front. The Russians had failed to take either Kovel or Lemberg. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **The Italian Front, 1916–1917**

### **1916**

#### **Feb. 15–March 17**

The **fifth battle of the Isonzo**, which, like the previous engagements, led to no substantial change. 1

#### **May 15–June 3**

**The Austrian offensive in the Trentino.** The Italians were taken by surprise and yielded **Asiago** and **Arsiero** (May 31). But the Austrians lacked sufficient forces to break through, the more so as the Italians hastily brought up reserves from the Isonzo front. The Italian lines held, and by June 17 a counteroffensive was launched. When this came to a close (July 7), most of the territory had been recovered. 2

#### **Aug. 6–17**

**Sixth battle of the Isonzo.** The Italians finally took **Gorizia** (Aug. 9). 3

#### **Sept. 14–18**

**Seventh battle of the Isonzo.** 4

#### **Oct. 9–12**

**Eighth battle of the Isonzo.** 5

## Oct. 31–Nov. 4

### Ninth battle of the Isonzo.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **The Balkan Front, 1916–1917**

**1916**

**Aug. 2–21**

**Battle of Doiran.** The Allies began to advance against the Bulgarians on the Saloniki front. 1

**Aug. 17–19**

**Battle of Florina.** The Bulgars and Germans counterattacked and pushed back the Saloniki forces. They took **Seres** (Aug. 19), **Drama**, and **Kavalla** (Sept. 18), where the fourth Greek army corps voluntarily surrendered. 2

**Aug. 28**

The Romanians began the **invasion of Transylvania** and took **Kronstadt** (Brasov) and **Hermannstadt** (Sibiu). 3

**Sept. 27–29**

**Austro-German forces**, hastily assembled in Transylvania and commanded by Falkenhayn, counterattacked and surrounded the Romanians at Hermannstadt (**battle of Sibiu**). 4

**Sept. 26–Nov. 23**

A Bulgarian-German force under Gen. August von Mackensen began operations in **Dobrudja. Silistria** was taken (Sept. 10), then **Constantza** (Oct. 22) and **Cernavoda** (Oct. 25). 5

### Oct. 5–Dec. 11

The Allied forces under Sarrail began a great offensive in Macedonia (**first battle of Monastir**). Monastir (Bitolje) was taken (Nov. 19), and the Allies pushed forward as far as Lake Okhrid. 6

### Oct. 7–9

**Battle of Kronstadt** (Brasov). The Austro-German forces retook the city and advanced to the Carpathian passes. 7

### Nov. 10–14

**Falkenhayn forced the Vulcan Pass** into Romania and began the invasion of Wallachia. 8

### Nov. 23

Mackensen's troops crossed the Danube at Sistova and advanced toward Bucharest, as did Falkenhayn coming from Craiova. 9

### Dec. 1–5

A Romanian counterattack on the Arges River failed (**battle of Argesul**). 10



## **The War at Sea, 1916–1918**

**1916**

**April 24–25**

A **German squadron** raided and bombarded **Yarmouth** and **Lowestoft**. Submarines also <sup>1</sup> appeared off the Scottish naval bases.

**May 31–June 1**

**Battle of Jutland.** On May 30, **Adm. Franz von Hipper** with the German battle cruiser <sup>2</sup> squadron had been sent to show himself off the Norwegian coast. On May 31, he came into contact with **Adm. Sir David Beatty** and the British battle cruisers, running southeast before the Grand Fleet. Though decidedly outnumbered, Hipper and the Germans, through superior marksmanship, sank two of Beatty's ships. Beatty, sighting the German High Seas Fleet (Scheer) in battle order, turned north to join Jellicoe and the Grand Fleet. The German Fleet, having been drawn in, met the Grand Fleet just before 6:00 P.M. **Jellicoe** tried to deploy across Scheer's line of retreat, but **Scheer** turned about suddenly and made away to the south and then to the east, coming up on the flank of the British, in pursuit. Scheer turned right, launching a torpedo attack, which obliged Jellicoe to fall back. Scheer then sent Hipper and the battle cruisers to attack while the High Seas Fleet effected its escape. Night fell, leaving the two fleets steaming southwest about six miles apart. But at 9:00 P.M. Scheer turned east and made for Horns Reef, forcing his way through the tail end of Jellicoe's forces, still steaming south. The German fleet reached Horns Reef in safety at 3:30 in the morning. Each fleet lost six ships in the Jutland engagement, but the British ships lost totaled twice the tonnage of the Germans. Scheer had to yield to the superiority of the British in capital ships, but in battle cruiser warfare the Germans were completely victorious.

**Aug. 19, Oct. 26–27**



**German raids** on the English coast. At the same time German light cruisers slipped through the blockade and ravaged commerce in the Atlantic. The German submarine *Deutschland* made a trip to the U.S. and back (July 10, 1916, at Norfolk, Va.).

3

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **The Western Front, 1918**

**1918**

**March 21–April 5**

**The great March offensive.** After cleverly concealed preparations, the Germans began with a bombardment of 6,000 guns and a heavy gas attack. They advanced from **St. Quentin** in a thick fog, which recurred for several days. The Germans captured **Péronne, Ham, Bapaume, Chauny, Noyon**, and even **Montdidier**, before being checked. <sup>1</sup>

**April 9–29**

**Battles of the Lys.** The second great German blow, delivered south of Ypres on a short front. The Germans opened up a wide breach in the British front, but a lack of reserves made it impossible for them to take full advantage of the situation. The Germans stormed **Messines Ridge** and took **Armentières**. <sup>2</sup>

**May 27–June 6**

**(Third) Battle of the Aisne.** Ludendorff, in order to draw the French reserves from Flanders preparatory to the main offensive there, arranged an attack upon the French between Soissons and Rheims, along the strong and therefore weakly held **Chemin des Dames**. The French were taken by surprise and driven back 13 miles on the first day. The Germans took **Soissons** (May 29) and on May 30 reached the Marne River, only 37 miles from Paris. The new salient was 40 miles deep. <sup>3</sup>

**June 4**

**American forces at Château-Thierry** (second division), collaborating with the French, managed to break the German advance. 4

### June 9–14

**Battle of the Matz.** The Germans advanced about six miles, but the move had been hastily prepared and the French were able to contain it. 5

### July 15–Aug. 7

**(Second) Battle of the Marne.** Ludendorff threw his weary troops into yet another attack. East of Rheims no progress was made, and west of the city, though the **Germans crossed the Marne**, they made but little progress against strong French and American forces. **On July 18, Foch ordered a counterattack**, in which nine American divisions took part. The Germans were forced back over the Marne to the Vesle River, while the French retook **Soissons** (Aug. 2). 6

### Aug. 8–11

**Battle of Amiens.** The British attacked with 450 tanks. They advanced about eight miles the first day, after which the German lines tightened. 7

### Aug. 21–Sept. 3

**Second battles of the Somme and of Arras.** The British and French gradually extended their attacks. They took **Roye** (Aug. 27), **Bapaume** (Aug. 28), **Noyon** (Aug. 28), and **Péronne** (Aug. 31), and obliged the Germans to fall back to the Hindenburg Line. 8

### Sept. 12–13

American forces, attacking on both sides of the **St. Mihiel** salient, pinched out that area, capturing some 15,000 of the enemy. 9

### Sept. 26–Oct. 15

**Battles of the Argonne and of Ypres** (Sept. 28–Oct. 2). Foch's plan was to execute a pincer movement with an American thrust north through the Argonne and a British thrust eastward toward Cambrai and farther north toward Lille. If successful, this would have cut the main lateral German railway and forced a general withdrawal. But at both ends the advance was much slower than expected. By mid-October, the Americans had gotten through part of the Argonne, while the British had taken **St. Quentin, Lens,** and **Armentières** (Oct. 1–2).

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Economic and Social Changes](#))

## C. [Europe, 1919–1945](#)

### 1. [Economic and Social Changes](#)

Three events define this period in European history: World War I, the Depression, and World War II. **The impact of the First World War** was truly revolutionary. The total number of casualties, including killed, wounded, and missing, is figured at 37.5 million. The greatest burden of war dead and wounded, about 6 million, was suffered by Germany. France's losses were 5.5 million, but with a population less than two-thirds that of Germany, France suffered proportionally more. An outbreak of **influenza** in the autumn of 1918 compounded the death toll as it swept through populations already weakened by the nutritional privations of total war. 1

Economically, Europe was in ruins. Governments had borrowed heavily to fund the war, and had responded to this debt after the war by printing more money. The result was **inflation**, felt most disastrously in Germany. Yet the victors, especially France, depended upon German reparations to revive their economies. Germany's inability to pay led first to confrontation, as in the **French and Belgian occupation of the Ruhr**, and later to peaceful settlements, like the **Dawes and Young plans**. Wartime disruption helped cause a sharp **recession** in 1920–21, and some longer-term trends toward agricultural overproduction. For most nations, prosperity returned only in the mid-1920s. Ongoing economic uncertainty prompted many families to continue trends toward **lower birth rates**. 2

The catastrophic toll of the war also resulted in **a new, looser code of morality**, especially in a growing urban environment. A new generation, decimated by war, felt betrayed by their elders and rejected the more austere standards of conduct they had been taught as children. In the age of jazz and the flapper this was most notable in **changing attitudes toward sexuality**. While in France contraception became illegal because of population concerns, women like **Marie Stopes** in England actively supported contraception and a more open attitude toward sex. In Berlin, **Mangus Hirschfeld** opened the Institute for Sexual Science in 1919, an institution designed to further the study of sexuality and promote understanding, including gay rights. Sexuality 3

became the subject of great popular interest, reflected in prescriptive literature, but this also fueled the impression among conservatives and rural populations that this was a degenerate age.

The devastation of the war also produced a strong **pacifist movement**, questioning duty to the state. Many argued that there was no suitable reason ever to reproduce the amount of bloodletting witnessed during World War I, “the war to end all wars.” Though the League of Nations was unable to develop this into a concrete system to avoid war, this sentiment helps explain the policy of appeasement Western Europe followed in the face of Nazi aggression. 4

On the political stage, the revolutionary dream of national unity first introduced by the French Revolution became reality in Eastern Europe. The creation of **new nation states** heralded the end of multinational empires, though one was to reemerge in the Soviet Union. Throughout the 1920s **democracy** also triumphed. Not only did working-class men gain suffrage, but in most nations women too acquired the vote. France and Italy were notable exceptions. 5

Government also became “**big government**” during the war and afterward. The demands of total war necessitated government involvement in all walks of life. Governments established minimum and maximum wages and prices, curtailed production in industries not deemed necessary to the war effort, and introduced rationing when necessary. Administrations grew as liberal notions of free trade gave way to **planned economies**. Since morale on the home front was as important as in the trenches, governments also attempted to influence behavior through **extensive propaganda campaigns**. With the problems of demobilization and continued economic hardships, governments did not readily decrease their activities with the war's end. Indeed, administrations continued to grow as various states instituted the early trappings of the **welfare state**, such as unemployment insurance, housing allotments, and accident insurance for workers. 6

The success of the **Communist Revolution** in Russia also entered a new element into European politics. For many in Eastern Europe it justified early shifts to right-wing governments and the end of democracy. In Western Europe the impact of the Russian Revolution was a split in the Socialist parties, as Communists formed their own parties, allied closely to the Third International, and revisionists gained control of the Socialist parties. Throughout Europe the “specter of world Communism” was also the force behind domestic policies, such as social and land reforms, designed to integrate workers and peasants into noncommunist political and economic systems. 7

The next defining event in interwar Europe was the **world depression** that followed the U.S. stock market crash of 1929. Europe did not feel the full brunt until the early thirties, but when it did, whole economies were devastated. Peasants were unable to acquire credit or obtain loans as world market prices plummeted. Unemployment reached disastrous proportions throughout Europe, making insecurity a reality for millions. 8

While factory workers suffered most, the growing **white-collar and professional** sectors also experienced massive loss of jobs. Many were now willing to support radical attempts to deal with the crisis by both democratic leaders and dictators.

The responses to the Depression differed significantly. In Britain, for example, the government followed orthodox economic theory by balancing its budget, but unemployed workers did receive enough welfare simply to survive. **In Scandinavia, however, a cooperative tradition and strong Socialist influence in government** since the end of the war generated a reformist socialism that responded to economic crisis with deficit spending and vast public works programs. In nations with weak democratic traditions, however, the response to economic crisis was dictatorship. This was a result not so much of the economic solutions proffered by various totalitarian leaders, but of the general fear that economic insecurity generated, a fear of disorder and revolution that only force could prevent. Millions surrendered civil liberties for such security.

The rise of **fascism** (See [March 23](#)), which depended on an aggressive foreign policy and the glory of conquest, led to expansionist policies that resulted first in the disappearance of countries like Albania, Austria, and Czechoslovakia, and eventually in the outbreak of **World War II** in 1939. As in World War I, the demands of modern warfare dictated total war. As men were conscripted into the armed services, **women were conscripted into the workforce**. In England, the Women's Power Committee was able to win equal insurance and benefits for women workers in 1943, but the government consistently fought demands for equal pay. Rationing once again became a fact of life as governments planned every aspect of the economy. Civil liberties were curtailed in the name of security, and governments launched more extensive propaganda campaigns to retain popular support.

Occupied nations responded differently to the Nazis. In the western portions of the Soviet Union, for example, the invading Germans were first greeted as liberators. In Western Europe, **resistance** developed quickly to Nazi occupation, growing in intensity with the influx of Communists after the Nazi invasion of the Soviet Union. The combination of various political beliefs among resistance fighters sometimes led to violence within resistance movements and set the tone for postwar political battles. In all occupied nations, industry was retooled for the German war effort, while forced labor led many into slave conditions in German factories. The Nazis also transported their racist policies into occupied areas, forcing Jews, Gypsies, and others into ghettos and later into concentration camps. (See [Economic and Social Changes](#))





(See [1912](#))

## 2. Intellectual and Religious Trends

The most important development in thought after World War I was the rejection of the rational. While a few philosophers had moved in this direction in the last years of the 19th century, the barbarism of world war convinced many that the previous century's faith in reason and progress was misplaced. This revolt went in two directions. On the Continent, **existentialism** rose to prominence. Although it truly came into its own after World War II, the interwar years witnessed its birth in the works of **Martin Heidegger** (1889–1976), **Karl Jaspers** (1883–1969), and the early works of **Jean-Paul Sartre** (1905–80). Existentialists held that human beings simply existed in an absurd world without a supreme being, left to define themselves only through their actions. Any sense of hope could come only by “engaging” in life and thereby finding meaning in it. 1

**Logical empiricism** found more supporters in England, though its main proponent was the Austrian philosopher **Ludwig Wittgenstein** (1889–1951). Wittgenstein argued in 1922 that philosophy is only the logical clarification of thoughts, and therefore its study is the study of language, which expresses thoughts. Gone were the days when primary philosophical topics were God, freedom, and morality; the new scope of philosophy was greatly reduced to only those things that could be proved. To talk of anything else was a waste of time. 2

Still others turned to **religion**. But unlike the theologians of the late 19th century, who attempted to merge religion with science by portraying Christ primarily as the greatest moral teacher, theologians of interwar Europe stressed the frailty of humankind and the “supernatural” aspects of God. Building on the works of Søren Kierkegaard (1813–55), leading scholars like **Karl Barth** (1886–1968), **Gabriel Marcel** (1887–1973), **Jacques Maritain** (1882–1973), **C. S. Lewis** (1898–1963), and **W. H. Auden** (1907–73) saw in religion and God's grace the answers to a world of terror and anxiety. 3

Others seeking security in an insecure world turned to political philosophies. The two most important in interwar Europe were **communism** and **fascism**. While communism was not new to the 20th century, the existence of a Communist society did propose changes in the philosophy as well as an example for other nations. **Joseph Stalin** 4

(1879–1953) produced the most important change with his concept of **socialism in one country**. Despite the argument that socialism was a stage of development that must occur in all of the industrial world and that Soviet Russia must await the revolution while promoting it through such organizations as Comintern, Stalin argued that socialism could be developed in a single nation, a belief built on a strong base of Russian nationalism. That philosophy was a prime component in the great pace of Russian industrialization in the thirties.

Fascism can be difficult to define because its proponents often tried to make it everything to everybody. As presented by **Adolf Hitler** (1889–1945), **Benito Mussolini** (1883–1945), and **Italo Balbo** (1896–1940), it embodied a rejection of socialism and class warfare, presenting the nation as the most important unifying element that transcended all differences. At the same time, it promoted **a corporatist notion of capitalism and a planned economy**. It drew on the threat of world communism, on the economic problems recurring throughout the period, and on the war experiences of its adherents, expounding a brotherhood akin to that found in the trenches. It fed on fear and resentment to promote a picture of social order and national grandeur.

In the realm of economics, **John Maynard Keynes** (1883–1946) published his *General Theory of Employment, Interest, and Money* in 1936. This work explained how and why an economy might fail to maintain a level activity required for full employment. Though dealing primarily with short-run phenomena, “Keynesian economics” became crucial in the development of theories of economic growth.

Other important events in the development of interwar thought included:

## 1916

**Vilfredo Pareto** (1848–1923), in his *Trattato di Soziologia Generale*, provided a comprehensive mathematical analysis of economic and sociological problems, based on the distinction between the fundamental motivations of human natures (*residues*) and their outward appearance or rationalization (*derivations*).

## 1918–22

**Oswald Spengler** (1880–1936), in *Der Untergang des Abendlandes*, produced a cyclical interpretation of history and forecast the eclipse of Western civilization as inevitable.

## 1929

**Marc Bloch** (1886–1944) and **Lucien Febvre** (1878–1956) founded the journal *Annales d'histoire économique et sociale*, which became an influential international forum for the new social history, a new form of history turning away from political narrative to focus upon economic structures, social institutions, and mentalities in a historical context. <sup>10</sup>

## 1934–54

*A Study of History* (ten volumes), by **Arnold J. Toynbee** (1889–1975), constituted an exhaustive reexamination of human development in the light of an idealist philosophy of history. (See [Religious and Philosophical Thought](#)) <sup>11</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Culture and Popular Culture](#))

### **3. Culture and Popular Culture**

Literature articulated **the general intellectual climate of pessimism, relativism, and alienation**. While 19th-century novelists had adopted the more general stance in their novels of all-knowing narrators, 20th-century authors tended to take on the narrower viewpoint of a single individual. This was notable in the works of **Marcel Proust** (1871–1922), **George Orwell** (1903–50), **Franz Kafka** (1883–1924), **James Joyce** (1882–1941), and **Virginia Woolf** (1882–1941). The two latter authors also became famous for a style of writing known as **stream of consciousness**, a technique that demonstrated the impact of psychology on the arts. 1

As with the postwar generation in general, interwar artists rejected the rules and forms handed down from their elders. In architecture, **Walter Gropius** (1883–1969), founder of **Bauhaus**, broke with the past in his designs of clean and light buildings of glass and iron. **Le Corbusier** (1887–1965) epitomized the new turn to functionalism in his designs. In art, modern painters rejected French impressionism, becoming more abstract and nonrepresentational. Like the early 19th-century romantics, they wanted to portray unseen, inner worlds of emotion and imagination. This can be seen in the art of **Henri Matisse** (1869–1945), **Pablo Picasso** (1881–1973), and **Wassily Kandinsky** (1866–1944). 2

As abstract painters arranged lines and color but did not draw identifiable objects, so modern composers arranged sounds without creating recognizable harmonies. Such composers were led by the Viennese composer **Arnold Schönberg** (1874–1951). 3

In popular culture, the long-declining traditional arts and amusements of people in villages and small towns almost vanished, replaced by standardized, commercial entertainment. In the cities, the prosperity of the late 1920s and the growth of leisure among the working class, resulting from the legalization of the eight-hour day, brought a growth in the leisure industry. **Cabarets and music halls** did a brisk business, centers of society's loosening sense of morality. Playing to crowded rooms, the American **Josephine Baker** (1906–75) brought an exotic African eroticism to Parisian music halls in 1925. 4

For many, leisure also found outlets in the development of **radio** and **cinema**. **Charlie Chaplin** (1889–1978) became a world icon, the king of the “silver screen.” The great appeal of cinema was its ability to offer people a temporary escape from the hard realities of everyday life. While the U.S. dominated the industry during the First World War, destroying young German studios in the early 1920s, the advent of “talkies” resuscitated national film industries in the 1930s, particularly in France.

5

Radio became possible with the transatlantic “wireless” communication of **Guglielmo Marconi** (1874–1937) in 1901 and the development of the vacuum tube in 1904, which permitted the transmission of speech and music. But only in 1920 were the first major public broadcasts of special events made in Great Britain and the U.S. On June 16, 1920, Lord Northcliffe, the Briton who had pioneered in journalism with the inexpensive, mass-circulation *Daily Mail*, sponsored a broadcast of the soprano Nellie Melba, which was heard simultaneously all over Europe. Every major country quickly established national broadcasting networks. The typical pattern was direct control of the medium by the government. By the late 1930s, more than three out of every four households in both democratic Great Britain and dictatorial Germany had at least one cheap, mass-produced radio, a powerful tool for political propaganda. (See [Culture and Popular Culture](#))

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [July 7](#))

#### 4. European Diplomacy and the Depression, 1919–1939

European diplomacy between the two world wars involved the following **major problems**: (1) the attempt to establish collective security by means of new international bodies, the League of Nations, and the World Court, without creating any form of superstate; (2) the unwillingness of the non-European powers, the U.S., Japan, and the British Dominions in particular, to assume responsibility for anything outside their respective spheres of interests; (3) the competition between French efforts to maintain the position of leadership on the continent of Europe established by the peace settlements, and German endeavors to evade or revise the terms imposed in 1919; (4) the attempts to attain security and prosperity by neomercantilist ideas imposed as emergency measures. 1

The era between the wars can be divided chronologically into three phases: (1) the period of settlement (from the peace treaties to the Dawes Plan, 1924); (2) the period of fulfillment (1924 to the evacuation of the Rhineland, 1930); (3) the period of repudiation and revision (1930–39). 2

#### 1919, June 28

Conclusion of **defensive treaties among France, Britain, and the U.S.** Britain and the U.S. were to come to France's assistance in case of aggression by Germany. The U.S. Senate refused to ratify this agreement and also rejected the Versailles treaty (Nov. 19), thus knocking out one of the keystones in the international peace structure established at Paris. 3

#### 1919–22

The **Vilna dispute**, between Poland and Lithuania. Polish forces took the town from the 4

Bolsheviks (April 4, 1919). The **Curzon line** (Dec. 8) established a boundary depriving Poland of the city, which was retaken by the Bolsheviks (June 15, 1920). The Lithuanians took it when the Russians evacuated (Aug. 24), but were driven out by Polish freebooters under **Gen. Lucien Zeligowski** (Oct. 9). By decision of the League a plebiscite was to be held to decide the fate of the city, but this was later abandoned (March 3, 1921). A **plebiscite** (Jan. 8, 1922) held by Zeligowski decided for Poland, and the Vilna Diet voted for union. On April 18 it was incorporated with Poland, though Lithuania refused to recognize this disposition of the question.

## 1919–20

The **Teschen conflict** between Poland and Czechoslovakia. The Czechs had occupied the disputed area (Jan. 1919) and serious clashes took place (May). The supreme council decided for a plebiscite (Sept. 27), but disorders continued (March, May 1920) until the conference of ambassadors divided the territory (July 28). (In these and other Eastern European disputes, France, eager for stable powers on Germany's eastern borders, took the lead in organizing ambassadorial negotiations.)

5

## 1919–20

The **Polish-Russian War**, resulting from the effort made by the Poles to push their frontier east to the frontier of 1772. The Poles, in agreement with the Ukrainian leader **Gen. Simon Petliura**, attempted to wrest Ukraine from the Bolsheviks. They quickly overran the country, taking Kiev (May 7), but the Bolsheviks launched an energetic counterattack and drove the Poles out of Kiev (June 11) and Vilna (July 15). By Aug. 14 the Russians were on the outskirts of Warsaw. But the Poles, vigorously aided by the French (**Gen. Maxime Weygand**) made a stand and were soon able to turn the tables. The Bolsheviks were forced to fall back and abandon their Polish conquests. The preliminary treaty of Riga (Oct. 12) was followed by the definitive **Treaty of Riga** (March 18, 1921), which defined the frontier between the two countries.

6

## 1919–21

The **Burgenland dispute** between Austria and Hungary. The strip of territory had been assigned to Austria by the peace treaties, it being only 15 miles from Vienna. The population, too, was predominantly German. But Hungarian irregulars were in occupation and refused to evacuate (Aug. 1921). Through Italian mediation a plebiscite

7

was arranged for. This was held (Dec. 1921) and gave Austria most of the area, though Ödenburg went to Hungary.

## 1919–22

The **Greek invasion of Anatolia** (See [1919–22](#)).

8

## 1919–24

**The Fiume question.** President Wilson had rejected the Italian claim to the town and the coast south of it (April 14, 1919), whereupon the Italians had withdrawn from the peace conference. A compromise, suggested by **André Tardieu**, which would have created a buffer state of Fiume (May 30), was rejected by Yugoslavia. **Gabriele d'Annunzio** led a filibustering expedition that occupied the town and set up a visionary government (Sept. 12). The matter was finally left to Italy and Yugoslavia to settle (March 6, 1920). The **Treaty of Rapallo** (Nov. 12) made Fiume an independent city and gave Italy Zara and a number of Dalmatian islands. But a Fascist coup (March 3, 1922) overthrew the local government, and government troops took control (March 17). By a treaty of Jan. 27, 1924, Yugoslavia abandoned claims to Fiume but received **Porto Barros** in return.

9

## 1919–22

**The Upper Silesian question.** The peace treaties had provided for a plebiscite in this valuable area. It was held on March 20, 1921 (See [March 20](#)), and returned 717,122 votes for Germany, as against 483,154 for Poland. But an armed rising under the Polish commissioner **Adalbert Korfanty** (May 4, 1922) was acquiesced in by the French commander acting for the League. In Aug. 1922, the council of ambassadors referred the matter to the League, and the League council accepted a **scheme of partition** by which a majority of the population and more than half of the territory were awarded to Germany, while Poland was given the principal mining and industrial districts.

10

## 1919, July 29



**Italy signed a treaty with Greece** supporting Greek claims in Thrace and Epirus, Greece to support an Italian protectorate over Albania and Italian claims in Anatolia. Italy was to keep Rhodes for 15 years, and the **Dodecanese Islands** were to be ceded to Greece. Italy denounced these treaties on Oct. 8, 1922. 11

### 1920, Jan. 23

The Dutch government refused to surrender the **former emperor William**, though it later agreed to intern him. 12

### Feb.–March

The **plebiscites in North Schleswig** gave the northernmost zone to **Denmark** and the remainder to Germany. 13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1910–12](#))

## 5. [The British Isles](#)

### a. [Great Britain](#)

**Monarchs:** George V (r. 1910–36); Edward VIII (r. 1936); George VI (r. 1936–52). 1

**Prime Ministers:** Herbert H. Asquith (1908–15, Liberal); Herbert H. Asquith (1915–16, coalition); David Lloyd George (1916–19, coalition); David Lloyd George (1919–22, coalition); Andrew Bonar Law (1922–23, Conservative); Stanley Baldwin (1923–24, Conservative); J. Ramsay MacDonald (1924, Labour); Stanley Baldwin (1924–29, Conservative); J. Ramsay MacDonald (1929–31, Labour); J. Ramsay MacDonald (1931–35, National); Stanley Baldwin (1935–37, National); Neville Chamberlain (1937–40, National); Winston Churchill (1940–45, coalition). 2

**Impact of World War I.** The most significant results of Britain's wartime experience were the **expansion of state planning** and **disillusionment**. Beginning with the **Defense of the Realm Act** (1914) and continued through the creation of the **War Committee** (1915), British leaders recognized that only central control could lead to victory. This was especially true of the economic sector, where the creation of the ministries of munitions (July 2, 1915) and blockade (Feb. 23, 1916) aided government management of shipbuilding, food production and distribution, and the supply of wool and cotton. **War socialism** placed munitions, coal, iron, steel, and railroads under state control. This also brought trade unions into government planning activities. Such control was also extended over manpower with the **compulsory military service bill** (Jan. 6, 1916) and the creation of a ministry of labour (1916). Finally, the government became increasingly involved in influencing public opinion, including the distribution of newsreels and **propaganda films** that contributed to the later popularity of commercial cinema. Gradually, the nation became accustomed to such extensive state planning, shaping the course of interwar Britain. 3

Disillusionment was evident primarily in cultural life, as in the plays of **Noel Coward** (1899–1973), the novels of **Aldous Huxley** (1894–1963), and the poetry of **T. S. Eliot** (1888–1965). Disillusionment bred a search for new styles, witnessed in the stream-of-consciousness works of **Virginia Woolf** (1882–1941) and **James Joyce** (1882–1941). 4

Another impact of the war was a loosening of moral standards, personified by the flapper, and seen in the spread of jazz, the popularity of commercialized sports and movies, and an increase in sexual freedom. **Increased wages and shorter work hours** after the war allowed a greater number of Britons to spend more time in leisure activities, in which cinemas, pubs, and dance halls came to share top billing. In the 1930s intellectual attention turned more to social concerns, as the condition of England became a theme to such authors as **J. B. Priestley** (1894–1984) and **George Orwell** (1903–50).

Popular authors throughout the interwar years included **Thomas Hardy** (1840–1928), **Joseph Conrad** (1857–1924), **Arthur Conan Doyle** (1859–1930), **James M. Barrie** (1860–1937), **Rudyard Kipling** (1865–1936), **H. G. Wells** (1866–1946), **Hugh Walpole** (1884–1941), **D. H. Lawrence** (1885–1930), and **Katherine Mansfield** (1888–1923). The greatest popular success was reserved for the authors of thrillers, especially **John Buchan** (1875–1940), and detective stories, like **Agatha Christie** (1890–1975).

Great Britain's losses in the First World War were almost 1 million killed and over 2 million wounded. The total expense exceeded £8 billion, and the burden of domestic and foreign debt was ten times what it had been in 1914. Britain was faced with the problem of returning soldiers to industry and introducing social reforms loudly demanded by the laboring classes, and confronted at the same time by increased competition in foreign trade. In Ireland, India, Egypt, and Palestine it faced almost insoluble problems. Even the self-governing dominions demonstrated enhanced national feeling and reluctance to be committed to any share in future European wars.

**Economics. As women were forced out of wartime employment** to make way for demobilized soldiers (rapid demobilization between 1919 and 1920), immediate economic disaster was averted by the economic boom of 1919–20. The government responded by returning to prewar laissez-faire policies, resulting in inflation, strikes, and wage increases. But Britain had lost its position in the world economy and could not maintain this boom, which failed in late 1921. The recession was triggered by a decrease in government expenditures, increased taxes, and the overproduction of primary products. The old specter of class war loomed on the horizon as trade unions threatened a general strike. The government responded with the Emergency Powers Act (1920), restoring its wartime emergency authority. In addition, the government subsidized the building of more than 200,000 houses, making housing another social service of the government. Such assistance was continued by subsequent governments, and by 1928 houses built with public funding made up 40 percent of the total housing construction.

Aside from the economy, Britain's other pressing problem in the immediate postwar years was a solution to the Irish question (See [1914, Aug. 8](#)). The result in domestic politics was a Unionist defection from Lloyd George's government, causing its collapse (Oct. 19, 1922), and a weak Conservative government (general election, Nov. 15, 1922),

bolstered by a split between the Liberal followers of Asquith and Lloyd George. **The Labour Party became for the first time His Majesty's Opposition.** The interwar years were dominated by the insecurity of three-party contests.

## 1918

**Reforms of 1918.** The **Representation of Peoples Act** widened suffrage by abolishing practically all property qualifications for men and **by enfranchising women over 30 who met minimum property qualifications.** The enfranchisement of this latter group was accepted as recognition of the contribution made by women defense workers. 9

An **Education Act** made elementary education compulsory between the ages of 5 and 14. Children who left school at 14 were supposed to attend continuation schools for 320 hours a year until they were 18. Those who continued their regular schooling until they were 16 were under no further obligation. Furthermore, child labor was sharply limited, halting a large number of children from leaving school at age 12 and becoming unemployed because of lack of skills. 10

The **Labour Party adopted a new constitution** designed to recruit more members, admitting local Labour parties (constituency parties), which individuals could join without first becoming affiliated with a trade union or a socialist group. 11

## Dec. 14

The **Khaki election.** The coalition government won a huge majority on a platform promising punishment of the German “war criminals,” full payment by the defeated powers of the costs of war, and the prevention of dumping of foreign goods in Great Britain. These promises greatly hampered Lloyd George's freedom of action at the Paris peace conference (See [1919, Jan. 18](#)). 12

## 1919

Parliament passed the **Arbitration Act**, calling for unions and employers to submit to court decisions. The only important application of this act occurred a year later when the Transport and General Workers Union (dockers), led by Ernest Bevin, won a favorable court settlement. 13

## Nov. 28

Lady Astor became the first woman elected to the House of Commons.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914](#))

## **[b. Ireland](#)**

### **1914, Aug. 8**

**Press censorship** decreed, remaining in effect until 1922. 1

### **1916, April 21**

**Sir Roger Casement** landed on the Irish coast from a German submarine to start a rebellion. 2

### **April 24–29**

The **EASTER REBELLION**, led by Patrick H. Pearse and the Irish Republican Brotherhood, despite the failure of German aid. After a week of fighting the British suppressed the insurrection (May 1). Several of the leaders were tried and executed (May 3). Casement was hanged on Aug. 3. 3

(See [Aug](#))

## 6. [The Low Countries](#)

### a. [Belgium](#)

**Monarchs:** Albert I (r. 1909–34), Leopold III (r. 1934–44).

1

### 1914

The government fled the German invasion and went into exile in Le Havre (Oct. 14). Faced with the prospect of starvation, since the Germans refused to supply civilians in occupied areas, Belgians established the **Comité national de secours et d'alimentation**, which, although neutral, became a center for patriotism.

2

Hoping to win support, Germany courted the Flemings by establishing a **Flemish university at Ghent** (1916) and promising **administrative separation** of the Flemish and Walloon provinces (creation of the **Council of Flanders** in 1917). The German policy of systematic massive deportation (120,000 men and boys) roused much resistance, however, sparking riots in Antwerp that killed 200 on Nov. 30, 1916. The deportations ceased in 1917.

3

While German efforts were largely unsuccessful, Flemish separatism caused greater concerns in the Belgian army. Unrest among Flemish soldiers aroused fear of mutiny in 1917 and 1918 (formation of Flemish study circles and their abolition, an open letter to King Albert listing grievances and cautiously defending Flemish activists in the occupied territories, and a demand by some Flemish leaders for self-government after the war). But such fears proved unfounded.

4

Of all the countries involved in the First World War, **Belgium** suffered most. The total damage was estimated at over \$7 billion, but the country showed extraordinary recuperative power and soon returned to a peace basis. Politically the country was ruled by the Catholic and Socialist Parties. One of the major questions at issue was the demand of the Flemish for recognition of their language.

5

## 1918, Nov. 21

Roman Catholics, liberals, and Socialists formed a new government of national solidarity after the German evacuation. This was followed the next day by King Albert's promise of radical reforms: universal male suffrage, equal rights for language groups, the foundation of a Flemish university at Ghent, and the repeal of Belgium's obligatory neutrality.

6

## 1919

The first commissions paritaires were established by the government to quell a wave of strikes. These commissions were consultative bodies representing employers and workers on the national level. By 1923 there were 23 of them. They helped in negotiations and advised the government, but acquired legislative authority only in 1945.

7

## April 7

A total of 160,000 women signed a petition demanding suffrage.

8

## May 9

A **new electoral law** introduced **universal manhood suffrage** and gave the franchise to certain classes of women.

9

## May 30

By agreement with Great Britain, later confirmed by the League of Nations, Belgium was given the **mandate over part of German East Africa** (Ruanda and Urundi).

10

## June 28



By the Treaty of Versailles, Belgium acquired the German districts of **Eupen**, **Malmédy**, and **Moresnet**.

11

## Nov. 17

Belgian claims to Limburg and part of the Scheldt river were thwarted as **Belgium and the Netherlands reached agreement on the River Scheldt**.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913, Aug. 25](#))

## **b. [The Netherlands](#)**

**Monarchs:** Wilhelmina (1890–1948). 1

Though the Netherlands took no part in the First World War, the nation suffered considerably through interference with trade. Toward the end of the war the government was obliged to submit to stringent regulations by the Allies and to permit the requisitioning of Dutch shipping. The Dutch merchant fleet was seized by the Allies on March 20, 1918. 2

### **1917, Dec**

The revised constitution granting universal manhood suffrage and proportional representation was promulgated. Financial equality between state and private schools was also established. 3

### **1918, Sept**

The **Ministry of Labor** was created. 4

### **Oct.–Nov**

A wave of strikes led many to **fear a social revolution**, a fear the Socialists fostered. This generated massive support for the monarchy and the government, and a great loss in prestige for the Social Democratic Workers' Party (SDAP). 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913, Aug](#))

## 7. [France](#)



### [THE GERMAN ADVANCE IN FRANCE, 1940 \(MAP\)](#)

**The Third Republic: Presidents:** Raymond Poincaré (1913–20), Paul Deschanel (1920), Alexandre Millerand (1920–24), Gaston Doumergue (1924–31), Paul Doumer (1931–32), Albert Lebrun (1932–40). 1

**Leading Premiers:** Georges Clemenceau (1917–20), Raymond Poincaré (1922–24), Aristide Briand (1925–26), Raymond Poincaré (1926–29), Léon Blum (1936–37), Edouard Daladier (1938–40). 2

**The French State (Vichy): Head of State:** Marshal Philippe Pétain (1940–44). 3

**Leading Premiers:** François Darlan (1941–42), Pierre Laval (1942–44). 4

## 1914, Sept. 3

**Fearing that Paris might fall** to the advancing German armies, the **French government moved to Bordeaux**. This temporary withdrawal made it more difficult for the civilian ministers to control the army commanders, and the French general staff displayed a spirit of independence that sometimes verged on insubordination. 5

Although French political parties relaxed their feuds in a *union sacrée*, discontent and division brought down successive cabinets. 6

In the spring of 1917 the inability of both sides to win a decision on the battlefield and the victory of the revolution in Russia led to widespread defeatism and pacifism. These sentiments became more widespread after the disastrous Nivelle offensive. 7

## 1917, Nov. 16

Formation of the great **ministry of Georges Clemenceau**, in which the prime minister was also minister of war, while **Stephen Pichon** was given the foreign office. Clemenceau's policy was one of victory *sans phrase*. He set out at once to hunt down the preachers of disaffection (**Malvy, Humbert, Bolo Pasha, Caillaux**) and to organize the country for victory. 8

Under the leadership of Clemenceau (second ministry, Nov. 1917–Jan. 1920), France survived the final year of the war. Clemenceau took a leading part in shaping the peace that followed. 9

**WAR LOSSES.** The acquisition of Alsace-Lorraine and of mandates in Africa and Syria did not compensate victorious France for its losses in the war, which had been fought largely on French soil. The 1,385,000 French soldiers known to be dead; 700,000 seriously wounded; 2,344,000 other wounded; and 446,000 prisoners or missing meant a loss of manpower proportionately greater than that suffered by any other belligerent. Of Frenchmen who in 1914 were aged 20–32, more than half were killed. This heightened French concerns over **depopulation**. In 1920 a statute strictly **prohibited artificial contraception and abortion** and even punished advocacy of these practices. A growing number of **pronatalist advocates** also opposed the employment of married women. Even as the percentage of French women employed fell slowly from 1921 to 1936, however, the proportion of women in the French labor force remained among the highest in the Western world. Meanwhile, in the 1920s large firms began active campaigns to recruit **foreign labor** as France replaced the United States as a leading recipient of immigration. 10

Property damage in the war zone in the north and east of France included 300,000 houses destroyed, and as many more damaged; 6,000 public buildings and 20,000 workshops and factories destroyed or badly damaged; 1,360,000 head of livestock killed or confiscated; thousands of acres of farm land and forest ravaged by shell fire. These figures explain the intensity of the postwar demand for security and reparation. 11

Public finance became another problem in postwar France. The wartime governments had preferred to borrow to finance the war. While an **income tax** had been instituted in 1916, revenue remained low. When peace returned, financial crisis followed: the depreciation of the franc reached 50 percent one year after the victory. The crisis in public finance thus gave the postwar era the appearance of financial crisis, despite the general health of the overall economy. 12

On the whole, as one historian notes, “the war's effect on France's social and economic structure was to shake it up without producing really revolutionary or fundamental changes ... on the one hand, an increased stability approaching stagnation; on the other hand, a growth in stresses and tensions within this rigidified social and economic 13

structure.”

## 1919

The end of the war brought various social concerns to the fore as railway and other transport workers went on strike (Jan.) and the acquittal of Raoul Villain, the man who assassinated Jean Jaurès (Aug. 1914), sparked massive demonstrations (March). The government responded with the long-awaited law making the **eight-hour workday obligatory** (April 23), but worker dissatisfaction continued to manifest itself in strikes through May and June.

14

### Feb.–April

The Chamber and Senate passed two remunerative bills, one on the damages caused by the war and the other on veterans' pensions, thinking that German reparations would cover the costs.

15

### July 4

The government announced its intention to complete demobilization by Oct. 30. Over 3 million men were returned to their homes.

16

### July 12

A **new electoral law** introduced the *scrutin de liste* and a measure of proportional representation. The effect of this was to make it more difficult than ever for any one party to secure a majority.

17

### Nov. 16

**Elections.** The coalition that had governed under Clemenceau split into a Right Bloc National (Clemenceau, Millerand, Poincaré, Briand) and a Cartel des Gauches, led by Herriot. The Royalists, Socialists, and Communists were not included in either group. The elections gave a majority to the Bloc National, which was also victorious in the senatorial elections of Jan. 1920.

18

These elections registered a great victory of the Right (loosely composed of royalist reactionaries, more compromising conservatives, and radical nationalists), but on the whole they remained unable to work efficiently in the realm of mass politics. Their electoral resurgences were due often to continued splits on the Left, those times when the Radicals chose to work with conservatives rather than accept Socialist economic and social programs.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Aug. 7](#))

## **8. The Iberian Peninsula**

### **a. Spain**

Though Spain was spared the horrors of the First World War, the effects of the conflict made themselves felt. The demands of the combatants for iron, munitions, and other goods led to a striking **development of Spanish industry**, centering in Catalonia. The growth of industry in turn resulted in increased tension between the semifeudal upper classes, supported by the Church and the army, and the new forces of **socialism** and **anarchism**. The volatility of this mixture was exacerbated by the uneven economic and social development of Spain and subsequent strong regionalist sentiment. The movement for **autonomy for Catalonia**, which had survived the centralizing policies of the 19th century, flared up anew, and the government was throughout confronted with the additional **problem of Morocco**, where constant native risings required a great military effort and the expenditure of much money. Politically the prewar system extended through the First World War and immediate postwar periods, with repeated changes of ministry and the rotation of Liberals and Conservatives in power. 1

### **1917**

The **crisis of 1917** resulted from the waning economic benefits of the war and a rise in the cost of living. It began in May with military unrest that became more general social unrest by the end of July with strikes in Valencia, Bilbao, and Santiago. The result was a period of insecurity between 1917 and 1923. 2

### **June**

The **Junta of Defense of the Infantry** forced the government to **suspend constitutional guarantees**. 3



## July 5

The **Catalan deputies and senators** in the cortes **demand** the **convocation of a constituent assembly** to consider home rule for Catalonia. 4

## Aug. 13

A **general strike** was called to protest economic, social, and political conditions. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1912, Jan](#))

## **b. [Portugal](#)**

### **1914, Nov. 23**

The **Portuguese national assembly voted to join Great Britain** and France in the war against Germany, but action in accord with this vote was delayed by a coup. <sup>1</sup>

### **1915, Jan. 28–May 14**

The insurrection and **dictatorship of Gen. Pimenta de Castro**, representing a pro-German faction in the army. This coup had the support of President Arriaga. He in turn was overthrown by a democratic revolt on May 14. <sup>2</sup>

### **1915–17**

**Bernardino Machado became president** on the resignation of President Arriaga. <sup>3</sup>

### **1916, March 9**


**GERMANY DECLARED WAR ON PORTUGAL** after the seizure of German ships in the harbor of Lisbon. The Portuguese organized an expeditionary force, which arrived in France on Feb. 3, 1917, and took over a small sector of the front. <sup>4</sup>

### **1917, Dec. 5**

**Gen. Sidonio P**  **es** led another pro-German uprising, arrested and deported the president, and **made himself president-dictator**.

5

### 1918, Dec. 14

**P**  **es** was assassinated by a radical, whereupon the democratic regime was reestablished. The situation in the country continued to be utterly confused. In a land that was still 65 percent illiterate the democratic system did not function well. One cabinet relieved another, the average duration of governments being about four months. Insurrections and coups were hardly less numerous. The financial condition of the country, long parlous, went from bad to worse. Multiplication of offices, widespread political corruption, and appalling inefficiency characterized the decade from 1918 to 1928.

6

### 1919, Jan. 19–Feb. 14

**A royalist uprising** in the north assumed substantial proportions but was ultimately suppressed.

7

### May 6

The Allied supreme council assigned to Portugal the **mandate for part of German East Africa**, known as the Kionga Triangle.

8

### Aug. 5

**Antonio José de Almeida became president.**

9



(See [Aug. 3](#))

## 9. [Italy and the Papacy](#)

When World War I commenced in Aug. 1914, the Italian cabinet, headed by **Antonio Salandra**, chose neutrality despite Italy's membership in the Triple Alliance. After weighing offers from both camps, the Italian government turned against the **Central Powers** and joined the **Allies** on May 23, 1915 (See [May 23](#)). 1

### 1914, Sept. 3

**BENEDICT XV** (Giacomo della Chiesa) was elected pope on the death of Pius X (Aug. 20). During the war he appealed to the belligerents for peace, submitting outline proposals on Aug. 1, 1917. 2

### 1916, Dec. 12

The **Salandra cabinet** resigned and was succeeded by a new ministry led by **Paolo Boselli**. 3

### 1917, Oct. 29

The **Boselli cabinet** fell as a result of the **Caporetto disaster** (See [Oct. 24–Dec. 26](#)). A new cabinet under **Vittorio Orlando** took office and remained in power until June 1919. 4

Italy had entered the war primarily to gain territory and wrest control of the Adriatic from Austria-Hungary. Its military achievement proved far below Allied expectations and as a result Italy was given but little say at the peace conference. President Wilson took a hostile stand toward the provisions of the **Treaty of London** (See [April 26](#)), and Italy, in return for 600,000 lives lost, received only 9,000 square miles of territory with a 5

population of 1.6 million. None of the former German colonies was assigned to Italy as a mandate. The war, then, left Italy loaded with debt, suffering from high costs of living, and generally restless and discontented. The governments enjoyed no prestige. The political situation was complicated by a rapid spread of Communism and by the emergence of an organized clerical party. Efforts of the government to meet the situation by social legislation had little success.

By the end of the war **Italian economic bifurcation** was becoming more evident as modern industry grew in the north. Industrial wealth centered in the triangle between Turin, Genoa, and Milan, where union activity was especially strong. Workers were split among a socialist union, a Catholic union (which appealed to the peasantry as well), and an anarcho-syndicalist union. As for the peasantry, still the majority of the Italian population, they were disappointed after vague promises of land redistribution during the war were ignored by the government.

### 1919, Jan. 19

Formation of the Partito Popolare, a Catholic party.

### March 23

Formation of the first Fascio di Combattimento by **Benito Mussolini** (b. 1883), former socialist and editor of *Avanti*, who had turned violently interventionist and nationalist.

### April 24

The Italian delegation left the Paris peace conference after the public appeal of President Wilson against the Italian territorial claims on the Adriatic. The Italian delegation returned on May 5.

### June 19

**The Orlando cabinet resigned.** A new ministry was formed by **Francesco Nitti**, with **Tommaso Tittoni** at the foreign office.

### Sept. 2

A **new electoral law** introduced universal suffrage and the French system of *scrutin de liste* (election by departmental lists) and proportional representation. 11

### Sept. 12

**Gabriele d'Annunzio**, eminent writer, ardent nationalist, and world war hero, **seized Fiume** with a band of volunteers (See [1919–24](#)). 12

### Oct. 5–8

**The Socialist Congress at Bologna** voted for adherence to the Third International. 13

### Nov. 11

The pope definitely lifted the prohibition against participation by Catholics in Italian political life. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [March 11](#))

## 10. [Switzerland](#)

### 1914, Aug. 1

The **Swiss Confederation mobilized** its forces in view of the international crisis and remained on a war footing throughout the conflict. On Aug. 4 the government announced its **neutrality**, and its readiness to defend it no doubt had something to do with respect for Swiss territory on both sides. The war resulted in ever-increasing authority of the federal as against the cantonal governments (the federal council was given exceptional powers on Aug. 3, 1914). Switzerland suffered much from food shortages and was obliged to establish highly **centralized control of economic activity**. The demands of the combatants and the need for food resulted in a striking **development of Swiss industry**, with a corresponding growth of industrial labor and a spread of socialist and radical thought. 1

### 1915

The all-Swiss **Metalworkers' Association merged with the Watchmakers' Association**. By 1919 membership in the Swiss Metalworkers' and Watchmakers' Association (SMUV) was over 84,000. 2

### 1918, Nov. 11

A **general strike** began in Zurich. The causes resembled those in most of Europe at this time: demobilized workers faced unemployment, food prices and rents had doubled during the war, and workers' wages had only slightly increased. The strikers capitulated after three days of demonstrations. Of the nine demands put forth by the strikers, one 3



became law by 1919: proportional voting was introduced in the election of the Nationalrat.

## Dec. 8

**Switzerland broke off relations with Soviet Russia**, which was suspected of subversive propaganda. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Jan](#)) (See [July 7](#))

## 11. [Germany](#)

**Theobald von Bethmann-Hollweg**, chancellor since 1909, remained in office until July 1917, but German policies were increasingly influenced by the military leaders. 1

### 1917, Jan. 8

The German government decided to resume **unrestricted submarine warfare**. Bethmann-Hollweg opposed but was unable to prevent this decision (See [1917, Jan. 8](#)). 2

By 1917 growing unrest led to certain important promises by the government. 3

### April 7

Emperor William II, as king of Prussia, announced in an **Easter message** the end of the famous three-class system of voting in Prussia. The introduction of a system of equal, direct, and secret suffrage was announced somewhat later (July 11). 4

### July 14

**Bethmann-Hollweg**, having lost the support of the Conservatives, National Liberals, and Center, and having long since become objectionable to the military, **was allowed to retire**. 5

### July 14–Oct. 30

**Chancellorship of George Michaelis**, an almost unknown official, who was the appointee of the high command and served chiefly as a cloak for the **power of Ludendorff**.

6

### July 19

Under the leadership of **Matthias Erzberger** and his Catholic Center Party, the **Reichstag passed a resolution in favor of a peace of understanding**, without annexations (212 Centrists, Majority Socialists, and National Liberals against 126 Conservatives, National Liberals, and Independent Socialists). The new chancellor declared that his aims were attainable within the limits of the resolution as “he understood it.”

7

### Oct. 28

**Mutiny of sailors** at Kiel, caused by orders from the admiralty to go to sea and fight the British. “Further than Heligoland we will not go.”

8

### Oct. 29

Emperor William II, alarmed at demands in the **Reichstag** for his abdication, left Berlin for army headquarters at Spa.

9

### Nov. 4, 5

The revolt at Kiel spread to other seaports. **Councils of workers and soldiers formed.**

10

### Nov. 7

**Revolt at Munich**, led by **Kurt Eisner**, an Independent Socialist, led to the proclamation of a republic in Bavaria (Nov. 8).

11

### Nov. 9

**ABDICATION OF THE EMPEROR** announced in Berlin by Prince Max (the chancellor since Oct. 4). **REPUBLIC PROCLAIMED**. Government turned over to Majority Socialists, led by **Friedrich Ebert** and **Philipp Scheidemann**. The emperor fled to Holland in his special train. His abdication was not signed until Nov. 28, by which time all other German rulers had abdicated.

12

### Nov. 10

A joint **ministry of Independent and Majority Socialists** took control in Berlin. Struggle between the extreme Left, or **Spartacist**, group, led by **Karl Liebknecht** and **Rosa Luxemburg**, who favored a Communist regime, and the Social Democrats (Majority Socialists), who wanted a gradual and not a violent abandonment of capitalism.

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913](#)) (See [1919, Sept. 10](#))

## 12. [Austria](#)

The strain of war intensified the divisions and weaknesses of the Habsburg Empire and prepared the way for its dissolution. 1

### 1916, Oct. 21

The Austrian prime minister, **Count Karl Stürgkh**, was assassinated. His place was taken (Oct. 28) by **Ernst von Körber**. 2

### Nov. 21

The old emperor, **Francis Joseph, died**, and was succeeded by his grandnephew, **Charles, emperor** to Nov. 11, 1918. 3

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(See [1913](#)) (See [1919, Sept. 10](#))


### 13. [Czechoslovakia](#)

The new state, with a population of about 15 million, inherited the most valuable part of the old Austro-Hungarian monarchy, with most of the industrial areas. Levels of urbanization and the social structure, particularly in the Czech lands, were more similar to those of the industrialized Western European countries than to those of most other countries in the region. The literacy rate was also very high. Again, this tended to be particularly true of the Czech lands, causing some friction among regions of the country. Its political life after the war was dominated by the ethnic problem and the resulting multiplication of political parties. <sup>1</sup>

However, Czechoslovakia earned a reputation as the most democratic nation in the region. Because of the strength of Czechoslovak democracy, for example, the Czechoslovak Communist Party, which was founded in 1921, was allowed to develop fully as a mass-based party, differing significantly from those parties based on the Soviet model. <sup>2</sup>

The state of the economy also promoted stability. Since Czechoslovakia had coal and iron mines and modern brewing and textile industries, its economy was better balanced between industry and agriculture than that of any other country in this area. This too, however, varied regionally. Attempts to industrialize Slovakia failed, partly as a result of the world depression. Even with recovery in the mid-1930s, Slovakia's level of development remained far below that of Bohemia and Moravia. <sup>3</sup>

#### 1918, Oct. 14

The Czechoslovak national council in Paris organized a **provisional government**, with **Thomas Garrigue Masaryk** as president and **Eduard Beneš**  as foreign minister. <sup>4</sup>

#### Oct. 28

**DECLARATION OF INDEPENDENCE**, by the national council.

5

**Oct. 30**

**The Slovak national council voted for union with the Czechs.**

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913](#)) (See [1920, June 4](#))

## 14. [Hungary](#)

**Hungary**, left a country of some 8 million population by the peace settlements, was predominantly agricultural, socially still organized on a semifeudal basis. Much of the political history after 1918 had to do with the successful efforts of the landholding classes to secure and retain control, and with the agitation for revision of the peace treaties and the restoration of the monarchy. Conservatives effectively cast the blame for postwar misery on Communists and Jews. The bulk of the middle class and the peasantry was favorably inclined toward conservative-nationalist rule, and there was a growing mass of disillusioned working people who isolated themselves from public life and wanted order and consolidation. Furthermore, antiquated political arrangements effectively kept the lower classes from exerting much influence. <sup>1</sup>

Hungary was economically devastated by the war. Agricultural production dropped by two-thirds, and industrial output was down to one-fifth of its prewar level. The crown was also one-third its prewar value. Of the 3.8 million men mobilized for the war, 660,000 were killed and 745,000 were wounded seriously. Like the other successor states, Hungary compounded these economic problems by following a postwar policy of economic isolation rather than attempting to rebuild the more profitable economic union that existed under the Habsburg Empire. By the 1930s Hungary was hard-hit by permanent unemployment and a marketing crisis that made fascism appealing. <sup>2</sup>

### 1918, Oct. 17

The **Hungarian Parliament**, in reply to Emperor Charles's declaration of reorganization of the monarchy, declared **complete independence from Austria**, except for the personal union. <sup>3</sup>

### Oct. 31



**REVOLUTION IN HUNGARY.** Count Mihaly Károlyi, grand seigneur of liberal, republican, and pacifist views, made prime minister in the hope of securing satisfactory peace terms and maintaining the unity of the monarchy.

4

## Nov. 16

The national council proclaimed **Hungary a republic.**

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Scandinavia](#))

## 15. [The Scandinavian States](#)

### a. [Overview](#)

The Scandinavian states were all able to preserve neutrality during World War I, though they were obliged to accept various Allied regulations and restrictions made necessary by the Allied blockade of Germany. After 1918 they all took an active part in the development of collective security, in which obviously they had a great interest. For the rest they all became thoroughly democratic states and leaders in social reform. In politics the situation in most cases was rather unstable, due to the relative strength of conservative, liberal, agrarian, and social democratic parties and the difficulty of establishing majority government. In foreign policy efforts were made consistently to develop a program of close cooperation and solidarity, which became all the more necessary after the resurgence of Germany as a powerful military state. <sup>1</sup>

#### 1914, Dec. 18–19

**Meeting of the kings** of the three Scandinavian states at Malmö was the first such effort at collaboration. They discussed various problems of the war, neutrality, and so on. <sup>2</sup>

#### 1926, Jan. 14, 15, 30

**Agreements** were made among Denmark, Sweden, Norway, and Finland providing for the **peaceful settlement of all disputes**. These countries began to suffer severely from the world economic crisis in 1931. <sup>3</sup>

## 1931, Sept. 6

Prime ministers of the Scandinavian states met for discussion of economic problems.

4

## 1932, Feb. 7

As a result, the **Oslo convention** came into force, by which the Scandinavian states joined with the Netherlands and Belgium in a scheme of economic cooperation, albeit on a modest scale.

5

## 1938, April 5–6

The four Scandinavian foreign ministers met for a discussion of the **defense problem**. In view of the unwillingness of Denmark to challenge Germany, the specific question of armament and defense had to be left to the individual governments.

6

## July 1

**The Oslo mutual trade agreements came to an end.** Nevertheless, relations among the so-called Oslo powers continued to be cordial and even close.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914–15](#))

## **[b. Denmark](#)**

### **1912–47**

**CHRISTIAN X**, king. 1

### **1915, June**

A **new constitution** was adopted, instituting universal suffrage and more popular representation in the Landsting. The new electoral laws made it difficult to form governments, however, and a rapid succession of ministries followed. 2

### **1916, Aug. 4**

**Sale of the Danish West Indies** to the United States. The transaction was approved by a Danish plebiscite on Dec. 14. 3

### **1918, Feb**

Protesting the rising cost of living, the unemployed, led by the syndicalist trade unions, staged an attack on the stock exchange in Copenhagen. 4

### **April 22**

**Elections.** Under the new system the Conservatives secured 23 seats, the Left (Liberals) 45, the Radicals 33, and the Socialists 39. The government was formed by a coalition of Radicals and Socialists. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1909, Aug. 4](#))

## **c. [Norway](#)**

### **1905–57**

**HAAKON VII**, king. Norway, much more dependent on trade and fishing than either Denmark or Sweden, alone among the Scandinavian powers revealed a tendency toward expansion overseas. <sup>1</sup>

### **1919**

The government established the **8-hour workday** and the **48-hour week**. <sup>2</sup>

### **Sept. 25**

The Allied supreme council awarded Norway sovereignty over **Spitsbergen**, which was thereupon annexed (Feb. 9, 1920). <sup>3</sup>

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(See [1909, Aug. 4](#))

## **d. [Sweden](#)**

### **1907–50**

**GUSTAVUS V**, king. 1

### **1917, Dec. 29**

The **Aaland Islands**, following the Bolshevik Revolution in Russia, **voted to join Sweden**, but later (June 24, 1921) the League of Nations council assigned them to Finland, with the proviso that they should be demilitarized. 2

### **1918, Nov. 13**

Worker demonstrations in Stockholm demanded a general strike, establishment of a socialist republic, and organization of workers' and soldiers' councils. The government moved quickly to introduce sweeping suffrage reform. By 1919 tax restrictions, property restrictions, and gender restrictions were all abandoned, except for people on poor relief, and the voting age was set at 23. 3

### **1920, March 4**

**Sweden joined the League of Nations.** 4

## March 10

**Hjalmar Branting** formed the first purely Socialist cabinet. From 1920 to 1926 the Socialists formed three governments that ruled for all but approximately two and a half years. These Socialist cabinets enacted a large body of **social reform legislation** for both workers and peasants, and greatly reduced the military establishment. After the downfall of the Socialist government in June 1926, there followed a number of Liberal and Conservative governments.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1910, June 30](#))

## **e. Finland**

### **1917, March 21**

The Russian provisional government recognized Finland as an **independent state** within the proposed Russian federation. <sup>1</sup>

### **Dec. 6**

**FINNS PROCLAIMED THEIR COMPLETE INDEPENDENCE** of Russia, and this was recognized by the Soviet government (Jan. 2, 1918) as well as by Sweden (Jan. 4), France, and Germany (Jan. 6). <sup>2</sup>

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## **f. [Iceland](#)**

**1918, Nov. 30**

By the Act of Union, **Iceland was recognized as a sovereign state**, united with Denmark <sup>1</sup> only in the person of the ruler. But until 1944 certain affairs were to be handled jointly.

**1920**

A **Supreme Court** was established. By World War II Iceland controlled most of its own <sup>2</sup> affairs: a postal system, a banking and money system, tariff laws, and a penal system. Denmark retained control over foreign relations and protected fishing rights in Icelandic waters.

**1923**

The Althing passed the **Cultivation of Soil Act**, granting subsidies for agricultural <sup>3</sup> improvements. With the aid of modern equipment, this revitalized Icelandic agriculture.

**1937**

The Althing proclaimed that it would not seek a renewal of the treaty binding Iceland <sup>4</sup> with Denmark.

**1940, May 10**

A British garrison was accepted under protest to prevent a German invasion. <sup>5</sup>

## 1941, May 17

The **Althing** announced that Iceland would separate from Denmark.

6

## July

After an agreement, American forces replaced British forces in Iceland.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Aug. 1](#))

## 16. [Russia \(Union of Soviet Socialist Republics\)](#)



### [THE GERMAN ATTACK ON SOVIET RUSSIA, 1941-43 \(MAP\)](#)

On Germany's declaration of war (Aug. 1, 1914), the opposition parties in Russia declared their readiness to put aside domestic quarrels and support the government. Since the government failed to respond, political discontent developed rapidly. 1

### 1915, May

The **Russian defeat in Galicia** deeply stirred public opinion (See [May 2](#)), and the government was openly accused of inefficiency in failing to supply the armies. 2

### June 25

**The tsar was obliged to dismiss Gen. Vladimir Sukhomlinov**, the minister of war (tried and convicted by the provisional government in 1917), and to admit representatives of the duma and other public bodies (the Union of Zemstvos and Municipalities, the War Industry Committee, and others) to direct participation in the work of army supply and the mobilization of industry. Tsar **Nicholas** refused, however, to comply with the demand of the progressive bloc in the duma for an entirely new ministry that would enjoy the confidence of the country and be committed to a more liberal policy. 3

### Sept. 5

The situation was aggravated when the tsar dismissed the popular commander-in-chief Grand Duke Nicholas and assumed the command himself. The tsar's absence from the capital opened the way for **domination by Empress Alexandra**, known to be bitterly hostile to the duma and under the influence of **Gregory Rasputin**.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 17. [The Baltic States](#)

### a. [Overview](#)

The development of the three Baltic states after World War I was more or less along a common line. All were previously part of Russia; they were, during the war, occupied by the Germans, who ruled them through puppet regimes; after Germany's collapse, efforts were made by the Bolsheviks to recover these territories, which gave access to the Baltic. Through German and Allied aid, and by their own efforts, the Baltic forces drove out the Bolsheviks and established independent governments. In all three states there was a German minority of landed wealth and influence, against which **agrarian legislation**, involving the breakup of large estates, was directed. The democratic systems set up after the war gave rise to considerable confusion, with much party wrangling among Social Democrats, Agrarians, and others. **Communism** was an ever-present force, against which all the governments took vigorous measures. But after the victory of National Socialism in Germany, the Baltic states hastened to improve their relations with Soviet Russia in order to forestall German intervention on behalf of the German minorities. To present a common defense the Baltic states also signed the **TREATIES OF THE BALTIC ENTENTE** (Sept. 12, 1934). <sup>1</sup>

By 1939 all three of the Baltic states had gone over to some form of **dictatorship**, not from deference to the German system, but rather to forge a stronger regime for ultimate resistance to Germany. <sup>2</sup>

### 1940, July 21

**Incorporation of Estonia, Latvia, and Lithuania into the Soviet Union** after Moscow, with German aid, had in 1939 secured military bases in those countries (treaties of Sept. 29, Estonia; Oct. 4, Latvia; Oct. 10, Lithuania). Ultimatums of June 15, 16, 1940, charged hostile activities; Russia had occupied the Baltics militarily and had arranged for pro-Soviet administrations to request admittance to the Soviet Union. <sup>3</sup>

Most political and military leaders were deported soon after annexation. The discovery of the bodies of some of those arrested and executed was well publicized by the Germans and contributed to the level of mass support for them during the first months of their occupation, and to atrocities against the Jews, accused of backing Soviet rule. <sup>4</sup>

In all three republics, **German invasion** (June 1941) was accompanied by Baltic revolt. <sup>5</sup> Provisional governments were set up in all three states but were soon closed by the Germans. Thousands in each state were recruited into police battalions, while the Germans formed SS legions in Latvia and Estonia. The Germans fostered cooperation with vague promises about the future of the Baltics. The Jewish population was herded into ghettos and massacred. In July 1944 **Jewish resistance** in the remnant of the Vilna ghetto launched a revolt, but the ghetto was destroyed. The Balts who resisted the Germans did so as Baltic nationalists, not Soviet resisters; partisans were sometimes responsible for atrocities against Communists. In the summer of 1944 the Balts attempted to restore their national governments. By then the Red Army was pouring into the Baltic states, and these provisional governments lasted for only a few days. Hundreds of thousands of Balts fled with the Germans or across the Baltic to Sweden. Their places were taken by Russian-speaking immigrants and demobilized military personnel, securing the place of the Baltic states in the postwar Soviet Union.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. [Lithuania](#)**

### **1917, Sept. 18–22**

A Lithuanian conference at Vilna led to the **establishment of a national council** and a demand for independence from Russia (Dec. 11). The movement was encouraged by the Germans. 1

### **1918, Feb. 16**

**A FORMAL DECLARATION OF INDEPENDENCE resulted.** The new state was at once invaded by the Bolsheviks. 2

### **March 3**

**The treaty of Brest-Litovsk** (See [March 3](#)), however, obliged Russia to recognize Lithuanian independence. The Germans also recognized the new state (March 23) and drew it into alliance with Germany (May 14). 3

### **June 4**

**Duke William of Urach as king** was elected by the Lithuanian government. But when German power collapsed in November, this election was rescinded. 4

### **Nov. 11**



**Augustinas Voldemaras formed a national government**, the first of many short-lived cabinets. The Germans were obliged to withdraw, whereupon the Bolsheviks again invaded the country. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [Latvia](#)

#### 1917, Oct. 29

Formation of the **Latvian national council**, following the Soviet seizure of power in <sup>1</sup> Russia. Since German forces remained in the country, the national council was unable to assert its authority or build up an effective national army. For more than a year German efforts to organize a **Baltic duchy** continued.

#### 1918, March 3

According to the **Treaty of Brest-Litovsk** (See [March 3](#)) the Bolsheviks were obliged to <sup>2</sup> accept loss of the Baltic states.

#### Nov. 17

A **people's council** was set up by the Latvians after the defeat of Germany, with **Karlis** <sup>3</sup> **Ulmanis** as prime minister.

#### Nov. 18

The council proclaimed the independence of the **Republic of Latvia**. <sup>4</sup>



## **d. [Estonia](#)**

**1917, Nov. 28**

The **Estonians**, taking advantage of the Bolshevik revolution in Russia, **proclaimed their independence**, but the Soviet government at once undertook the reconquest of this strategically important area. To block the Russian advance, the Germans occupied the country (Dec.). 1

**1918, Feb. 24**

The independence of Estonia was again proclaimed, under German protection. A provisional government was formed by **Konstantin Päts**, who was to play a prominent role throughout the entire postwar period. 2

**March 3**

**By the Treaty of Brest-Litovsk** (See [March 3](#)), Russia was obliged to recognize Estonian independence. 3

**Nov. 11**

The Germans began the withdrawal from the country, following the end of World War I. They ceded complete power to Päts. 4

**Nov. 22**

The **Russians began a second invasion** of the country. The Estonians put up a valiant resistance and were supported by a British fleet. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914](#))

## 18. [Poland](#)

During World War I Poland was a pawn in the conflict between Russia and the Central powers. The Russian government made appealing promises in order to hold the loyalty of the Poles. 1

### 1914, Aug. 14

Russia promised that Poland should be **restored as an autonomous kingdom**. This policy secured the support of an important faction of Polish nationalists, led by **Roman Dmowski**, who, on Nov. 25, formed the Polish National Committee at Warsaw. 2

### Aug. 16

On the other hand, **Gen. Joseph Pilsudski** (a Russian Pole by birth and several times convicted and imprisoned in Russia for radical, revolutionary activity) founded the **Supreme National Committee** at Kraków, under Austrian protection. The Austrian government permitted the formation of Polish legions to fight against Russia. In the course of 1915 most of Poland was conquered by the Germans and Austrians, who for a time divided the administration of the territory between them. Ultimately, however, the German high command took almost complete control of the country. 3



(See [1912](#)) (See [July 28](#)) (See [1914, Aug. 5](#))

## 19. [The Balkan States](#)

### a. [Yugoslavia](#)

The history of the new state, composed of Serbia, Montenegro, Croatia, Slovenia, and Dalmatia, was marked chiefly by the efforts of the Serbs to establish a centralized Serb state and by the vigorous resistance of the Croats and Slovenes (Roman Catholic and much more Westernized than the Serbs) to secure some type of autonomy. 1

#### 1917, July 20

The **PACT OF CORFU**, signed by Serbian, Croatian, Slovenian, and Montenegrin representatives, declared that the Serbs, Croats, and Slovenes formed a **single nation**, to be organized under the Serbian dynasty. 2

#### 1918, Oct. 29

The Croatian diet announced secession of Croatia and Dalmatia from the Austro-Hungarian Empire and handed over supreme authority in the new state to the **national council**. The council then proclaimed the desire for union with Serbia and Montenegro without specifying further conditions. 3

#### Nov. 26

A **national assembly in Montenegro proclaimed union** with Serbia and declared **King Nicholas**, who had resisted previous efforts at union, **deposed** (d. March 1, 1921, in exile). 4



## Dec. 1

**Prince Alexander** of Serbia accepted the **regency** of the new state and **THE KINGDOM OF THE SERBS, CROATS, AND SLOVENES FORMALLY PROCLAIMED.** 5

The new state had numerous economic and social problems resulting mainly from the union of different systems. The old manorial system was abolished and one in four peasant families obtained land, but the holdings remained small. The Serbs represented 39 percent of the population, the Croats 24 percent, the Slovenes 8.5 percent, and the rest was an amalgam of Germans, Magyars, Albanians, Macedonians, and Bosnian Muslims. Finally, Yugoslavia had to contend with border disputes with six neighboring states, including Italy (See [1919–24](#)). 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913, July 29](#))

## **b. [Albania](#)**

The major concern of Albanian patriots during World War I was to retain independence and the borders agreed upon before the war (1912 proclamation of independence and provisional government, recognized by Treaty of London, May 30, 1913). In this effort they were aided by Albanian Americans, who underwrote lobbyists in the major capitals of Europe. The newly independent Albania was invaded and overrun by most of its neighbors during the war. 1

### **1918, Dec. 25**

A national assembly elected **Turkhan Pasha president**. The government had to deal with the incursions of the Yugoslavs in the north and the Italians on the coast. 2

### **1920, Aug. 2**

**Italy agreed to evacuate Valona** while retaining the island of **Saseno**. The Italians left on Sept. 2. But Greece and Yugoslavia maintained troops in Albania until 1922. 3

### **Dec. 17**

**Albania was admitted to the League of Nations.** 4



(See [Sept. 7](#))

### c. [Greece](#)

Greece entered the war only in June 1917 after a virtual civil war between the prime minister, **Eleftherios Venizelos**, and **King Constantine I**. The latter went into exile without formally abdicating and was replaced by his son, **ALEXANDER I**. The subsequent purge of the Greek military, administration, and judiciary of Constantine's supporters set the stage for the instability of interwar Greece. 1

#### 1920, June 22

Beginning of the **Greek offensive in Anatolia** (See [1919–22](#)). 2

#### Aug. 10

The **TREATY OF SÈVRES**: Greece obtained Smyrna, the Dodecanese (except Rhodes), eastern Thrace, Imbros, and Tenedos. 3

#### Oct. 25

**Death of King Alexander**. Regency of Queen Olga. 4

#### Nov. 14

**Defeat of the Venizelists** in the election, due to dissatisfaction with the Anatolian adventure. **Venizelos resigned**. 5

## Dec. 5

A **plebiscite**, held despite Allied warnings, showed an almost unanimous vote for King Constantine. The Allies thereupon withdrew all support from Greece. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1915, Oct. 14](#)) (See [1919, Nov. 27](#))

## d. [Bulgaria](#)

Defeated in World War I, Bulgaria not only failed to recover any of the territory lost in the Second Balkan War, but was also deprived of some further areas on the Serbian frontier and of all access to the Aegean. The country was flooded with **thousands of refugees** from Thrace and Macedonia, whom the government, loaded with debt and heavy reparations payments, was unable to settle. They formed a huge mobile element, easy converts to the revolutionary program of the **Macedonian committees** or to **Bolshevik agitators**. The drastic policy of nationalization pursued by the Yugoslav and Greek governments in Macedonia stimulated the unrest in Bulgaria, which the government was unable to control. **Raids of revolutionary bands** across the frontiers became the order of the day, creating a state of chronic tension between Bulgaria and its neighbors. 1

### 1918, Oct. 4

Abdication of **Tsar Ferdinand**. 2

### 1918–43

**BORIS III**, son of Ferdinand, tsar. 3

### 1919, Aug. 17

The **Peasant Party** won a **great victory** in the elections. 4

## Oct. 6

**Alexander Stamboliski**, leader of the Peasant Party, became premier. 5

The Communist Party, formed in 1919, not only did not join the government (despite winning 18 percent of the vote) but soon clashed with the Agrarians. Communist leaders were very active in labor agitation and in the organization of strikes, the most important of which was the **general strike** of Dec. 1919. Stamboliski opposed these actions by forming the Orange Guard, composed mainly of peasants armed with clubs, which was used to break up demonstrations. After the arrest of the leaders, the strikes collapsed. 6

## Nov. 27

**Bulgaria signed the Treaty of Neuilly** (See [1919, Nov. 27](#)). 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1916, Aug. 27](#))

## e. [Romania](#)

### 1914–27

**FERDINAND I.**

1

### 1916, Aug. 27

**Romania declared war on Austria-Hungary**, but the Romanian armies were decisively defeated before the end of the year. 2

### 1918, May 7

**Treaty of Bucharest** (See [May 7](#)).

3

### Nov. 10

**Romania** reentered the war, and Romanian forces occupied **Transylvania**.

4

### Dec. 2

A government, headed by **Julius Maniu**, Transylvanian peasant leader, was soon (Dec. 14) obliged to give way to a cabinet under **Ion Bratianu**, leader of the Liberal Party, representing the industrial, commercial, and professional classes of the old kingdom. 5



Romania's main problems after the war were economic recovery and internal consolidation of the state, primarily by the unification of legislation throughout the country. To alleviate economic problems **land reform** was partially introduced in Dec. 1918, when a decree was issued expropriating a considerable part of the great landed estates. Reform became more definite in 1921; almost 7 million acres were divided among nearly 1.5 million families, and the remainder of over 4 million acres of grassland and forest became village property to be used by the peasants on payment of a tax. As in the rest of the Balkans, reform was not enough to end rural poverty, and peasants actually cut back commercial production in favor of local subsistence. Urban conditions were also difficult, sparking frequent strikes culminating in a countrywide **general strike** in 1920.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Oct. 15](#))

## **D. North America, 1915–1945**

### **1. The United States**

The two world wars and the Great Depression completed the urban industrial transformation of America. The changes of this era accelerated the rise of the United States as a world power; heightened the process of democratization; and increased the role of the state in shaping the economy, culture, and society. After World War I **isolationism** defined most American foreign policy, but the nation's international economic role continued to expand; periodic intervention in Central America and the Caribbean also continued (See [1912](#)), (See [1914, June 26](#)). During this period the rise of new forms of **mass culture**—e.g., movies, radios, and automobiles—would also help to transform American attitudes and values. **New sexual attitudes**, including growing belief in the centrality of sex for marriage, accompanied rising consumerism. This development joined growing acceptance of **artificial birth control** devices for married couples (particularly middle class) and also new sexual suggestiveness in advertisements and movies. With radio and movies, more standardized cultural fare became available. Following the introduction of sound to feature-length films in 1927, for example, movie attendance increased by nearly 30 million people over the next three years. The cultural differences among Americans would appear less apparent than in previous years.

Still, by the end of World War II, the dynamics of class, race, and region continued to shape definitions of American nationality. Participation in two world wars expanded the federal bureaucracy, which gained expression in a number of wartime agencies: the National War Labor Board (World Wars I and II), the Selective Service system (World Wars I and II), and the War Industries Board (World War I), to name only a few. Under the leadership of Democratic president Franklin D. Roosevelt, a variety of New Deal social welfare programs reinforced the growing role of the state in the political economy. The Social Security Act, the National Labor Relations Act, and the Works Progress Administration were among the many measures that signaled the changing role of the state in American society. Supporting these developments was the rise of a new political coalition of urban workers, ethnic groups, blacks, and women. These constituents of the so-called **New Deal Coalition** demanded relief and security from the vagaries of

1

2

industrial capitalism. Significantly, FDR appointed the first woman to hold a cabinet-level position, Francis Perkins, secretary of labor.

The rise of the welfare state was by no means unproblematic. Corporate elites dominated the development of American society during this period. Following a brief recession during the early 1920s, the industrial sector (except for coal, textiles, and a few other so-called sick industries) soon recovered and prospered. Corporate mergers accelerated, and by the stock market crash of 1929 the number of such combinations had exceeded the record set during the late 19th century. As industry recovered during the mid-1920s, however, agriculture continued to face the destructive impact of competition with European products. New Deal programs had limited impact on the fortunes of American farmers. The Agricultural Adjustment Act, for example, encouraged the concentration of agricultural production in the hands of large landowners, hastened the demise of the small farmer, and reinforced the movement of African Americans from the Jim Crow South to the urban North and West. <sup>3</sup>

Despite the passage of New Deal labor legislation, industrial workers faced stiff resistance to their quest for equal rights. In 1936, it took a 44-day sit-down strike to produce victory for the CIO's United Automobile Workers. While large companies like General Motors and U.S. Steel negotiated contracts with their workers, others like the so-called Little Steel companies held out and refused to recognize the union until 1941. Women and ethnic and racial minorities also faced persistent patterns of inequality. Even during the acute labor shortages of World War II, for example, employers were reluctant to train women for available skilled jobs. Only when African Americans launched the March on Washington movement (1941) did they gain access to heretofore racially restricted defense industry jobs. Indeed, Native, Hispanic, African, and Asian Americans faced special problems, which culminated in the internment of Japanese Americans during World War II. Racism not only challenged America's domestic tranquility, but questioned its growing claims as leader of the free world. Along with new forms of repression unleashed by the cold war, fear of Communism, and the threat of nuclear annihilation, racism and questions of social justice would emerge as key issues of the post-World War II years. <sup>4</sup>

## 1915

*The Birth of a Nation* heralded as a modern cinematic triumph, although it inflamed racial hatreds by portraying African Americans as inferior and black men as threats to white womanhood. The **Ku Klux Klan was revived in Georgia during the same year** and flourished as a national movement during the early postwar years, as membership rose to over 2 million and covered urban as well as rural America. <sup>5</sup>

## 1915–17

**The Woman's Peace Party** formed following the international women's congress at The Hague. **At the same time women escalated their demands for suffrage**, which they received in 1920 with passage of the **Nineteenth Amendment**. 6

## 1916

**Alice Paul** spearheaded the formation of the militant **National Woman's Party** and advocated a constitutional amendment to enfranchise women in one stroke. 7

Under the leadership of the Jamaican **Marcus M. Garvey**, the **Universal Negro Improvement Association** established a Harlem chapter and spread rapidly among the African-American population. Emphasizing race pride and “Africa for Africans,” the organization struck a responsive chord among black Americans in the racial environment of wartime and especially postwar America. 8

## 1916–18

With the assistance of **Harriet Stanton Blatch**, the **Food Administration** launched an extensive consumer education program and became one of the most successful wartime regulatory agencies. 9

## 1917

**The AFL argued for a no-strike rule for the duration of the war. In exchange for its loyalty, it received federal support for its collective bargaining efforts.** 10

**Thirty-nine black men, women, and children lost their lives in an outbreak of racial violence in East St. Louis, Illinois.** 11

**April 6. WAR DECLARED ON GERMANY** (See [April 6](#)). Diplomatic relations with Austria-Hungary were terminated on April 8, but war was declared on Dec. 7. Diplomatic relations with Turkey were severed on April 20, but war was never formally declared on either Turkey or Bulgaria. 12

## May 18

**Selective Service Act** passed providing for the registration of those between 21 and 31 years of age, inclusive. On June 5 local draft boards registered 9,586,508 men. **The U.S. ended its traditional dependence on volunteer units for defense and used conscripts almost exclusively.** Seventy-two percent of the nation's armed forces were draftees: 13 percent black, 18 percent immigrant, and the remainder American-born. **Nearly 400,000 African Americans served in the war.**

13

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Aug. 4](#))

## **2. The Dominion of Canada**

As in the U.S., the interwar years accelerated the urban industrial transformation of Canadian society. Mobilization of resources to address the demands of World War I, the Great Depression, and World War II all increased the role of the government in Canadian life. In 1931 Canada broke its ties to imperial Great Britain and gained an independent place in the new commonwealth. The emergence of Canada as a significant world power during these years, however, was fraught with difficulties. Before the nation could consolidate its position as an independent actor in world affairs, it came increasingly under the influence of the U.S. As early as the 1920s, American companies like Ford, Chrysler, and General Motors dominated the Canadian automobile industry, which produced the second largest number of cars during the period and became a major exporter. The depression and two world wars also revealed the persistence of deep regional, class, and cultural divisions within the nation. During both world wars, Anglo-Canadians imposed conscription policies, which French Canadians fiercely resisted. Despite the enfranchisement of women and the increasing democratization of the Canadian polity during the period, women remained subordinated to men in the political economy; workers faced hostile opposition to their efforts to organize until government recognition of their right to collective bargaining occurred in 1944; and ethnic and racial groups faced stiff patterns of antagonism, including the rise of Canadian chapters of the American-based Ku Klux Klan during the 1920s and the removal of Japanese Canadians from the west coast to designated inland areas during World War II.

### **1914**

**Nationalization of the Canadian Northern Railway** forced by fear of imminent failure and a collapse of national credit. The **Grand Trunk Railway** was nationalized in 1920. The government operated about 23,000 miles of railway representing a capital investment of \$1,652,000,000, known as **Canadian National Railways**. Gradual coordination of lines occurred. Sir Henry Thornton appointed in 1922 as the nonpolitical head of the

system.

## Aug. 4

**Entrance of Great Britain into the First World War.** Message of Canada to the mother <sup>3</sup> country: **“If unhappily war should ensue, the Canadian people will be united...to maintain the honor of the empire”** (Aug. 2). Special session of Parliament called (Aug. 18) and a war budget voted. Thirty thousand volunteers embarked for England by the end of September.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Aug. 4](#))

### 3. [Newfoundland](#)

#### 1917

**Resignation of Premier Sir Edward Morris**, who was succeeded by **Sir William F. Lloyd**. 1

#### 1919, May 23

**Michael P. Cashin, premier**. Elections (Nov. 1) resulted in the overthrow of the Cashin ministry, and **Sir Richard A. Squires** became premier. 2

#### 1923

**William R. Warren, premier**. 3

#### Dec. 26

Grave **charges of misappropriation of funds** brought against Sir Richard Squires and others (later acquitted) by Premier Warren. Warren was defeated in the assembly following the arrest of Squires (April 22, 1924), and he resigned. He was succeeded by **Walter Munroe**. 4



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **E. Latin America and the Caribbean, 1914–1945**



**SOUTH AMERICA IN 1930 (MAP)**

### **1. Overview**

Though most Latin American nations, at the suggestion of the U.S. government, either <sup>1</sup> declared war on Germany or broke off diplomatic relations, they played no part militarily in World War I. Nevertheless, the war period was important for the entire region because the demand for raw materials made a **phenomenal expansion of trade** possible. Except for the slump of 1920–21, this expansion continued from 1916 to 1929. It was accompanied by **large capital investments**, especially by the U.S. after the war, and by the emergence of local industries in the more developed countries. In spite of this growth, Latin America's **dependence on exports came increasingly under attack** during these years. The liberal export model of development had already led to major crises in Mexico, and by the 1920s **growing numbers of nationalists** throughout the region were questioning the social and economic costs of the export boom. Nationalists believed that too many of the benefits of economic progress had gone into foreign hands, and that it was time to reassert national control over the wealth and resources of the region.

**The population of Latin America more than doubled** from the turn of the century to <sup>2</sup> 1940, reaching a total of 126 million. The influx of European immigrants and, after 1930, the growing wave of internal migrants expanded the political and economic weight of the cities. **Emerging urban middle classes** struggled against the great landholders and oligarchic elites for control of national governments. At the same time, the efforts of the rural workers, or campesinos (on coffee, sugar, and other plantations), were reinforced by those of workers from the oil fields, mines, and factories. These groups demanded **social**

**legislation** to protect their interests, and sought to organize the lower classes (in many instances in alliance with the middle classes, at least for a time). **Left-wing political parties**, drawing their support from these dissatisfied groups, became an important political force in the region. These parties were often very nationalistic, and in some cases began to support the cause of **women's suffrage**. Between 1914 and 1945 women gained the vote in eight Latin American countries. These basic social issues fermented throughout the continent, the world depression after 1929 further stimulating unrest.

Among the Latin American states and between Latin America and the U.S. cooperation along various lines increased, interrupted by moments of profound distrust between Latin America and its neighbor to the north. Despite Nazi propaganda campaigns prior to and during World War II, most Latin American nations severed diplomatic relations with the Axis powers. With the exception of Argentina, Latin American nations contributed to the Allied war effort. (See [Overview](#))

### a. Regional Diplomacy

1915, May 24

The first **Pan-American financial conference** met in Washington.

May 25

Conclusion of an **arbitration treaty among Argentina, Brazil, and Chile** (the ABC powers).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## b. [Cultural Developments](#)

Latin American society and culture flourished in the early 20th century. Writers, poets, artists, architects, and other intellectuals regularly used their modes of expression as vehicles for critically examining their societies. Mexican poets **Enrique González Rubio** (1871–1952) and **Ramón López Velarde** are early examples of this. Peruvian essayist **Francisco García Calderón** argued that Latin American art was a key arena in which the region might find its ancient heritage and express its independence from the colonial powers. Latin American novels as well, such as **Mariano Azuela's** (1873–1952) *The Underdogs* (1916), were harshly critical of the social problems and inequities that pervaded the region. These critiques also reflected a new “**cultural**” nationalism that was growing in the region, as evidenced by the novels of Venezuelan **Rómulo Gallegos** (1884–1969). The quality of the literature and poetry from the region was shown when Chilean poet **Gabriela Mistral** (1889–1957) won the 1954 Nobel Prize in literature. <sup>1</sup>

Latin American art took on a distinctive flavor in the early 20th century. Mexican visual artists such as **José Clemente Orozco** (1883–1949), **Diego Rivera** (1886–1957), and **Frida Kahlo** (1907–54), along with Brazilian **Cândido Portinari**, received worldwide acclaim for their distinctive syntheses of European and indigenous techniques. In Brazil, novelist **Oswald de Andrade** and painter **Tarsila do Amaral** led a modernist movement beginning in the early 1920s which rejected 19th-century European doctrines and sought inspiration in Brazil's “primitive” Indian past. Along with their contemporaries in other arts, they produced work that was very critical of their societies. Composers like Mexican **Carlos Chávez** (1899–1978), Brazilian **Heitor Villa-Lobos** (1887–1959), and the Argentine-born **Alberto Williams** (1862–1952) and **Alberto Ginastera** (1916–83) likewise integrated a variety of artistic traditions to produce world-renowned music. <sup>2</sup>

This period also saw the rise, for the first time, of **urban working-class culture** in Latin America. As an emerging group, urban workers sought new forms of entertainment and expression in Latin American cities. Dances such as the **tango** and **samba**, along with the increasingly important role that **Carnaval** played in many Latin American nations, became forums for these groups to express their views and opposition to entrenched elites in a relatively nonconfrontational way. **Soccer** as well became an important arena for the <sup>3</sup>

working classes to express their loyalties and antagonisms. (See [Cultural Developments](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914](#))

## 2. [South America](#)

### a. [Argentina](#)

#### 1916–22

**HIPÓLITO YRIGOYEN**, leader of the Argentine Radicals, was **elected president** after an electoral reform (1912) granted the secret ballot and suffrage to all males over 18 years of age. Yrigoyen introduced **modest social reforms** (factory acts, regulation of hours, pensions, etc.), but eventually gave up efforts to win over the labor movement and turned to repression to control workers. Large landowners retained their dominance, and the patronage and corruption of earlier regimes persisted. Yrigoyen refused to give up neutrality during the First World War, although diplomatic relations with Germany were strained after the sinking of Argentine ships by German submarines (1917). Argentine supplied huge quantities of wheat and meat to the Allies. 1

#### 1918

Entrance of middle-class immigrants' children into universities fueled **La Reforma**, a movement for student participation in university governance and curricular reform. It began with student strikes in Córdoba and soon spread to campuses in Buenos Aires and La Plata. Yrigoyen supported the movement, which also inspired student political activity elsewhere in Latin America. 2

#### 1919, Jan

**SEMANA TRÁGICA** (the Tragic Week). **Police and the army opened fire first on** 3

**striking workers** and then on the funeral for those killed in the massacre. Perhaps **thousands were killed** in the worker riots that followed. In the aftermath, the “Patriotic League,” an anti-Communist, anti-Semitic nativist organization, aided in the identification and persecution of surviving strikers and supporters.

## 1920

Argentina became an original **member of the League of Nations**, but withdrew from the assembly in 1921 on rejection of an Argentine resolution that all sovereign states be admitted to the League. 4

## 1922–28

**MARCELO ALVEAR**, Radical candidate, **elected president**. His attempts at fiscal austerity caused a split in the Radical Party (1924). His presidency also witnessed a growing wave of conflicts between the federal government in Buenos Aires and anti-Radical governments in the provinces. 5

## 1928

**Yrigoyen was again elected to the presidency.** 6

## 1930, Sept. 6

**General José Uriburu forced Yrigoyen from office.** Yrigoyen's assumption of wide personal powers had aroused much criticism, while the distress created by the world depression had provoked a demand for further relief measures. With Uriburu the landowning and big business and other conservative groups returned to power. This began the period (1930–43) known alternatively as either the “**Conservative Restoration**” or the “**Infamous Decade.**” Modeling themselves on the fascistic style of Mussolini's Italy, Uriburu and his followers used fraud and severe repression to decimate the radical Left. Although the Radical Party initially boycotted elections during the Infamous Decade, in 1936 they struck a deal with the conservatives (the **Concordancia**) for some power sharing. 7

## 1932–37

**Agustín Justo was elected president.** The regime maintained a system of fraud and intimidation to ensure conservative victories in the elections. Political and social unrest continued and culminated in an unsuccessful **radical revolt** in the northeastern provinces (1933–34). 8

## 1932, Nov. 17

**Carlos Saavedra Lamas**, the foreign minister, published a proposed **South American antiwar pact**, which had already been accepted by several states. Argentina also resumed full membership in the League of Nations (1933). 9

## 1933

The government launched a program of national economic recovery, which achieved some success. Part of this was the **Roca-Runciman treaty with Great Britain**, which was designed to safeguard Argentina's export markets by guaranteeing the purchase of British goods and ensuring the profitability of British firms in Argentina. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1916](#))

## b. [Chile](#)

**Chile remained neutral in the First World War** despite violation of its neutrality by both German and British warships. The war **demand for Chilean nitrate in large quantities generated a brief boom**, but the discovery of the **Haber process** for fixing nitrogen from the air in 1914 spelled the end for this industry. In the meantime, however, Chilean **copper was emerging** as an immensely important industry. U.S. firms dominated this extremely profitable enterprise. From an investment of merely \$15 million in 1912, American investments in Chilean copper totaled almost \$500 million by the late 1920s. 1

### 1919, Aug

Increasingly militant organized labor staged a **demonstration of 100,000 people** in Santiago, protesting inflation, declining wages, and government repression. 2

### 1920, Jan. 10

**Chile became a member of the League of Nations.** 3

### 1920–21

Chile suffered severely from the general world slump and the cessation of the demand for nitrate. The lower classes demanded a more democratic regime and extensive social legislation. 4

## 1920–24

**ARTURO ALESSANDRI** (1869–1950) elected president after a disputed election. Candidate of the **Liberal Alliance Party**, he advocated wide political and social reforms. His election represented a **victory for the middle classes, supported by labor elements**. But during his term, Alessandri, impeded by the elite-dominated parliamentary system, was unable to make much progress. At the same time many military officers, seeing the ineffectiveness of repression, began to pressure the government for social reforms. They did gain child labor laws, recognition for unions, and increases in army salaries. When in 1924 the government began to return to more traditional ways, the military forced Alessandri from office.

5

## 1925, Jan. 23

After control by a military junta under **Gen. Luis Altamirano**, in a climate of increasing labor militancy and widespread strikes, a **coup d'état** engineered by pro-reform officers and **led by Maj. Carlos Ibáñez** (1877–1960) resulted in the **recall of Alessandri**. At this point military leaders believed they needed to co-opt labor movements to maintain order.

6

## June

In a reversal of his earlier stances, **Alessandri cracked down on striking nitrate workers**. This initiated a period of severe government repression of labor movements.

7

## Sept. 18

**New constitution**, providing a stronger executive, broader suffrage, separation of Church and State, provincial autonomy, etc.

8

## Oct. 1

**Alessandri resigned**, in view of the continued disorder and uncertainty.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1908–12](#))

### **c. [Paraguay](#)**

#### **1912–16**

The **presidency of Edward Schaerer** saw economic development and relative political stability. Industry, ranching, and agriculture expanded, transportation and communications were improved, and foreign capital was invested. **Paraguay remained neutral during the First World War**, and in 1920 it became an **original member of the League of Nations**. 1

#### **1916–19**

**Manuel Franco, president**. 2

#### **1919–20**

On Franco's death, **José Montero**, the vice president, succeeded. 3

#### **1920–21**

**Manuel Gondra, president**. He was forced to resign by a revolutionary group. 4

#### **1924–28**

After the short presidencies of **Eusebio Ayala** (1921–23), **Eligio Ayala** (1923–24), and **Luis Riart** (1924), **Eligio Ayala was elected president**. Representing the Liberal groups, he inaugurated a policy of social legislation. 5

### 1928–31

**José Gugiari, president.** 6

### 1928–30

During Gugiari's administration, the **dispute with Bolivia over the Chaco territory came to a head**. Despite earlier agreements (1913, 1915), claims on the potentially oil-rich territory were still unsettled. In Dec. 1928, the forces of the two states clashed and war seemed inevitable. Diplomatic relations were severed and Paraguay appealed to the League of Nations, but the Pan-American conference at once offered to mediate. Direct negotiations were agreed to, but skirmishes in the contested area continued until a **temporary arrangement** (return to status quo ante) was arrived at (April 2, 1930). 7

### 1932–35

**THE CHACO WAR.** The League of Nations and the Pan-American Union both called upon the two parties to desist from hostilities and accept neutral arbitration, but to no avail. **Standard Oil of New Jersey** and **Royal Dutch Shell**, supporting Bolivia and Paraguay respectively, fueled the conflict because of a belief in rich oil deposits in the region. The Paraguayans, after a series of major campaigns, occupied the larger part of the Chaco but failed in their attempts to invade Bolivian territory. During the war the **relations between Paraguay and Chile became badly strained** because of the service of Chilean officers with the Bolivian army and employment of Chilean workmen by Bolivia. 8

### 1935

At the suggestion of the League of Nations, some 20 nations lifted the embargo on arms in favor of Bolivia, while retaining it against Paraguay. Thereupon **Paraguay announced withdrawal from the League.** 9

## June 14

**Paraguay and Bolivia concluded a truce**, at the instigation of the U.S. and five South American governments. A peace conference at Buenos Aires met in July. A **definitive peace treaty** was not signed until July 21, 1938 (approved by plebiscite on Aug. 10). The treaty provided for arbitration of boundaries between American states. The territorial award assigned the **greater part of the Chaco to Paraguay**, but provided Bolivia with an outlet to the sea by way of the Paraguay River. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1903–7](#))

### **d. [Uruguay](#)**

In the first decades of the 20th century, Uruguay enjoyed comparative stability and affluence. Massive waves of immigration in the late 19th century and increased trade with Britain brought a great deal of prosperity. After 1910 **JOSÉ BATLLE Y ORDÓÑEZ** (1856–1929) created a two-party system to prevent factionalism. The majority party, the **Colorados** (representing the middle and working classes), fought the **Blancos** (a mainly rural party) in subsequent elections. 1

#### **1907–11**

**Claudio Williams** administration. 2

#### **1911–15**

**José Batlle y Ordóñez** administration. 3

#### **1915–19**

**Feliciano Viera** administration. 4

#### **1919–23**

During the administration of **Baltasar Brum**, as in those of his three predecessors and his successors, many **social and administrative reforms** were initiated and the internal development of the country was rapid. Immigration and urbanization continued throughout the period.

5

## 1917

On the entry of the U.S. into the First World War, Uruguay expressed solidarity and later **severed relations with Germany**.

6

## 1919, March 1

**A new constitution** curtailed the powers of the president, created the **National Council of Administration** (nine members elected by popular vote and endowed with important functions), and **disestablished the Roman Catholic Church**. The council was designed to assuage Blanco opposition to continued Colorado rule and prevent them from seeking nonelectoral means of gaining power.

7

## 1920

**Uruguay joined the League of Nations**.

8

## 1923–27

**José Serrato, president**.

9

## 1927–31

**Juan Compisteguy**, like Serrato before him, continued and accelerated the policy of social reform until Uruguay began to feel the pinch of the Great Depression.

10

## 1931–38



**GABRIEL TERRA** (1873–1942), president. He represented the more advanced wing of the Liberal Party, and soon found himself in conflict with the National Council of Administration concerning the division of executive authority. This period began Uruguay's experiment with state-subsidized import substitution industrialization, funded mainly with revenues from livestock exports. <sup>11</sup>

## 1932

National women's suffrage recognized.

<sup>12</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1909–17](#))

## **e. [Bolivia](#)**

### **1913–17**

**Ismael Montes** president, for his second term in office. Increasingly, tin was outstripping silver and other products as Bolivia's main export. <sup>1</sup>

### **1917, April 13**

**Bolivia severed relations with Germany** but did not declare war. <sup>2</sup>

### **1917–20**

**José Gutiérrez Guerra, president.** <sup>3</sup>

### **1920, Jan. 10**

**Bolivia became an original member of the League of Nations.** <sup>4</sup>

### **March 16**

In the **Tacna-Arica dispute**, Bolivia took the stand that neither Chile nor Peru was entitled to the provinces. The Bolivian government appealed to the League of Nations (Nov. 1) for access to the Pacific, but the effort failed. <sup>5</sup>

## July 11

A coup d'état led to the overthrow of Gutiérrez Guerra.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1904–12](#))

## f. [Peru](#)

### 1914, Feb. 4

A military revolt led to the **overthrow of President Guillermo Billinghurst.** 1

### 1914–15

**Col. Oscar Benavides** served as provisional president. 2

### 1915–19

**José Pardo**, president. 3

### 1917, Oct. 5

**Peru severed relations with Germany**, after attacks on Peruvian ships. 4

### 1919, Jan

Workers led a three-day **general strike**, winning an eight-hour-day law for Peru's urban workers. 5

## July 4

A coup d'état led to the **resignation and imprisonment of President Pardo.**

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1912–16](#))

## **g. [Ecuador](#)**

### **1916–20**

**Alfredo Baquerizo Moreno, president.**

1

### **1917, Dec. 7**

**Ecuador severed relations with Germany** because of the submarine campaign, but did not follow most other Latin American states in joining the League of Nations at the conclusion of the war. During the war and the immediate postwar period much progress was made in education, social legislation, and above all sanitation (work of the American **Col. William Gorgas** at Guayaquil, long a center of bubonic plague).

2

### **1920–24**

**José Luis Tamayo, president.**

3

### **1924–25**

**Gonzalo Córdova succeeded Tamayo.** He was driven from office by a military revolt led by **Gen. Francisco Gómez de la Torre** (July 9, 1925).

4

### **1926–31**

**ISIDRO AYORA, president.**

5

### 1929, March 28

A **new constitution** ended the military regime set up in 1925, but paved the way for endless disputes between the executive and the legislature. Ayora had elaborate social and labor laws enacted, including **female suffrage**, and adopted many financial reforms.

6

### 1931, Aug. 25

**Ayora resigned.** **Col. Luis Alba** became provisional president but was forced to flee after a coup d'état (October). There followed a period of utter confusion, marked by conflict between the executive and legislature and between the conservative and liberal groups. After the suppression of a revolt (Aug. 1932), **Martínez Mera** became president, only to be replaced in Dec. 1933 by **José M. Velasco Ibarra**.

7

### 1932–34

The **Leticia dispute** between Peru and Colombia (See [1932–34](#)) gave Ecuador an opportunity to assert claims to portions of the Amazon Basin.

8

### 1934, Sept. 28

Partly motivated by these aspirations, **Ecuador entered the League of Nations.**

9

### 1935, Aug. 20

**President Ibarra was overthrown** by a military junta after he attempted to assume dictatorial powers. He was replaced by **Antonio Pons**, who, in turn, was forced to resign.

10

### Sept. 26

**A military dictatorship under Federico Páez** was set up, to prevent the election of a Conservative (the dominant Liberal Party was split by dissensions). 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1918](#))

## **[h. Colombia](#)**

### **1914–18**

**José V. Concha, president.** He represented the conservative groups (whose rule became known as the **Regeneración**) that had been in power since 1884 and continued to rule the country until 1930. Even the conservative administrations of Colombia were obliged to initiate a measure of social legislation to meet growing pressure from the lower classes. **Colombia remained neutral during the First World War**, but joined the League of Nations (Feb. 16, 1920). 1

### **1918–21**

**Marco Fidel Suárez, president.** 2

### **1919, Aug. 15**

Signature of a **contract with the Tropical Oil Company** for exploitation of the Colombian oil fields, one of the most important sources of national wealth. 3

### **1921, April 20**

The U.S. Senate finally ratified the **Thomson-Urrutia Treaty** (concluded 1914) (See [April 20](#)) with certain modifications, thus ending the long dispute with regard to Panama. The Colombian Congress ratified it on Dec. 22. 4

## 1922–26

**Pedro Nel Ospina, president.**

5

### 1922, March 24

An award by the Swiss federal council ended a long-standing **boundary dispute with Venezuela** in favor of Colombia. A boundary treaty with Peru settled the frontier on that side.

6

## 1924

**Banana workers struck against the United Fruit Company (UFCO)** in the Santa Marta region on the Caribbean coast. UFCO, which had set up plantations in Colombia beginning in 1901, employed over 30,000 Colombian workers (most under miserable conditions) at this time. Poorly organized, the workers were ignored by the company, which claimed that they were not really employees of UFCO but contracted labor.

7

## 1926–30

**Miguel Abadia Méndez, president.** During his administration the growing social tension found an outlet in a number of **major strikes**, in the course of which many were killed by the police and government forces.

8

## 1927

Colombian elites, centralizing their power around coffee, founded the **National Federation of Coffee Producers (FNC)**. This association combined the power of small producers into one group that could prioritize spending, control prices, and support certain projects.

9

### 1928, Dec

UFCO banana workers, better organized after their 1924 failure, struck again. On Dec. 6, <sup>10</sup> the military, in cooperation with UFCO, **opened fire on workers and villagers gathered in the town square at Ciénaga**. Perhaps thousands were slaughtered in the attack. After the massacre the government arrested numerous left-wing leaders and suppressed the unions. This incident would become an important symbol in the 1930s as the depression generated more and more support for labor militancy.

## 1930–34

**The election of ENRIQUE OLAYA HERRERA** (1881–1937), a moderate liberal, <sup>11</sup> brought to an end the long domination of the conservative groups. **The world depression brought with it a rapid decline in coffee prices**, and necessitated heavy borrowing.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1908](#))

## **i. [Venezuela](#)**

### **1909–35**

**Dictatorship of JUAN VICENTE GÓMEZ** (1857–1935), who served during this period<sup>1</sup> as either president or chief of the army. Gómez pursued a policy of nepotism and took care to have a congress entirely subservient to him. The period was marked by striking **material progress**: administrative reforms were adopted, finances stabilized (national debt liquidated, 1930), schools built, and commerce and industry encouraged. At the center of this development was the opening of the **Venezuelan oil fields** in 1918, which soon made the country a leading oil producer. Oil quickly supplanted coffee and other agricultural products as the main source of Venezuelan wealth. It also allowed new oil-based elites to challenge the old agricultural oligarchy for political power. At the same time, the oil and industrial development led to the creation of new working and middle classes. Oil workers organized the **Syndicalist Labor Federation of Venezuela** in 1928, which found support among many student groups. The latter became active opponents of the dictatorship.

### **1920, March 3**

Venezuela maintained neutrality during the First World War, but **joined the League of Nations**.<sup>2</sup>

### **1928**

The government arrested a group of **radical students**, leading to numerous worker and student demonstrations and to an abortive general strike. The incident became an important symbol for future radicals and moderates. 3

### 1929, 1931

**Revolts led by Gen. Arévalo Cedeño** were put down, as were other opposition movements directed against the Gómez regime. 4

### 1935, Dec. 18

**Death of President Gómez** ended the dictatorship. **Gen. Eleazar López Contreras** became provisional president and succeeded in suppressing the strikes and movements that broke out after the death of the strongman. 5

### 1936, April 25–1941

**Gen. Eleazar López Contreras was elected president.** 6

### 1936, July 16

A **new constitution** provided that the president's term should be limited to five years, with no eligibility for reelection. 7

### 1937, Jan

**Elections** were held for about one-third of the seats in Congress. These turned out to be a decisive victory for the Left parties, whereupon (Feb. 4) the government arrested many of the leaders of the Left (including newly elected congressmen) on the charge of Communism. Most of these leaders were exiled, and most of the leftist organizations (including the **Federation of Students**) were dissolved. The president then undertook to suppress the Left, but at the same time embarked on a far-reaching program of social reform designed to meet the needs and demands of the lower classes and to check the spread of support for leftist movements. 8

## 1940–45

The Second World War greatly increased demand for Venezuelan petroleum, causing a boom in oil-industry profits and revenues. (See [Venezuela](#)) 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1911–14](#))

## **[j. Brazil](#)**

### **1914–18**

**Wenceslau Braz Pereira Gomes, president.** The temporary unavailability of manufactured imports during World War I expanded the demand for domestic industrial goods, mainly produced in São Paulo and Rio de Janeiro. Large textile factories, mainly employing women and children, opened in both cities, coexisting alongside smaller plants and workshops. The war also spurred a shift from Britain to the U.S. as the major source of Brazilian imports and financing. 1

### **1915, May 25**

**Agreement with Argentina and Chile (ABC treaty) providing for arbitration of disputes.** 2

### **1917, 1919**

Faced with rising prices for basic goods, **Brazilian workers, including women textile operatives, declared general strikes** in the major industrial centers. The agro-export oligarchies, which also had interests in Brazil's burgeoning manufacturing industries, generally refused to recognize the unions and called upon the military to crush the strikes. **Socialist and anarchist leaders were exiled as result of the strikes**, and the oligarchic power holders refused to give in to demands for greater representation. 3

## 1917, Oct. 26

**BRAZIL DECLARED WAR ON GERMANY.** Relations had been severed on April 11 after the sinking of Brazilian ships. During the war Brazilian warships cooperated with the Allies, and Brazil furnished large stocks of food and raw materials. 4

## 1918

**Rodrigues Alves, president.** He died (1919) before assuming office. 5

## 1919–22

**Epitácio Pessoa succeeded Alves as president.** He was the only civilian from Brazil's declining northeast to serve as president during the First Republic. 6

## 1920, Jan. 10

**Brazil joined the League of Nations** as an original member. 7

## 1922

The **Brazilian Communist Party (PCB)** was founded. 8

## 1922–26

**Artur da Silva Bernardes, president.** During this time **political and economic power was beginning to shift to the new industrialists of São Paulo and their allies.** These emerging leaders began to form economic associations to promote their interests. 9

## 1922–24



Young nationalist military officers, known as *tenentes* since many held the rank of lieutenant, revolted on several occasions against the government, calling for social reform and a stronger central state. These movements were all defeated, but left an important legacy for reformist movements in the 1930s.

10

## 1924, July

**Formidable *tenente* revolt in São Paulo and Rio Grande do Sul, led by Gen. Isidoro Lopes.** After suppression of the insurrection, which involved aerial bombing of neighborhoods in São Paulo, the government undertook certain economic reforms.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1906](#))

### 3. [Central America](#)

#### a. [Overview](#)

After the declaration of war on Germany by the U.S., the states of Central America severed relations with Germany and ultimately declared war, mostly in 1918 (**Panama**, April 7, 1917; **Costa Rica**, March 23, 1918; **Nicaragua**, May 8, 1918; **Honduras**, July 19, 1918; **Guatemala**, April 23, 1918). After the war almost all of them became **members of the League of Nations** (**El Salvador** joined in 1924, the others in 1920). 1

In the political sphere most of these states continued in unstable conditions, with numerous insurrections and regime changes. Common to all of them was the growing class consciousness of the laborers on banana, coffee, and sugar plantations which came to constitute an ever more formidable challenge to the ruling groups. Despite representative machinery, the governments in many states were essentially dictatorships. 2  
During the 1920s the **U.S. government intervened frequently** (including several **prolonged occupations of Nicaragua, Cuba, and Haiti**) to protect American interests and property. This policy, among other things, aroused much hostility toward the United States throughout Latin America, and was later replaced by the **Good Neighbor Policy** (1930s), which eschewed intervention.

#### 1918, March 10

The **Central American Court was dissolved** after denunciation by Nicaragua and failure of the members to renew arrangements. 3

#### 1921–22

The **PACT OF UNION** among **Costa Rica, Guatemala, Honduras, and El Salvador**, signed at San José (Jan. 19, 1921). The agreement set up an indissoluble and perpetual union, to be called the **Federation of Central America**. A provisional federal council was organized (June 17), and **Vicente Martínez** of Guatemala became president. On Oct. 10 the federal constitution was completed, but once again the project of union was to be frustrated. On Dec. 8 a revolution broke out in Guatemala, directed against the government's policy of federation. With the success of this uprising the whole scheme fell through and the **federation was dissolved** (Jan. 29, 1922). In the ensuing years there was chronic trouble over borders between the different states, with occasional danger of war.

4

### 1922, Dec. 4–1923, Feb. 7

A **Central American conference** met in Washington at the insistence of the U.S. government, which hoped to terminate the dangerous friction between Nicaragua and Honduras. A general **treaty of neutrality** was drawn up, provision was made for the creation of a Central American Court of Justice, and measures to limit armaments and to further economic development were envisaged. The majority of the states ratified the treaties by 1926, but little was done to put them into effect. (See [Defense of the Western Hemisphere, 1939–1945](#))

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Sept. 2](#))

## **b. [Panama](#)**

### **1914**

After more than ten years, and the deaths of over 5,000 workers, the **Panama Canal was opened**.<sup>1</sup> Construction of the canal radically altered both the ethnic makeup of Panama (introducing thousands of Caribbean immigrants into the population) and the economy of the country. Panamanian elites, backed by the presence of thousands of U.S. troops in the Canal Zone, based their newfound prosperity on the international commerce associated with the canal. On numerous occasions they invited U.S. troops into the country to put down popular protests that called for improved social and economic conditions.

### **1921**

A **boundary dispute with Costa Rica**, inherited from the period of Colombian sovereignty, threatened to provoke war when Panamanian troops occupied disputed territory and armed clashes ensued (Feb.–March). The U.S. government induced Panama to evacuate the area involved, which was then occupied by Costa Rica (Aug.)<sup>2</sup>

### **April 20**

By the **THOMSON-URRUTIA TREATY** (See [1921, April 20](#)), Colombia recognized the independence of Panama. The boundaries, hitherto disputed, were adjusted, diplomatic relations established, and various accords signed (1924–25).<sup>3</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1898–1920](#))

### **c. [Guatemala](#)**

#### **1920, April 8**

**MANUEL ESTRADA CABRERA, president since 1898, was deposed by the assembly** because of his opposition to the scheme of Central American federation. 1

#### **1920–21**

**Carlos Herrera, president.** He was overthrown by a revolution (Dec. 5, 1921) led by **Gen. José Orellana**, who rejected the Central American federation scheme. 2

#### **1922–26**

**Orellana, president.** 3

#### **1926–30**

**Lázaro Chacón, president.** 4

#### **1930**

**Bautillo Palma, president.** He was overthrown (Dec. 16) by **Gen. Manuel Orellana**, who was not recognized by the U.S. and who soon resigned. 5

## 1930–31

**José M. Andrade, president.**

6

## 1931–44

**GEN. JORGE UBICO** (1878–1946) made himself president-dictator. He established close contact with the dictators of Honduras and El Salvador for the suppression of all opposition. Posing as a friend of the Indians, Ubico also oversaw the end of state-imposed forms of debt peonage in the country. In actual fact, however, the government then used vagrancy laws as a means of recruiting laborers for the coffee economy. This period also saw major railroad, land, and port concessions granted to a small number of foreign interests, with the United Fruit Company in the lead.

7

## 1935, June

By “plebiscite” **Ubico's term was extended** until 1943, and subsequently (1941) a constitutional convention extended it to 1949, but he was expelled in 1944.

8

## 1941, Dec. 8

**Guatemala declared war on Japan**, “thus expressing the solidarity of the Guatemalan government and people with the United States.” On Dec. 11 Guatemala also declared war on Germany and Italy.

9

## 1944, June

**Ubico was forced to resign** after a student and then general strike elicited strong support for the opposition from progressive military officers and urban middle-class groups. He was followed by a brief right-wing regime, however, pushing dissident groups to arm in preparation for revolutionary struggle.

10

## Oct

A coalition of urban middle-class groups, junior army officers, and working-class activists united to launch the **DEMOCRATIC REVOLUTION OF 1944**. **JACOBO ARBENZ GUZMAN** (1913–71), **Francisco Arana**, and **Jorge Toriello** established a military-civilian junta, which called for free elections in December.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1871–1914](#))

## **d. [El Salvador](#)**

### **1914**

**Alfonso Quiñones Molina became president.** He represented the **Meléndez-Quiñones family**, which would control the presidency through several members until 1927, ruling under a state of siege after 1917. <sup>1</sup>

### **1922**

Several thousand **women marching in San Salvador** on behalf of opposition politicians were attacked and **many killed by soldiers.** <sup>2</sup>

### **1923**

Signing of a **loan agreement between U.S. banks and El Salvador.** The agreement, which gave the U.S. control of customs in the event of default on loans, accelerated the emergence of the U.S. as the dominant investor in El Salvador. <sup>3</sup>

### **1927**

**Pío Romero Bosque, president.** <sup>4</sup>

### **1929**

Founding of the **Communist Party of El Salvador** (PCES).

5

## 1931

Amid high rural unemployment and a growing rural protest movement led by the founder of El Salvador's Communist Party, **Agustín Farabundo Martí**, the populist engineer **Arturo Araujo** was elected president. 6

## Dec. 2

A **coup d'état** enabled **Maximiliano Hernández Martínez** (1883–1966) to make himself president. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1912](#))

## e. [Nicaragua](#)

### 1912

Liberal revolts against the conservative regime of **Adolfo Díaz** were on the point of victory when U.S. troops were sent to Nicaragua to help put them down. After the entry of **American Marines**, the U.S. would essentially rule the country until 1925 through a series of puppet dictators. 1

### 1914, Aug. 5

**Conclusion of the Bryan-Chamorro treaty** with the United States by U.S. puppet Adolfo Díaz, giving the U.S. the right to construct a canal across Nicaragua and lease sites for naval bases. The treaty signified a concession for continued U.S. support of the Conservative regime. Costa Rica and El Salvador at once protested against what they claimed was an infringement of their sovereignty. 2

### 1916, April 13

The treaty was ratified by the U.S., with the inclusion of a declaration that its provisions were not intended to affect the rights of other states. 3

### 1916–21

**EMILIANO CHAMORRO** (1871–1966), president. 4

## 1917, March 2

El Salvador submitted the question of the Bryan-Chamorro treaty to the Central American Court of Justice, which declared the treaty to be a violation of the treaties of 1907. Nicaragua and the U.S. refused to abide by the ruling, and in the process helped to undermine the authority of the court.

5

## 1917–24

**An American financial commission**, in collaboration with the collector-general of customs, stabilized Nicaraguan finances, increasing U.S. control of the economy.

6

## 1921–23

**Diego Chamorro, president.**

7

## 1923–25

**Martínez Bartolo, president.**

8

## 1925, Aug. 3

**Carlos Solórzano elected president.** Like his predecessors he was a Conservative, but the new vice president, **Juan Sacasa** (1874–1946), was a Liberal. After the U.S.-supervised elections, the **Marines were withdrawn for a brief time.**

9

## Oct. 25

**A revolt, led by Emiliano Chamorro**, forced Sacasa and other Liberals out of the government.

10

## 1926, Jan. 14

Solórzano resigned and **Chamorro became president**. The **U.S. refused him recognition**.

11

## May 2

When a **Liberal insurrection** was started by **GEN. AUGUSTO CÉSAR SANDINO** (1895–1934), the U.S. government hastily landed forces. Dedicated to freeing the country of foreign domination and improving the lot of Nicaraguan peasants, **Sandino would fight a war against U.S. Marines and the National Guard for the next eight years**. A brief armistice was effected by the U.S. (Sept. 23); Chamorro then resigned.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1885–89](#))

## **f. [Costa Rica](#)**

**1917, Jan. 27**

**President Alfredo González Flores was overthrown** by a military coup led by **Federico Tinoco**. The U.S. refused recognition to the new regime. 1

**1919, May 6**

**Tinoco was deposed** by the Flores party. **U.S. Marines were landed** (June 4) to protect American interests. 2

**Dec. 9**

**Election of Julio Acosta as president**; the U.S. government granted recognition (1920). 3

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(See [1876–83](#))

## **g. [Honduras](#)**

### **1916, March**

**Francisco Bertrand became president** following a successful revolution.

1

### **1919, Aug**

**Insurrection of Rafael López Gutiérrez**, a Liberal. President Bertrand was obliged to flee, and U.S. Marines were landed (Sept 11). Through American mediation a civil war was avoided.

2

### **1920–23**

**Gutiérrez became president**. The elections of 1923 proved to be indecisive, however.

3

### **1924, Feb. 1**

**Gutiérrez then established a dictatorship**. The Conservatives, under **TIBURCIO CARÍAS ANDINO** (1876–1960), rose in revolt and marched on the capital. The U.S. severed relations with Gutiérrez and landed more troops. Gutiérrez was killed (March 10).

4

### **March 31**

**The insurgents occupied the capital.** Through U.S. mediation (**mission of Sumner Welles**) agreement was reached between Honduras and its neighbors, depriving insurgent bands of their bases (**pact of Amapala**, May 3). **Vicente Tosta** became provisional president, and he suppressed an attempt at further revolution by **Gregorio Ferrara** (Aug.–Oct.). A new constitution was then framed.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1884–1910](#))

#### 4. [Mexico](#)

The **REVOLUTION** that convulsed Mexico, beginning with the **insurrection against Díaz in 1910**, brought the country to total civil war by 1914. During the 34-year rule of **Porfirio Díaz** the country had gone through enormous economic changes, benefiting members of the elites and a small emergent middle class, but at the same time creating massive unrest in the countryside. The development of the railways, mines, commercial agriculture, and small-scale manufacturing transformed Mexico into a modern economy, but large numbers of subsistence peasant villages and other peripheral cultures lost their autonomy to centralized powers as well as access to their lands. During the late **Porfiriato**, unrest mounted and rural rebellions increased in frequency. By 1910 a number of factors—the depression that had begun in 1907, explosive misery and instability in the countryside, the decay and corruption of the regime, a weakened military, and discontent among affluent but disenfranchised middle-class and elite groups—came together to produce a massive social revolution. <sup>1</sup>

In regions such as **Morelos**, where plantation agriculture had made great advances during the Porfiriato, campesinos under **EMILIANO ZAPATA** (1879–1919) remained rebellious for more than a decade, demanding a return of usurped land. In **Chihuahua**, where Porfirian progress had turned the frontier into a commercialized region, cross-class coalitions under leaders such as **FRANCISCO (PANCHO) VILLA** (1877–1923) also struggled for almost a decade against Porfirian and other centralizing forces. These groups represented the most radical elements of the revolution. They sought to recreate Mexican society in a way that empowered the lowest classes. By Dec. 1914, with Villa and Zapata in control of Mexico City, their victory seemed possible. <sup>2</sup>

At the same time, members of the middle classes, foreigners, and the elites that had grown rich during the Porfiriato reacted decisively against the radical revolution. In 1914, more moderate leaders, such as **VENUSTIANO CARRANZA** (1859–1920) and **ALVARO OBREGÓN** (1880–1928), organized coalitions of old Porfirian interests and middle-class and urban working-class groups to stem the tide of the revolution. With the help of an infusion of American arms, these groups took control of the revolution by 1916, and proceeded to place all reforms within a very restrictive context. <sup>3</sup>

## 1910–11

Liberal **FRANCISCO I. MADERO** (1873–1913), after being defrauded of the presidency in the 1910 election, led a broad insurrectionary movement that **overthrew Porfirio Díaz** (May 25, 1911) and installed Madero as provisional president. 4

## 1911, Nov. 6

**Madero elected president.** Scion of a wealthy landed family, Madero soon alienated his more radical supporters with his indifference to demands for land reform. At the same time, Madero's political reforms antagonized Porfirian military officers and the U.S. ambassador, **Henry Lane Wilson**. 5

## Nov. 28

**Emiliano Zapata issued the PLAN DE AYALA**, which proclaimed that all lands, waters, and woods seized by *hacendados*, political bosses, and others during the Porfiriato due to “**tyranny and venal justice**” would be returned by his revolutionary government; he then proceeded to implement that plan in the areas under his control. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913–17](#))

## 5. [The West Indies](#)

### a. [Cuba](#)

#### 1917, April 7

**Cuba declared war on Germany.** The war period was one of great prosperity for the sugar industry, large quantities being shipped to the U.S. But after the war the market collapsed, with serious results for Cuba. <sup>1</sup>

#### 1920, March 8

**Cuba joined the League of Nations.** <sup>2</sup>

#### Nov. 1

**Dr. Alfredo Zayas**, candidate of the coalition National League, elected, but his opponent, <sup>3</sup> José Gómez (Liberal), launched accusations of fraud. To prevent conflict the U.S. government sent **Gen. Enoch Crowder**, who arranged for new elections (March 15, 1921), which resulted in another victory for Zayas.



(See [1901](#), [May 27](#), [Dec. 2](#))

## **b. Puerto Rico**

### **1915**

**Santiago Iglesias** founded the **Puerto Rican Socialist Party (PS)**. As part of a growing militant labor movement, based in both the urban and the rural sectors, Iglesias led strikes, helped found labor unions, and struggled against the invasion of U.S. goods and capital. <sup>1</sup>

### **1917, March 2**

**The JONES ACT**, making Puerto Rico a territory and granting U.S. citizenship to its inhabitants. Voting was made compulsory. Proportional representation was established by means of a “limited vote” for certain senators and representatives. It was further provided that U.S. internal revenue collections on the island should be paid into the Puerto Rican treasury. (Subsequently permission was accorded the island to collect U.S. income tax for the benefit of the local treasury.) With such assistance, the budget of the insular government increased from about \$2 million in 1901 to \$11 million in 1924. More than half of these funds were derived from what would normally be federal taxation. At the same time, however, the island continued to be run by appointed governors from the mainland United States with little experience or knowledge of Puerto Rico. <sup>2</sup>

### **May**

The U.S. having declared war on Germany, the **selective draft was extended to Puerto Rico** by request of the insular government. Some 18,000 men were inducted into service. <sup>3</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Virgin Islands](#)

1916, Aug. 4

**AMERICAN-DANISH TREATY**, by which Denmark agreed to cede the Danish West Indies (about 100 islands with a total area of 132 square miles) to the United States for \$25 million. The treaty was ratified on Jan. 17, 1917, and formal possession was taken on March 31 of the same year. Danish laws were allowed to remain in effect. 1

The population (c. 26,000 in 1917) suffered much from economic distress. The **sugar industry** of St. Croix had been in a process of concentration and many small sugar mills had been abandoned. Ultimately all grinding was done in three large “centrals.” Many laborers were thereby thrown out of employment. The loss of free port status, which had existed under Danish rule, reduced the trade of the islands, especially of St. Thomas. The American Prohibition law (1919) further destroyed the market for sugar products, though bay rum continued to be manufactured. The main achievement of the U.S. administration was the **development of education**. 2

1931, Feb

After a succession of governors from the U.S. Navy, the U.S. established a **civil government** for the islands, making St. Thomas the capital. **Paul M. Pearson** became the first civil governor. 3

March

The **depression** became so pronounced in the islands that President Hoover referred to them as “an effective poorhouse,” with 90 percent of the population dependent upon the bounty of the U.S. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1899–1916](#))

#### **d. [The Dominican Republic](#)**

##### **1914, June 26**

Fearing for the safety of U.S.-owned sugar estates, **the U.S. government intervened in Dominican struggles** to restore order. 1

##### **1916, May**

Further outbreaks resulted in further intervention. 2

##### **Nov. 29**

**U.S. MARINES INVADED AND OCCUPIED THE COUNTRY.** Immediately the American occupying force took over banks and customs houses and broke up small-scale peasant holdings to protect and expand U.S.-owned enterprises. U.S. administrators devastated traditional landholders by imposing modern landownership regulations in the country. This generated opposition in the republic as well as in the U.S., and made the Americans anxious for an early withdrawal of the occupying force. 3



(See [1915, July 3](#))

### e. [Haiti](#)

#### 1914, Dec. 17

**Fearing German designs on Haiti, and wanting to protect American commercial interests there, U.S. Marines landed** at Port-au-Prince and seized \$500,000 in gold coin from the National Bank. These actions marked the beginning of a 20-year period during which American troops would occupy Haiti (permanent occupation began in July 1915). The country had been in a state of constant unrest for several years, following upon a century of economic and environmental decline due in part to the inefficiency of Haiti's peasant-based agriculture. Unrest was intensified by the tensions between Haiti's small (10 percent) mulatto population, which held most of the power and wealth, and the large black population, which lived in extreme poverty. During the occupation the U.S. controlled Haitian customs and the police. 1

#### 1915–22

**Philippe Dartiguenave, president.** 2

#### 1915, Sept. 16

Due to a fear that Haitian instability would make the nation an easy target for outside powers, the **U.S. Marines occupied Haiti** (to stay there until 1934). The U.S. also **took over the financial administration** of the country and the customs houses in order to ensure timely payment of the Haitian foreign debt. Over the next three decades the U.S. would come to control most aspects of Haitian political life, from the organization of the 3

military to the choice of political leaders.

## 1918, June 19

A **new constitution** was introduced.

4

## July 12

**Haiti declared war on Germany.**

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## **F. The Middle East and North Africa, 1914–1945**



### **THE MIDDLE EAST BETWEEN THE WORLD WARS (MAP)**

#### **1. Overview**

Between the two world wars, several forces—both internal and external—combined to produce **unprecedented change** in the societies, cultures, economies, and political systems of the Middle East and North Africa. The most disruptive of these forces was **European imperialism**, which reached its zenith during these decades. **Britain and France** (together with Italy in Libya and Spain in part of Morocco) possessed extensive **colonial dominions** and wielded considerable **influence** even in countries that they did not rule directly. Only **central Arabia** escaped formal **European administration and/or occupation** for the entire length of the interwar period. But European domination did not go entirely unchallenged. In several countries, **nationalist movements** emerged for the first time and forced the Europeans to **cede a degree of power** to native elites or even to grant **nominal independence**. <sup>1</sup>

The most far-reaching consequence of European intervention was the **destruction of the Ottoman Empire** after World War I. In lands that had formerly been unified, the Europeans laid the foundation for an entirely **novel system of states** that, in spite of its artificiality, persisted into the late 20th century with few modifications. The **ruling elites** of these states were generally drawn from **great landowning families**. They modeled their regimes on the Western democracies and created **Western political institutions** such as **constitutions, parliaments, and political parties**. In reality, power was concentrated in the hands of the elites. Democratic institutions were subject to constant **manipulation**, whether from the **elites** or from the **European powers**. The abuses of the <sup>2</sup>

political system bred **disillusionment**, which expressed itself in the rise of **Fascist organizations, Muslim political movements, and pan-Arab ideologies** during the 1930s. At the same time, a **new generation** composed of young professionals, bureaucrats, and junior army officers began to appear on the political scene. These men grew increasingly disenchanted with the political establishment but were not yet prepared to challenge the ruling elites.

In economic affairs, the interwar period was marked by **economic stagnation**. The **Great Depression** <sup>3</sup> was a devastating blow to the region, but many areas partly recovered during the boom generated by World War II. Within the world economy, the Middle East and North Africa essentially maintained their roles as suppliers of raw materials to and importers of finished goods from industrialized countries. As in the 19th century, Europeans occupied **critical positions in the economy** through their **banks, commercial houses, and insurance firms**. Overall, the region's economy continued to be dominated by **agriculture**. Though several countries founded modern **industries**, development in this sector proceeded slowly (except in Turkey). Outside Turkey and Iran, no regimes engaged in economic planning. The **oil industry**, operated by foreign firms, was still moving through the developmental phase. The few oil fields in production supplied a negligible proportion of total world output.

The modes of **transportation and communication** underwent a revolution during the interwar period. **Automobiles** made their first appearance but remained the exclusive possession of the well-to-do. More important was the spread of trucking, which gradually replaced camels for the hauling of goods. **Rail networks** were still growing and received heavy investment, but generally remained inadequate except in Turkey and Egypt. **Air service**, provided mostly by foreign firms, became available for the first time for both passenger and commercial traffic. In communications, **radio and film** quickly established themselves as popular sources of news and entertainment. <sup>4</sup>

The **population** of the region was **expanding** rapidly, over 1.5 percent per year. The increases resulted from a high fertility rate coupled with improvements in hygiene, diet, and medical care. In 1914 the total number of inhabitants stood at about 66 million (54 million for the Middle East and 12 million for North Africa). These figures reached approximately 101 million by the end of World War II (81 and 20 million, respectively). Most of the population still lived in the **countryside** (over three-quarters in most places), but the proportion of urban dwellers was rising fast. **Pastoralists** were rapidly disappearing, usually settling down as farmers. <sup>5</sup>

The **educational system** steadily expanded under government supervision. Yet **illiteracy** <sup>6</sup> remained rampant, for education was largely restricted to a privileged minority. Through the educational system, as well as the various media, the elites gained exposure to **Western ideas, attitudes, and tastes**, which they eagerly adopted. They actively sought (most radically in Turkey) to **secularize** their societies, particularly in law and education. Another sign of Western influence was the emergence of a fledgling **feminist movement**,

which demanded modest reforms in the legal and educational systems.

All the new ideas and social reforms were bitterly opposed by **members of the religious establishment**.<sup>7</sup> In this respect, the men of religion expressed the views of the great majority, who professed an unshakable **devotion to religion and custom**. Traditional attitudes held out even as the forces of modernity inexorably reshaped the societies of the region. (See [Overview](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913–14](#)) (See [Nov. 13](#)) (See [Nov](#)) (See [Aug. 10](#))

## 2. [The Middle East](#)

### a. [The Ottoman Empire and Turkey](#)

#### 1914

Production of the **first Turkish film**, a documentary entitled *The Demise of the Russian Monument in Ayestefanis*. 1

#### Sept. 9

**Abolition of the Capitulations** by the Ottoman government. 2

#### Oct. 29

**OTTOMAN ENTRY INTO THE FIRST WORLD WAR** as one of the Central powers. The huge military effort placed a **great strain on Ottoman society and the economy**. Large-scale **conscription** affected some 3 million men (more than half of whom may have deserted). The general population had to contend with rampant **inflation** and the shock of a 2500 percent increase in the **cost of living** between 1914 and 1918. **Trade and communications** were disrupted, and consumers faced **widespread shortages** of basic goods. Some areas of the empire experienced **disastrous famines**, such as the one that struck Syria and Lebanon in 1915–16 and claimed an estimated 100,000 victims. 3



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, May 20](#))

## **b. [Iran \(Persia\)](#)**

### 1919

Arrival of the **Iranian delegation** at the **Paris peace conference**. The Iranian representatives sought the termination of the Capitulations, war reparations, and the cancellation of the 1907 Agreement. In addition, they demanded that the western border of Iran be fixed at the Euphrates River in the west and that it extend to the Oxus River in the northeast. At British insistence, **the delegation was not officially recognized in Paris**. 1

### Aug. 9

**Anglo-Iranian agreement**, amounting in reality to the establishment of a British protectorate. The British promised to guarantee Iran's independence and territorial integrity, and offered material and technical aid to the government. 2

Within Iran, **opposition to the treaty quickly mounted**. The national assembly (Majlis) never approved it, and in 1921 the government officially repudiated it. 3

(See [1911](#))

### **c. [Afghanistan](#)**

#### **1919, Feb. 20**

**Murder of AMIR HABIBULLAH**, which touched off a **struggle for the succession**.<sup>1</sup> His brother, Nasrullah, was proclaimed emir by conservative factions that had opposed Habibullah's modernization program and his acquiescence to British foreign policy in the region. But the emir's third son, **AMANULLAH**, won the backing of the army and soon **emerged as the new ruler**.

#### **1919–29**

**EMIR (KING) AMANULLAH**. The emir, who assumed the title of king in June 1926,<sup>2</sup> **embarked on a modernization program** that became the central theme of his reign. He **introduced a series of reforms** that tried, often with little effect, to reshape the government, the national infrastructure, and the legal system. The reckless pace of these reforms led ultimately to his undoing.

#### **1919, May–Aug**

**The Third Afghan War**. Afghan troops invaded the Indian frontier but were soon driven<sup>3</sup> back. An armistice was signed at the end of May. In the **Treaty of Rawalpindi** (Aug. 8), the British formally recognized the sovereignty of the Afghan state, but also terminated their annual subsidies to the Afghan treasury.

## 1921

Enactment of a **new family code**, which banned child marriage and marriages between close relatives (on the grounds that they were contrary to the teachings of Islam). The new law also put a cap on wedding expenses, including the value of the dowry. 4

### Feb. 28

**Soviet-Afghan Treaty** of mutual recognition. The two countries signed a nonaggression pact on Aug. 31, 1926. To the Afghan government, the Soviets represented a counterweight to the pressure from British India. 5

### March 1

Signing of a Turkish-Afghan treaty of friendship, as Amanullah tried to cast himself as a pan-Islamic leader. A similar treaty with Iran followed on June 22. 6

### Nov. 22

**Anglo-Afghan Treaty**, by which Afghanistan secured full and formal independence. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Dec. 19](#))

## d. [Egypt](#)

### 1917–36

**SULTAN (KING) AHMAD FU'AD.** He succeeded his father, **HUSAYN KAMIL**, who died on Oct. 9, 1917. In March 1922, Fu'ad assumed the title of king. His reign was marked by the unceasing **ambition to acquire** real as well as nominal **power**. He used his constitutional authority to manipulate the political system and undermine popularly elected governments. Nor was he averse to cooperating with the British in order to further his own political aims. His boldest move was the dismissal of the Sidqi government (1933), after which he attempted for over a year (until Nov. 1934) to rule through palace officials and cronies. <sup>1</sup>

### 1917

Death of **Shibli Shumayyil** (b. 1860), an author of Syrian Christian background. He became a vocal champion within the Arab world for **science and the scientific outlook**, and believed that societies organized on scientific principles would eventually supersede those based on religion. <sup>2</sup>

### 1918, Oct. 17

Death of **Malak Hifni Nasif** (b. 1886), the **first outspoken female writer on women's issues**. Her ideas resembled the reforms first proposed by Qasim Amin, but her thought was generally more conservative. Among her chief demands were compulsory primary education for women, the opening of higher education to women who wished to pursue <sup>3</sup>

their studies, the retention of the veil, and a ban on marriages in which members of the prospective couple had not met each other beforehand.

## Nov. 13

A **delegation (wafd)** led by **SA'D ZAGHLUL** requested permission to leave for London <sup>4</sup> to begin negotiations on the postwar status of Egypt.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913–14](#))

### e. [Syria](#)

#### 1919, July 2

The **General Syrian Congress** in Damascus passed a resolution affirming its **opposition** <sup>1</sup>  
to a **French mandate in Syria**.

#### Oct. 9

Appointment of **Gen. Henri Gouraud**, an official in the French administration of <sup>2</sup>  
Morocco, as **French high commissioner for Syria**. The ideas for early French policy in  
Syria were drawn largely from French experience in Morocco, where conditions were  
quite different. This led to misunderstandings.

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(See [1913–14](#))

## f. [Lebanon](#)

### 1918, Oct. 7

**French landing in Beirut** following the Ottoman evacuation of Lebanon. **British forces** <sup>1</sup> entered the city the next day and formally imposed a military administration under French supervision.

### 1919, Nov. 10

The French government under Clemenceau announced its **support for a separate** <sup>2</sup> **Lebanese state.**

### Nov. 21

Arrival in Beirut of **Gen. Henri Gouraud**, the high commissioner for the French <sup>3</sup> mandate.



(See [1913–14](#))

## **g. [Palestine](#)**

### **1917, Nov. 2**

**Publication of the BALFOUR DECLARATION by Britain.** The document later became the **foundation of British policy in Palestine** and the **basis of Zionist claims for settling in the territory**. The text stated that the British government would support “the establishment in Palestine of a national home for the Jewish people, and will use their best endeavours to facilitate the achievement of that object, it being clearly understood that nothing shall be done which may prejudice the civil and religious rights of existing non-Jewish communities in Palestine.” <sup>1</sup>

### **Dec. 9**

Entry of British troops into Jerusalem. Palestine was immediately placed under a British military administration. <sup>2</sup>

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(See [1913–14](#))

## **h. [Transjordan](#)**

### **1920**

The best available estimates have put the **population** at around a quarter of a million inhabitants, 90 percent of whom were Muslim. Nearly half the people were nomads, and there were no large towns. <sup>1</sup>

### **Nov. 11**

**Arrival of the Hashemite emir ABDALLAH** at the city of Ma'an. **ABDALLAH** had previously been promised the throne of Iraq, but it went to his brother Faysal after the latter was driven from Syria by the French. The territories that would later compose Transjordan were remnants of Faysal's Syrian kingdom which lay outside the French mandate for Syria and the British mandate for Palestine. <sup>2</sup>

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(See [1913–14](#))

## **i. [Iraq](#)**

### **1920, May 5**

**The League of Nations mandate** for Iraq was formally accepted by Britain. The newly created country, made up of the former Ottoman provinces of Baghdad, Mosul, and Basra, had a **population of around 3 million**, about 80 percent of whom spoke Arabic as their first language (some 15 percent were primarily Kurdish speakers). About 90 percent of Iraqis were Muslims, the majority of them (60 percent) Shi'ites. Four-fifths of the population was rural, and Baghdad ranked as the largest urban center, with some 200,000 residents. 1

### **June**

**Anti-British revolt** in northern and central Iraq, which lasted most of the summer. 2

### **Oct. 1**

Arrival of **Sir Percy Cox** as **British high commissioner** in Iraq. 3



(See [1914, May](#))

## **j. States of the Arabian Peninsula**

### **1914, Nov. 3**

**Kuwaiti independence** under British protection. 1

### **1915, Dec. 26**

**Treaty between IBN SA‘UD and the colonial government of India.** The Indian government recognized Najd and several territories along the Persian Gulf as the independent possessions of Ibn Sa‘ud. 2

### **1916, Nov. 3**

British treaty with **Qatar**, making it a **veiled protectorate**. 3

### **1918, Dec**

**Surrender of the Ottoman garrison in Yemen**, which had successfully repelled all British attacks and reached within 20 miles of Aden. Several members of the former Ottoman bureaucracy agreed to stay in Yemen and work for **IMAM YAHYA**, who was maneuvering to become ruler of the northern half of Yemen. 4

## **1919**

After being rebuffed in negotiations by Imam Yahya, the British awarded the region of Tihama, including the city of al-Hudayda, to the tribal ruler of Asir. 5

## 1920

**Treaty of Sib**, mediated by Great Britain. The sultan of Oman relinquished the right to intervene in tribal affairs in the Omani interior. 6

## Aug

Saudi conquest of Asir. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Sept. 11](#))

### 3. [North Africa](#)

#### a. [Morocco](#)

#### 1914

Publication of **decree that divided all lands into alienable and inalienable property.** <sup>1</sup>  
The first category comprised private holdings and all public lands. The second consisted chiefly of collectively owned tribal lands.

In 1919 a related decree was issued by which the French sought **to reclassify a large part of the collective tribal lands.** <sup>2</sup> An office was created to determine what portion of these lands was needed by the tribes. The remainder was turned over to the state, which in practice sold large plots to European settlers. By these methods and others, the **amount of land held by the French rose** to 675,000 hectares by 1932, most of it lying in fertile plains.

#### Sept. 11

Decree by Resident-General **Lyautey** empowering **local Berber village councils to function as courts and to use their customary law as the official legal code.** <sup>3</sup> The French tried to present this policy as a defense of local traditions, but both measures were in fact innovations. In the short term, **the French sought to avert possible Berber insurrections** as French troops were being moved to fight the Germans. Looking further ahead, the French authorities hoped to foster a separate Berber identity within Morocco and thus create divisions within the local population.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1914](#))

## b. [Algeria](#)

### 1919, Feb. 4

Extension of **French citizenship to all Muslim veterans** of World War I in Algeria. <sup>1</sup>  
Under the previous law, French citizenship was unobtainable without conversion to Christianity. Yet this proposal affected few Algerians directly and became moot anyway when the **French government**, under heavy pressure from the colonists, **later withdrew the offer**.

### 1926

Founding in France of the **Étoile Nord-Africaine** by **Messali al-Hajj**. The purpose of <sup>2</sup>  
this organization was to coordinate the political activities of Algerian workers residing in France. It quickly assumed a nationalist character and **opposed all forms of union with France**.

### 1931

Creation of the **Association of Ulama** under the guidance of **Abd al-Hamid ibn Badis**, a <sup>3</sup>  
modernist (*salafi*) religious leader whose ideas owed much to the thought of Muhammad Abduh. The program of the organization had **two main goals: the reform of Islam**, namely the purging of Sufi doctrines, which were held to be superstitious corruptions of the pure faith; and **the cultivation of the Arabic language in schools and the general promotion of Arabic culture** throughout the country.

## 1934, Aug. 3–5

**Violent Muslim attacks on Jews in Constantine** caused widespread damage to Jewish property and the loss of 23 Jewish lives. 4

## 1936, June

An **Islamic congress** in Algiers. Following the electoral victory of Leon Blum's Popular Front in France, Algerian activists believed they could wrest key concessions from the new government. Among their demands were universal male suffrage irrespective of religion, the complete administrative absorption of Algeria into France, permission for Muslims in matters concerning personal status to live by Muslim law, and the abolition of all legal restrictions on Muslims. On the whole, the program of the congress represented **the last attempt by Muslim leaders to take seriously French promises of full assimilation and equality.** 5

## Dec

**Defeat of the Blum-Viollette Bill** in the French Chamber of Deputies. The bill would have conferred full French citizenship on a minority of Muslim Algerians, namely former officers in the French army and university graduates. **Conservative and colonial opposition** to the legislation kept the matter from ever being debated by French deputies. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

(See [1912](#))

### **c. [Tunisia](#)**

#### **1919, Sept. 12**

A Franco-Italian agreement ceded several oases in southeastern Tunisia to Libya. In addition, all Italians residing in Tunisia received the same legal status as Frenchmen. 1

#### **1920, June 4**

Creation of the **DESTOUR PARTY** (Tunisian Liberal Constitutional Party), which was dominated by the landed and religious elites. The party called not for independence but for **a reform of the colonial government** to permit greater Tunisian participation. The bey, **MUHAMMAD AL-NASIR**, threw his support behind the party's program in April 1922. 2

#### **1921, Nov. 8**

Grant of **French citizenship to all French residents of Tunisia** who had at least one parent who had been born in the country. The government simultaneously bestowed citizenship on all children of Tunisian-born Europeans. French authorities considered this ruling necessary because of the legal fiction by which the Tunisian government formally—if not actually—exercised internal sovereignty. Under the previous arrangement, Tunisian-born Europeans had been viewed only as Tunisian citizens. Following British protests, the **law was modified** (May 24, 1923) to allow the children in question to choose the European nationality they preferred. 3

## 1922, July 13

**Administrative reforms** in response to the demands of Tunisian nationalists for greater participation in the government. The French created a **network of councils** composed of both Frenchmen and Tunisians, but the jurisdiction of these bodies extended only to economic matters. 4

## 1924, Oct. 12

Organization of the **Confédération Générale des Travailleurs Tunisiens** by political activist **Muhammad Ali**, who was arrested soon afterward. 5

## 1926, Jan

Restrictions on political activity and the press. 6

## 1932, Dec

**Controversy over the burial of Muslim apostates.** The mufti of Bizerte declared that Tunisians who had obtained French citizenship—and by doing so had necessarily renounced Islam—were not allowed to be buried in Muslim cemeteries. Most prominent religious officials concurred with this ruling. As a result of the widespread furor, the colonial government had to set aside special cemeteries for the Christian converts. 7

## 1934

Death of **Abu al-Qasim al-Shabbi** (b. 1909), one of the most notable Romantic poets in the Arab world. Poetry in this style was characterized by a desire to innovate and break with classical and neoclassical expression. The Romantic poets often looked to the cultural scene in Europe for inspiration and guidance. Other leading poets of this school outside Tunisia were, to name only a few, **Ahmad Zaki Abu Shadi** (1892–1955), **Khalil Mutran** (1872–1949), **Abd al-Rahman Shukri** (1886–1958), and **Abbas Mahmud al-Aqqad** (1889–1964). Romanticism flourished in Arabic poetry throughout the interwar period. 8

## March 2

Establishment of the **NEO-DESTOUR PARTY**, of which **HABIB BOURGUIBA** <sup>9</sup> became the leader. Membership in the party appealed to those who had grown up in Tunisia but received an advanced education in France, giving them an appreciation of and ambivalence toward both cultures.

The party was outlawed only six months after its appearance. The colonial regime jailed <sup>10</sup> Bourguiba and did not release him until 1936.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1912–14](#))

## **d. [Libya](#)**

### **1918, Nov. 18**

Proclamation of the **Tripolitanian Republic** by an alliance of tribal leaders and *ulama*.<sup>1</sup>  
The new government had a highly provisional character, which became evident in negotiations with the Italians. The Tripolitanian delegation expressed its willingness to drop the demand for independence in exchange for internal autonomy and full legal equality for its people with Italians.

### **1919, June 1**

**Fundamental Law of Tripolitania.** The Italians promised to grant Italian nationality and full civil and political equality to Libyans.<sup>2</sup>

### **Aug**

**Dissolution of the Tripolitanian Republic.**<sup>3</sup>

### **Sept. 12**

A Franco-Italian agreement transferred several oases in southeastern Tunisia to Libya.<sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, May 21](#))

## **G. South and Southeast Asia, 1914–1945**

### **1. India**

The period encompassing the two world wars marked more than the worldwide conflict between Fascism and democracy or socialism/Communism. This was also the period in which imperial powers were profoundly challenged by colonized areas demanding to become nation-states in their own right. British India, as the **first locus of a full-blown nationalist movement**, created a model—the **Indian National Congress**—soon to be followed across the colonized world, from Southeast Asia to Africa. 1

Nationalist ideology arose from a complex set of interactions in British India, producing a number of side effects that still loom large in postcolonial South Asia. The general process involved the identification of “imagined communities” and mobilization of public support around these ideological constructions. The dominant pattern involved an all-India, nationalistic definition of community—in which M. K. Gandhi played a key role—which, because of the symbolic vocabulary used, was evocatively Hindu and north Indian in nature. The Indian National Congress, while not the only actor on this nationalist stage, managed to remain the key organization in directing resistance to the British through nationalism. 2

In part prompted by these same processes, and in part as a reaction to the vocabulary invoked by congress, other definitions of community also emerged. Many Indian Muslims, for instance, regardless of the stark differences among them, were led by these developments to define a separate but overlapping identification for themselves. Similarly, in south India, a regional movement grew up around the Tamil language which collapsed into one community identity a range of cultural, religious, and linguistic markers. In most of these movements, proto-class distinctions were deliberately downplayed in favor of other shared characteristics; in the west and the south, however, the domination of the nationalist movement by Brahmans led to “non-Brahman” movements essentially focused on lower-class or caste interests. 3

It is possible to argue that these “imagined communities” emerged especially in response to government institutional changes, in which the identification and, especially, the 4



counting of people as part of one community or another became increasingly important as constitutional changes allowed for more democratic participation in governance. But equally important were movements aimed at religious reform which, for the first time, emphasized individual action as the basis for identity; the passionate activism attached to devotionalism was extended to various movements in defense of other forms of community as well.

Events in the larger world helped to shape both the demands by Indians for greater autonomy and British reactions to these demands. Indeed, the interests of the British Indian government were often at odds with those of the British government at home. Moreover, the question of Indian support for British war efforts was much more straightforward during World War I than it was by the time of World War II, when little progress seemed to have been made toward self-rule, and the impact of the world depression had underscored the disadvantages of India's links to the larger world. Rapid population growth from 1921 (1.1–1.4 percent annually) exacerbated social and economic tensions.

5

### 1914, Aug. 4

Britain at war with Germany, making India automatically a combatant. Indian leaders responded loyally, and during the first two years of the war the political situation in India was comparatively quiet. The imperial legislative council voted a gift of £100 million toward Britain's war effort. British India and the Indian states provided about 1.2 million troops (combatants and laborers), who took part in the campaigns in Europe, Mesopotamia, Palestine, Egypt, and East Africa. During the second half of the war unrest became more and more prevalent, with rising prices and heavy taxation adding to popular discontent.

6

### 1915

**Madan Malaviya, Sir Sundar Lal, and Annie Besant**, the Theosophist leader, founded the Benares Hindu University. Besant organized the Home Rule League outside the Indian National Congress. The return from imprisonment (since 1908) of **Tilak**, and the deaths of **Gokhale** and **Pherozeshah Mehta** opened the way for a reunion of the moderate and extremist groups in congress. Meanwhile the Muslim leaders **Abul Kalam Azad** and **Mohammed Ali** were interned for opposing Muslim participation in the war against the Ottoman Empire.

7

## 1916–21

**Baron Chelmsford**, viceroy. He was met at once with a demand for increased self-government made by 19 Indian elected members of the imperial legislative council. This was elaborated in the scheme, approved in December by the Indian National Congress and the All-India Muslim League meeting simultaneously at Lucknow, calling for dominion status, extension of the franchise, 80 percent of legislative councilors to be elected rather than government-appointed, and half the members of executive councils to be responsible to the legislatures. The efforts of Tilak and **M. A. Jinnah** produced the **Lucknow Pact** between the congress and the league, recognizing separate electorates for the Muslim minority, giving them more seats in the legislatures than their numbers required (“weightage”), and allowing three-fourths of the Hindu or Muslim legislators to veto any measure affecting their communal interests.

8

## 1917

Tilak and Besant carried on a vigorous agitation for home rule. To forestall serious trouble, and embarrassed by the revelation of maladministration of the Indian forces in Mesopotamia, the British government, through the new secretary of state for India, **Edwin Montagu**, made an important policy change in August.

9

## Aug. 20

The British government announced a policy of developing **self-governing institutions** in India, with a view to introducing responsible government. Montagu visited India in 1918 and together with Lord Chelmsford worked out a report (April 22, 1918) for limited self-government, presented to Parliament in July, which was denounced by the congress as “disappointing and unsatisfactory” and similarly condemned by the Muslim League. The moderate members of the congress seceded and formed the **National Liberal Federation** (Nov. 1918), pledged to cooperate with reforms.

10



(See [Southeast Asia, 1753–1914](#))

(See [1906](#))

## 2. [Southeast Asia](#)

The period between the two world wars saw significant social change, including the emergence of nationalism throughout the region. The course of events during World War II significantly heightened these changes because they strengthened the demands for independence. 1

**Peasant rebellions** punctuated the period. Seldom if ever “nationalist” in their ideology, they nevertheless responded to the increasing interference of Western colonial rule in peasant welfare and social values via administrative, economic, and social changes. Such peasant uprisings continued a historical pattern that had preceded the colonial era. 2

**Common characteristics** among peasant revolts included a rural and agrarian setting; highly localized frames of reference; a leadership characterized by emphasis on return to “traditional” values; and, often, strong religious overtones. Representing resistance to changing times and seldom espousing far-reaching aims, these movements therefore differed in character and intent from urban-based nationalism, which they often paralleled. Eventually, however, they were absorbed into the urban-based nationalist movements.

The emergence of nationalism during this period owed much to the hastened process of urbanization. Part of this process related to the establishment of new urban centers: these developed primarily in response to demands of alien trade and commerce but also as important communication and administrative centers for the surrounding countryside. Part of the process also related to the emergence of new elites: as traditional elites were displaced by colonial changes, new urban elites grew up to serve the administrative and commercial needs of the colonial powers. Because of their exposure to Western education, members of this elite had aims and ideas that owed a great deal to Western ideas and organizational forms. Social change thus resulted, as well, in new social security networks and new interest groups: the formation of “voluntary associations” proved especially significant in influencing the patterns of nationalist activities. Beginning with recreational gatherings, especially football clubs, these voluntary associations soon expanded to include cultural and intellectual societies focused on self- 3

improvement and ranged from debating clubs to literary circles, study groups, religious reform societies, and language improvement associations.

This period witnessed an increase in the importance of what had been a persistent feature of Southeast Asian society because of the needs of the colonial powers: since many of the commercial and trading functions were in the hands of foreigners, the diaspora of Chinese and Indians into Southeast Asia grew rapidly. This pattern became more pronounced because the indigenous “middle class” (the new bourgeoisie in most of Southeast Asia) concentrated on roles as bureaucrats and government servants, while commercial and trading activities remained the exclusive domain of nonindigenous immigrants. Since most Chinese lived in towns, they represented a majority of the population in most of the urban centers of Southeast Asia.

In the early decades of the 20th century the Chinese were politicized by events in mainland China which strengthened a sense of internal Chinese cohesion and distinctiveness and prevented further assimilation into the indigenous Southeast Asian cultures. This in turn prompted suspicion and hostility on the part of the indigenous Southeast Asian populations, with long-term ramifications for developments in the region in the face of nationalist demands for independence. (See [Overview](#))

## a. Mainland Southeast Asia

### 1. Burma

1918

Tentative scheme of reform by the British in the process of separating Burma from India. Local self-government was to be strengthened.

1920

The **Young Men's Buddhist Association split** reflected the generational divide between conservatism and activism. Younger members renamed the organization the **General Council of Burmese Associations**, making explicit their nationalist and political purposes. First activities focused on student strikes regarding the proposed rulers of the University of Rangoon; soon the GCBA began encouraging the organization of village-level nationalist organizations (*wunthanu athin*, “own race societies”) to boycott government officials and refuse to pay taxes and rent.

## 1923

**Dyarchy** (British system created in India to divide governance responsibilities between colonial administration and indigenous representatives) introduced. **Legislative Council** with 80 elected members (of 103 total) was created, with communal constituencies that reinforced Burma's awareness of ethnic identities (categories included Indians, Karens, Anglo-Indians, British). Working the institutions introduced under dyarchy underscored the very different interests of urban and rural participants.

8

## 1928–34

The **impact of world depression** led to a fall in rice prices by one-half, while peasants' costs (land rents, payments on indebtedness, taxes, and prices of imported necessities) remained steady or declined only slightly. Almost 20 percent of the mortgages on agricultural land were foreclosed between 1928 and 1934.

9

## 1930, May

**Anti-Indian riots** began in Rangoon as a response to world economic pressures; these spread to the countryside in the year following. General anticolonial disorder followed.

10

## Dec

**Peasant revolt, led by Hsaya San** in Tharrawaddy District. Hsaya San was a former monk practitioner of indigenous medicine and a GCBA organizer. His arguments gave voice to peasant grievances (which he had surveyed in the countryside in the late 1920s), as he asserted that colonial rule had destroyed rural life through taxation, increased crime, and led to rising rice prices, land alienation, Indian immigration, unemployment, and the denigration of Buddhism. Although this kind of insurgency had no hope of ultimate success, it provided martyrs and an example of anticolonial activism much romanticized by later resisters.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, May 12](#))

## **b. Peninsular and Island Southeast Asia**

### **1. The Malayan Archipelago**

#### **1915**

**Peasant rebellion** in Pasir Puteh district of Kelantan, although localized, panicked the British into thinking that the revolt was potentially widespread. The protest targeted the substitution by the British of a fixed land rent for an earlier tax on crop production. The uprising was led by To' Janggut (or Haji Mat Hassan), an elderly landowner and peddler who had the support of the territorial chief. <sup>1</sup>

#### **1920s and 1930s**

Despite attempts by the British to isolate Malays in a stable village society, a nascent Malay nationalism began to appear, appealing first to religious, racial, and linguistic loyalties. <sup>2</sup>

Three new elite groups fostered this nationalism. Those active in the Islamic-educated religious reform movement brought anticolonial ideas back from Egypt. They joined a Malay-educated intelligentsia (made up primarily of peasants who had been educated to become teachers, journalists, engineers, and the like) who espoused radical, secular ideals. In using a town-based vernacular press to put forward a **Greater Indonesia ideology** around **Malay language** and identity, these two elements of the new elite joined with a third group: those drawn from the traditional elite who had become English-educated in order to serve in the bureaucracy. This third group reacted <sup>3</sup>



especially to the local-born activists among the Chinese and Indian communities who were agitating for a greater share in governance and public life.

## 1927

Periodic gatherings of (traditional Malay) rulers, begun as a token of the devolution of authority from the British to the states, became by the late 1930s occasions on which local rulers would take nationalistic positions—e.g., to encourage Javanese immigration and limit Chinese influx; to strengthen Malay landowning rights, etc.

4

## 1930

**Malayan Communist Party** founded, almost wholly Chinese in composition (but with links to Indonesia and Vietnam).

5

## 1930s

Impact of economic **depression** began to undermine the concept of a plural society in Malaya, pitting economic and political interests of one group against another. (For example, Chinese and Indian workers, thrown out of mine and estate employment, sought to become agriculturalists, previously a niche occupied solely by Malays.)

6

## 1938

**Kesatuan Melayu Muda (Young Malay Union)** formed by radicals as a new political organization with pan-Indonesian aims. **Malay Associations** were also organized within each state as organizations loyal to local rulers, conservative in outlook, and even supportive of British colonial rule; these served as a bulwark against more outspoken resistance to Western imperialism, and were the only organizations that had any mass support. The growth of a genuine Malay nationalism after the war drew on the ideology, structure, and leadership of the Malay Associations movement.

7

## 1941, Dec. 7

The Japanese attacked Malaya (See [1941, Dec. 7](#)).

8

### 1942, Feb

Singapore fell to the Japanese. As the tide of war turned against them, the Japanese tried to enlist local leadership in support of their activities. They released persons like the Malay radical **Ibrahim Yacob** who had been imprisoned under the European colonial regimes.

9

### 1943, July

Four northern Malay states (Perlis, Kedah, Kelantan, and Terengganu) were handed over to Thailand as a reward for its support of the Japanese.

10

### 1945, Sept

The British resumed control. (See [Malaysia and Singapore](#))

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

The Encyclopedia of World History. 2001.

## **H. [East Asia, 1902–1945](#)**

### **1. [Overview](#)**

During the interwar years, the population of the nations in the region continued to rise. <sup>1</sup> Always the most populous, China topped 400 million, while Japan (the second most populous) exceeded 55 million by the early 1920s. An industrial economy was emerging in China's cities, especially Shanghai with its many foreign concerns, as well as in Japan under the influence of World War I. Japan continued to penetrate the entire East Asian region, with the exception of Vietnam, prior to the 1940s. By the end of the interwar period, Japan would be at war with China and Vietnam, while continuing to maintain an increasingly brutal colonial policy over Korea.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

(See [1914, May 1](#))

## **2. China, 1914–1945**

### **1914, May 1**

Having convened a session of 66 men drawn from his cabinet and other provincial posts, <sup>1</sup>  
**Yuan Shikai** (1859–1916) had the provisional constitution replaced with a  
“constitutional compact,” which afforded Yuan nearly complete powers.

### **July**

**Sun Zhongshan (Sun Yat-sen, 1866–1925)** changed the name of his party, the <sup>2</sup>  
Guomindang (Nationalist Party), to Gemingdang (Revolutionary Party) in Tokyo; its first  
manifesto came out in September. In 1919 it reverted to its original name.

### **Aug. 23**

The Japanese declaration of war against Germany was followed by **violation of China's** <sup>3</sup>  
**neutrality** (Sept. 2) and the capture of the German concession area of Qingdao in  
Shandong province (Nov. 7).

By 1914, under the government of Yuan Shikai, the total investment of the foreign <sup>4</sup>  
powers in China soared to U.S.\$1.61 billion. Yuan encouraged the development of a  
strong judiciary, as China's best hope against the continuation of extraterritoriality,  
pushed for agricultural development, and tried to crush the opium trade.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. Mongolian People's Republic, 1911–1926**

#### **1911**

During the Chinese Revolution of 1911, northern Mongol princes, with the support of <sup>1</sup> tsarist Russia, proclaimed an autonomous Outer Mongolia, with Bogdo Gegen, the Living Buddha, as the khan, thus ending the suzerainty of China over Outer Mongolia. But Chinese troops reoccupied Mongolia during 1919–20 after the Russian Revolution.

#### **1921**

The First Congress of the Mongolian People's Party (Communist, renamed as the <sup>2</sup> Mongolian People's Revolutionary Party in 1924) was held in Kyakhta on March 1, and the basic task of the Party program was national liberation and the establishment of an independent state. The Mongolian People's Army defeated Chinese occupying forces in March. Mongolian and Soviet troops overcame the Urgan White Guard bands, and a permanent People's Government of Mongolia was formed in July 1921. Serfdom and the institution of hereditary feudal rulers were abolished in 1922.

#### **1924**

After the death of the Living Buddha in May, the People's Revolutionary Party and the <sup>3</sup> People's Government adopted a resolution to abolish the monarchy and introduce the republican system in June. The first Grand People's *Hural* legally proclaimed the Mongolian People's Republic and approved its constitution in November.

#### **1925, Oct**

The Fourth Party Congress adopted the second Party program, which centered on the social and political consolidation of the revolution as the basic task. Beginning in 1929, large landholdings of feudal lords were confiscated and those of monasteries in 1938.

4

## 1926, Sept

Enactment of a law on separation of the Church and the State. (See [The Republic of Mongolia \(The Mongolian People's Republic\), 1945–2000](#))

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Aug. 22](#))

## **4. Korea, 1910–1945**

### **1910, Aug. 22**

**KOREA WAS FORMALLY ANNEXED BY JAPAN**, when the Treaty of Annexation <sup>1</sup> was signed by Prime Minister Yi Wan-yong (1858–1926). Emperor Sunjong (1874–1926, r. 1907–10) proclaimed (Aug. 29) the end of the Yi dynasty. For the next 35 years, Koreans lived under often brutal Japanese colonial domination. Ultimately, the independence movement against Japan aroused Korea's national identity but at a heavy price. Over the course of the period 1910–40, Korea's population rose from 15 million to over 24 million.

### **Oct.–1916**

**The first governor-general of the Korean colony was Gen. Terauchi Masatake** <sup>2</sup> (1852–1919). The colonial regime was known as the Government-General of Chōsen (Korea), which had tight, centralized authority over every aspect of life in Korea. The governor-general effectively had complete power, civil and military. Terauchi's period as governor-general, along with that of his successor, was dubbed “the period of military rule.” The bureaucracy in 1910 employed some 10,000 officials; by 1937, it encompassed 87,552 officials (over 60 percent of them Japanese). The number of police in the employ of the governor-general rose from 6,222 in 1910 to 20,771 in 1922, and to over 60,000 by 1941; about half were Koreans. The stated policy of the regime was to assimilate the Koreans into the Japanese empire, eventually; in fact, Koreans fell victim to sharp discrimination.

Under Terauchi, a land survey bureau was set up to rationalize the land distribution and land-tax systems. The state remained the largest landowner in the colony, holding nearly <sup>3</sup>



40 percent of it in 1930. The Oriental Development Company, a semipublic corporation set up by the colonial authorities and much hated by nationalist Koreans, held 269,500 acres of land by itself. The land survey (1910–18) ultimately firmed up the existing state of affairs. Japan also constructed extensively on preexisting Korean telecommunications and rail lines.

Despite great antipathy for their new overlords, Koreans were prevented, by arrests and police intimidation, from voicing opposition. Guerrillas were active in the countryside, although already in the period between 1907 and 1910, 17,600 guerrillas had been killed. The new regime disbanded all Korean publications, political groups, and meetings of any sort.

The government-general sharply reduced the number of private schools and moved to develop a nationwide system of education to accompany assimilation to Japanese ways. In 1910 there were 110,800 Korean students in public schools; by 1941 there were 1,776,078 enrolled. Few Koreans received higher education, although some studied in Japan (3,171 by 1912) or the U.S. Japanese became the national language, and Japanese language acquisition soared, so much so that it virtually became a work of nationalism to try to preserve the Korean language. **Chu Si-gyong** (1876–1914) and his students continued their work standardizing vernacular grammar and spelling; the Korean Language Research Society was founded in 1921. Such writers as Yi In-jik (1862–1916) and Yi Hae-jo (1869–1927) began to write in new literary forms. **Yi Kwang-su's** (b. 1892) novel *Mujong* (*The Heartless*, 1917) was extremely popular.


## Dec

A conspiracy to assassinate Terauchi, implicating An Myong-gun (brother of An Chung-gun, 1879–1910, who had assassinated Itano Hirobumi, 1841–1909), was uncovered, and 600 people were arrested; 105 of them were indicted the following year, including such vital leaders of the **Sinminhoe** (New People's Association, a moderate group founded in 1907 by An Ch'ang-ho, 1878–1938) as Yun Ch'i-ho (1865–1945), Yang Ki-t'ak (1871–1938), and Yi Song-hun (1864–1930). It was known thereafter as the “**Case of the One Hundred Five.**” Despite a show trial, it was clear that the Japanese used the incident to destroy the Sinminhoe.

From 1910, the Japanese Daiichi Bank became the Bank of Korea in the colony, becoming also its central bank. Together with the Japanese Shokusan Bank, it controlled much of Korean finance.

The number of Korean expatriates living in Manchuria rose to 109,000 from some 65,000 in 1894. By 1912 this number reached 169,000. Some among them organized (1911) the

Military School of the New Rising to prepare young Koreans to fight against Japan; others later (1914) founded the Government of the Korean Restoration Army. Neither got far. Thousands of Koreans also moved to the Maritime Province in the Russian Far East.

Many also lived in the U.S. and Hawaii, where Yi S ng-man (Syngman Rhee, 1875–1965) founded the Korean National Association (1909).

The **Company Law** was enacted, by which any corporation, public or private, needed prior approval by the government-general.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#) 




---

(See [Aug. 23](#))

## 5. [Japan, 1914–1945](#)

### 1914–18

During the years of **World War I**, the Japanese manufactured and sent to Europe large quantities of munitions (especially to Russia). At the same time, Japanese merchants took advantage of the conflict to supplant German commerce in East Asia. **Heavy industry** in particular grew in the postwar years, with considerable investment from the *zaibatsu* conglomerates, which increasingly dominated the economy. In the 1920s they set the stage through planning with greater efficiency for the rapid expansion of the 1930s, following the government's shift in financial policy. <sup>1</sup>

Domestically, the **Taishō**  **period** (1912–26) is usually considered an era of opening to liberal and Western trends in many areas of society and the arts, the so-called Taishō  democracy. This is usually to distinguish it from the political authoritarianism of the preceding Meiji era and from the militarism and the crackdown on domestic liberalism of the subsequent Shōwa  era. Western influence was felt in the **visual and literary arts**, both in theme and technique. <sup>2</sup>

### 1914, Aug

Japan declared war on Germany. Within a three-month period, German possessions in Shandong and the Pacific were in Japanese hands. <sup>3</sup>

### Nov. 7

Jiaozhou surrendered to the Japanese after a two-month siege.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1897–1902](#))

## 6. [Vietnam, 1902–1945](#)

This period began with the entirety of Vietnam under French colonial control. 1  
Resistance movements led by the *van than* class in the mountains had been mollified by the French colonial administration's willingness to allow *van than* local control and village autonomy, creating a sort of feudal system. Aside from guerrilla leaders like **De Tham** (d. 1913), insurgency in the Red River delta came to an end. In Cochinchina to the south, the rice plantation economy grew rapidly and produced widespread tenancy among the farming populace. Both systems were typical of colonial regimes in the 20th century.

Following World War I, foreign investment in Vietnam mushroomed. As a result, coal 2  
mines in the north, rubber plantations in central and south Vietnam, and the rapid increase of production for rice farmers in the south spawned a working class, as well as a landlord class, rice exporters in Saigon, and a modern intelligentsia.

### 1902

Japan's conclusion of the Anglo-Japanese Alliance, together with its victories over China 3  
(1894–95) and Russia (1904–5), was extremely impressive to many Vietnamese in that an East Asian state had successfully modernized, become technologically sophisticated, and forged equal ties with Western states.

### 1903

A knowledge of French became a necessity for entrance into the traditional civil service 4  
in Annam and Tonkin.

## 1904

**Phan Boi Chau** (1867–1940), influenced by the reformist movements of late Qing China, especially that of Kang Youwei (1858–1927), founded the Việt Nam Duy Tân Hội (Vietnam Restoration Party) with the aim of building a constitutional monarchy in Vietnam. The next year he traveled to Japan, where he met Liang Qichao (1873–1929), and wrote *The History of the Demise of Vietnam*. He began the Eastern Travel movement to get Vietnamese students to come and study in Japan, there to be trained to promote reform back home.

5

## 1905

**Phan Chu Trinh** (1871–1926), having earlier passed the civil service examinations and awaiting bureaucratic appointment, became disaffected by the system and began traveling primarily in southern Vietnam, calling for the revival of the country. The next year (1906), he went to Japan and met Phan Boi Chau, but they differed on many things, tactics among them: Chau was readier to adopt revolutionary means, while Trinh's thinking was more in the enlightenment reformist vein. Also, Chau still wanted to use the monarchy as a symbol of the united anti-French movement, while Trinh was a republican much taken with aspects of French culture. Trinh then returned to Vietnam and proposed an educational system based on the vernacular, *quốc ngữ*, which was effected when the **Tonkin Free School** opened that year. The school was shut down by the colonial authorities the same year. For his participation in an antitax movement of Vietnamese farmers (1908), Trinh was transported to a penal colony on Poulo Condore Island. He was later released (1910).

6

## 1909

When Japan signed a treaty with France, **Phan Boi Chau** was expelled from Japan, and he took refuge in Thailand. From that point, he showed sympathy for the populist thought of Sun Zhongshan (Sun Yat-sen, 1866–1925).

7

## 1912

After the success of the 1911 revolution in China, **Phan Boi Chau** traveled to Guangdong (China), where he met the Chinese revolutionary leader Hu Hanmin

8

(1886–1936) and founded the **Việt Nam Quang Phục Hội** (Vietnam Restoration Society), with the intent of creating a republic in his native land. Japan was rapidly discrediting itself as a model, after seizing Taiwan (1895) and Korea (1910) as colonies. The Chinese revolution seemed the next best hope for Vietnamese radicals. With help from the Chinese Revolutionary Alliance, Chau planned for an armed revolution in Vietnam. He was arrested and imprisoned in 1914 by the governor of Guangdong, and when released in 1917 he worked out of Shanghai and Hong Kong, still planning to rise in revolt.

## 1914–18

During World War I, some 100,000 Vietnamese troops and workers were sent to France. <sup>9</sup> Through contacts with Europeans and their writings, some acquired a taste for current ideas of national autonomy, revolutionary struggle, and the like.

## 1915

By this time, all three sectors of Vietnam had daily newspapers written in the romanized *quốc ngữ* script. <sup>10</sup>

## 1918

The University of Hanoi, founded by Vietnamese, was permitted by the French. <sup>11</sup>

## 1919

The **Confucian examination system**, traditionally used as the means for entrance into the civil service, **was finally abolished** throughout the entire country. <sup>12</sup>

## 1925, June

The **Vietnamese Revolutionary Youth League** was secretly founded by **HỒ CHI MINH** (1890–1969) in Guangzhou (Canton). Through it, the basis was laid in many areas for the founding of the Indochina Communist Party (1930). The Youth League issued a propaganda organ, *Thanh niên (Youth)*, weekly for nearly two years and had a <sup>13</sup>

political training institute in Guangzhou. Hô had been in France prior to World War I and had participated in the founding of the French Communist Party (1920); in 1923 he traveled to Moscow and took part in the Fifth Congress of the Communist International (Comintern, 1924) before returning to Guangzhou in 1925.

The young **Bao Dai** (b. 1914) acceded to the Nguyễn throne. He “reigned” until 1945. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1906](#))

## I. [The Pacific Region, 1914–1945](#)

### 1. [The Pacific Islands](#)



#### [THE PACIFIC THEATER OF WAR, 1941-45 \(MAP\)](#)

Until 1939 this was a fairly quiet period in the islands, though in some of the major islands, there were protests over aspects of colonial rule. In 1914, Apolosi Nawaii formed the Viti Company to circumvent the European intermediaries and trading companies. In the 1920s, the nationalist **Mau movement** in Western Samoa reacted against New Zealand paternalism and advocated independence for the island; in 1929, the murder of **District Officer William Bell** on Malaita in the Solomons led to official campaigns of pacification. In the 1920s and 1930s, a series of laws was passed in Papua designed to “**preserve white standards**”; **industrial and political protests by Indo-Fijians** were carried out against the European-dominated colonial order in the 1920s. <sup>1</sup>

### 1914

In the early months of World War I, British ships with Australian and New Zealand forces conquered the **German island colonies** south of the equator, while in Oct. 1914 the Japanese took possession of those north of the equator (Marianas, Carolines, and Marshalls). Australia captured German New Guinea. At the war's end, Japan, Australia, and New Zealand favored outright annexation of these territories, but because of American objections, these were finally classified as class C mandates to be governed as an integral part of the administering power. <sup>2</sup>

### 1918–19

The influenza epidemic wrought havoc in several islands, killing 21 percent of the Samoan population and 6 percent of the indigenous Fijian population. Discontent at New Zealand's handling of the epidemic in Samoa increased resentment against colonial rule and helped the Mau movement.

3

### 1919, May 7

The Supreme Council of the Allied Powers assigned **German New Guinea** and the neighboring German islands (Bismarck Archipelago) to Australia; **German Samoa** (Western Samoa) became a New Zealand possession. The rich phosphate island of **Nauru** was given to the British Empire, and by agreement the administration was divided among Great Britain, Australia, and New Zealand. Japan received the **German islands north of the equator** as a mandate. These arrangements were confirmed by the League of Nations on Dec. 17, 1920.

4

### 1922, Feb. 6

The **naval treaty** (See [1921, Nov. 12–1922, Feb. 6](#)) among the five great powers included an agreement to maintain the status quo with regard to fortifications and naval bases in the Pacific (the American and Alaskan coasts excluded).

5

### April

The Japanese government established **civil administration** in the mandated islands (over 1,400 of them, with a total area of only 836 square miles, scattered over an immense area of water). The capital was set up at **Korror Island** (Palau group) with six branches in the major island groups. Indigenous people were involved in subsidiary government positions. The Japanese approached their task of colonial administration seriously and attempted a large-scale program of social and economic development. Economically, the development of the **sugar industry**, under the leadership of **Matsue Haruji**, in the Marianas was the most important. This development brought a considerable influx of Japanese immigrants. By 1935 there were **50,000 Japanese in Micronesia, 40,000 in the Marianas**.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1913, Aug. 21](#))

## 2. [The Philippines](#)

In this period profound social and economic changes occurred, against a background of American control and constant agitation for independence. The Philippines became more urbanized, and the educated section of the population grew, following the promotion of English-language education by the administration. A large number of Filipinos joined the bureaucracy. National consciousness spread, crossing regional and class lines. 1

Free trade with the U.S. produced export-led economic growth, but led to dependence on the American market. At the same time, socioeconomic disparities increased, and the political and economic power of the oligarchic Filipino elite was consolidated. 2

### 1916

A **council of state** was created, consisting of the governor-general, the presidents of both houses of the legislature, and the heads of executive departments. The U.S. Senate passed the **Jones Act**, which promised independence to the Philippines once there was a stable government. It replaced the Philippine Commission with a 24-member elected senate. 3

### 1919

Quezon and other Filipino notables led an independence mission to Washington. 4

### 1921

The **Wood-Forbes mission** sent by the U.S. government opposed immediate independence for the Philippines, and advocated increased powers for the governor. The appointment of the conservative **Francis Wood** as governor-general increased tensions between nationalist Filipinos and the U.S. government.

5

## 1922

Manuel Quezon replaced Sergio Osmena as leader after a power struggle within the Nacionalista Party.

6

## 1923

Quezon attacked Wood for interference in the elected government. Filipinos on the council of state resigned in protest at Wood's behavior, and the legislature unsuccessfully called for his replacement.

7

## 1924

Filipino leaders appealed to the U.S. for independence, but this was rejected by President Coolidge. Further requests for independence were made in 1925 and 1926.

8

## 1930

Establishment of the Philippine Communist Party, which was outlawed two years later.

9

## 1931

The **Os-Rox mission** to Washington led by Sergio Osmena and **Manuel Roxas** proposed that independence be accompanied by the preservation of free trade with the U.S. for ten years and a restriction on Filipino immigration to the United States. Support for Philippine independence increased in the U.S. during the 1920s because free trade with the Philippines was considered unfavorable to American economic interests.

10

## 1933, Jan 13

The U.S. Congress passed the **Hare-Hawes-Cutting Bill**, advocating independence after 12 years of transitional government, retention of U.S. military bases, and restrictions on immigration and on Philippine sugar and coconut exports. The Philippine legislature rejected the bill because of the restrictions on exports and immigration, the ill-defined nature of the powers of the U.S. high commissioner, and the retention of U.S. military bases. <sup>11</sup>

### 1934, March 24

The U.S. government adopted the **Tydings-McDuffie Act**, which proposed gradual introduction of tariffs on Philippine exports to the U.S. in the period leading up to independence. This was reluctantly accepted by the Philippine legislature. <sup>12</sup>

### July 30

A commission of 202 members was elected to draft a constitution. Suffrage was to be given to literates over 21 (which meant that only 14 percent of the population was eligible to vote in 1940). The constitution was approved on May 14, 1935. <sup>13</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Sept. 5](#))

### 3. [Australia](#)

The two world wars were Australia's largest national enterprises, and were fought at great <sup>1</sup> cost in lives and suffering. The interwar period (1918–39) was stagnant economically, troughing in the Great Depression of 1929–32, when perhaps a third of Australian men were out of work. Confidence in Australia's long-term prosperity was not shaken. The economy industrialized further, but depended heavily on agriculture and mining, with 35 percent of the nation's export income up to 1950 generated by sheep grazing.

The outbreak of World War I revealed all Australian parties united in loyalty to the <sup>2</sup> mother country and in readiness to contribute to its defense. During the war Australia sent 331,000 men overseas, who took a prominent part in the Dardanelles campaign, the Palestine campaign, and the fighting in France (after 1916). In May 1918 the five Australian divisions in France were organized as an **Australian army corps**, under the command of **Sir John Monash**, an Australian. The war was financed chiefly by borrowing and was accompanied, in Australia as elsewhere, by a great extension of government control, economic as well as political. Rising prices together with a decline in real wages led to much **labor unrest** and a very extensive strike in Aug.–Sept. 1917. The failure of this strike resulted in stricter organization of the trade unions and greater concentration on economic rather than political aims. In the military field the Australian government took advantage of the opportunity to seize the German island colonies south of the equator.

#### 1915

Construction of **major steel mill** by BHP, Australia's largest company for decades. <sup>3</sup>

#### April 25

Australian and New Zealand Army Corps (**ANZAC**) landed on Gallipoli Peninsula, Turkey. The place was soon called Anzac Cove, and the day Anzac Day. In the 1920s, April 25 was made a public holiday, and many Australians consider it Australia's most important national day. Anzac Cove was evacuated in Dec. 1915, and the Anzacs transferred to France or Egypt.

4

## Oct. 27

**William M. Hughes** as prime minister and leader of the Labour Party. Hughes became the embodiment of Australian and British patriotism, and, after a visit to England in the summer of 1916, he began to advocate **conscription** of men for service overseas. The suggestion roused much opposition.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1913](#))

#### 4. [New Zealand](#)

In the aftermath of World War I, government investment and tariff protection strengthened agriculture, which came to dominate the economy. An economic regime founded on the export of wool, meat, and dairy produce to Britain emerged. Partly as a result of this dependency, the global economic crisis in the 1930s affected New Zealand severely. In response to the depression, the Labour government of 1935 established one of the most comprehensive welfare programs in the non-Communist world. 1

Despite continuing alienation of land, the Maori population began to increase, and there were modest improvements in Maori health and socioeconomic position. A number of Maori leaders joined the government or were active in other areas of national politics. New Zealand's political ties to Britain remained strong, reflected in the large numbers of New Zealand troops participating in World War I. New Zealand continued to practice petty imperialism in the South Pacific through the period, violently suppressing the independence movement in Samoa in the 1920s. New Zealand sent 117,000 men overseas in World War I, most of whom were volunteers. New Zealand troops fought in Turkey, Palestine, and France, often in company with Australians. Casualties were very high. Participation in World War II was also extensive. 2

#### 1914

**New Zealand annexed Samoa** from Germany (See [1914](#)). 3

#### 1915

New Zealand and Australian troops (**ANZACs**) participated in the ill-fated **Gallipoli campaign**. This became a symbol of **emergent nationalism**. 4

## 1916

The Maori prophet **Rua Kenana** was arrested for sedition. **Formation of New Zealand Labour Party by socialists and trade unionists.** Heated political debate took place over the issue of conscription, which was opposed by the Waikato tribes and by the Labour Party. 5

## 1918

Foundation of **Ratana** church by the Maori prophet **Tahupotiki Wiremu Ratana**. This fusion of Maori and Christian beliefs appealed to many Maori in the lower socioeconomic stratum. **Samoa was given to New Zealand as a trust territory of the League of Nations.** 6

## 1919

The conservative **Reform** government won a resounding victory in the general election. The subsequent elections in the 1920s were all characterized by competition among the three parties of Reform, Liberal (later United), and Labour. Women gained the right to stand for Parliament. 7

Throughout the 1920s the government provided assistance to farmers through credit and price controls. The establishment of a dairy board (1923) helped in the marketing of dairy products. 8

## 1925

Election of a Reform Party government under **Gordon Coates**. The government engaged in a program of public works construction, and borrowed heavily overseas. 9

## 1928

The United Party, formed out of the remains of the Liberals, won the election. Its leader, **Joseph Ward**, promised extensive borrowing for public works. 10

## 1929

New Zealand troops attempted to suppress the nationalistic **Mau** movement in Samoa, killing a number of its leaders. 11

New Zealand suffered severely from **the depression**, being essentially a producer of primary materials. The unemployed were compelled to do laboring work in return for government compensation. 12

## 1931

A **coalition government** was formed from the Reform and United Parties. Prime Minister Coates reduced civil service salaries and introduced legislation to allow the arbitration court to cut wages. 13

## 1932

**Riots involving unemployed people** occurred in each of the four main cities. 14

The first Ratana member of Parliament was elected, beginning the Ratana dominance over the Maori seats. Ratana established a political alliance with the Labour Party. The government made arbitration in industrial negotiations voluntary, but kept conciliation compulsory, so that unions could be forced to accept employers' terms. This weakened union power. Tariffs on New Zealand exports to Britain worsened the economic situation. 15

## 1935, Nov. 27

**ELECTION OF THE FIRST LABOUR GOVERNMENT under Michael Joseph Savage.** Savage became one of the best-loved prime ministers in New Zealand history. 16

**Expansion of social welfare provisions** and state support for savings and loans, including mortgages for home purchases. Government controls in banking and internal transportation increased. 17

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## **[J. Africa, 1914–1945](#)**



[AFRICA IN 1939 \(MAP\)](#)

### **[1. Overview](#)**

The 30 years between World War I and the end of World War II represented simultaneously **the high-water mark of colonialism in Africa and its dissolution**. Even though formal decolonization did not begin until 1956, the **roots of African independence** were planted during this period. 1

Looking back at the period from military conquest to 1914, European colonial officials could point to significant but limited accomplishments. Colonial regimes had defeated their African political opponents, suppressed the armed resistance movements, installed rudimentary administrations, and constructed railways and harbors. Despite the promises of tropical bounty awaiting colonial entrepreneurs, metropolitan countries could point to few clear economic advantages their colonies provided. Nor did Africans unequivocally embrace European cultural institutions, including missionary Christianity. Islam seemed to be making more progress in northeastern and West Africa than Christianity. The outbreak of World War I arrested the development of colonial administrations even as African manpower, mineral, and agricultural resources became crucial to metropolitan war economies. The war made clear just how important colonies actually were. 2

**Military campaigns** took place where Germany had colonies (See [The War in the Colonies, 1914–1918](#)): in Togo, Cameroon, Southwest Africa, and East Africa. The Germans in Togo and Cameroon were quickly defeated. The Germans in Southwest Africa surrendered to a British imperial army commanded by the South African general 3

Smuts. Fighting in East Africa was longer and bloodier, although relatively few European troops were killed in the fighting. Many more were incapacitated and slain by disease.

Few Africans actually fought. Most Africans in East Africa were recruited into the carrier corps. Without adequate roads, it fell upon Africans to carry the vast military and logistical arsenal for the troops. Officially, the British reported that 44,991 recruits in the carrier corps died, compared with 3,500 imperial troops who died from battlefield wounds and 6,500 from disease. The mortality rate for Africans in the carrier corps was roughly 2 percent per month; an additional 15 percent were incapacitated by disease and poor nutrition each month. At least one historian of East Africa estimated that **between 200,000 and 300,000 Africans died** directly or indirectly because of the military campaigns in East Africa as their crops and herds were requisitioned and as their male kinsmen were forcibly recruited. Knowing what was in store for them, it is not surprising that as European military recruiters approached their villages, Africans raced off to the bush to hide.

Fighting was limited in West Africa, but recruitment was widespread, especially by the French. All able-bodied men were liable for recruitment into the French military service. In 1915 and 1916, **recruitment revolts** broke out in many French West African colonies. The black Senegalese representative to the French National Assembly, Blaise Diagne, helped recruit Africans for the war effort, but only in exchange for symbolic gains (he rode in the same railway car as the governor-general) and legal ones (specific voting and religious rights were clarified). Although the Germans were defeated and the recruitment revolts suppressed, the experience unleashed significant social, political, and cultural changes.

For those who survived, the **experience of World War I was important and lasting**. Africans saw that Europeans were not invincible. Recruitment brought Africans from a great number of different ethnic groups and backgrounds together; they turned to English, French, Portuguese, Lingala, and Swahili as **common languages**. Africans participated in **new organizations**, which provided models for future nationalist mobilization. Moreover, the defeat of Germany and the subsequent mandating of German colonies to European victors provided **opportunities for Africans with Western literacy** to fill administrative positions left vacant. And finally, the politics surrounding the Treaty of Versailles introduced two important ideas into the language of emergent African nationalism. The first was derived from President Woodrow Wilson's Fourteen Points and spoke of **"self-determination."** Although the idea was not intended for colonized Africans, Africans and Pan-Africanists would use it as a lever against colonial rule. The second came from the League of Nations mandate terms, which provided for **"trusteeship,"** not colonial dominion. Africans would see this term as providing them with important political and economic rights, as well as underscoring the temporary nature of the colonial rule.

The role of African manpower and natural resources during the war demonstrated the importance of African colonies. During the interwar years, most European colonies embarked on **ambitious economic development programs**, which were fueled by rapidly rising commodity prices. During this period, the de facto division of African colonies into **four main economic clusters** became clear: colonies where African peasants were predominant (mostly West Africa), colonies where agricultural concession companies predominated (mostly Central Africa), colonies where mining capital dominated (mostly southern Africa), and colonies of white settlement (mostly East, Central, and southern Africa). Several colonies shared two or more of these economic orientations, but the impact of colonialism on African societies was shaped more by these broad economic orientations than by differences in colonial administrative policy.

7

The practical differences between **direct rule**, where European colonial officials ruled over administrative districts, and **indirect rule**, where “indigenous authorities” were empowered to rule with European officials gently modernizing “traditions,” have been exaggerated. Direct rule has been associated with the French and indirect rule with the British, although all colonial powers employed both methods and **all relied on African collaboration in order to administer as cheaply as possible**.

8

There were, nonetheless, important outcomes to these different styles of colonial rule. Elevated to the level of formal colonial policy by Frederick Lugard and applied vigorously to Nigeria, indirect rule **heightened ethnic differences**, since indigenous authorities were to emerge from identifiable communities. If, as in the case of the Igbo, there were no identifiable indigenous rulers, the British simply appointed willing collaborators and gave them a “warrant” to rule. Customs were invented to demonstrate the age-old practices of these indigenous authorities. Empowering indigenous authorities led to significant abuses of power, as chiefs used their positions to accumulate wealth and power. Because even those practicing direct administration needed African collaborators, the French, Belgians, and Portuguese appointed provincial chiefs to assist them. Provincial chiefs also used their positions to enhance their power to accumulate wealth. The **invention of tradition** in colonial Africa helped undergird the power of African chiefs to determine access to agricultural resources and to increase the power of older men over both women and younger men.

9

Younger men and women often resisted the power of chiefs and elderly men. Young men migrated to cities, to the mines, and to other agricultural regions. Many went in search of an independent income in order to establish their own households. If women could not escape their “arranged” first marriages, divorce and subsequent marriages, especially among Muslims, often provided women with more choice regarding their spouses. Some women also fled to the emerging urban centers and became prostitutes. Others fled to the mission communities, where marriage among Christian converts occasionally provided greater choice.

10

Some women responded collectively to what they considered the erosion of their

11

customary rights. In 1929, Igbo women in southeastern Nigeria rose up against the appointed warrant chiefs and against British colonial officials in **protest against the erosion of women's secret societies** (the British banned all secret societies, although many were indeed the “indigenous authorities”) and the proposed tax on women's property. The women of Aba (See [1929](#)) used well-established techniques to express their anger, including bawdy songs and dances. When they sang and danced before the British headquarters, officials panicked, troops were brought in, and many African women were martyred. In response to these events, the British held an inquiry and appointed anthropologists to study Nigerian societies more thoroughly.

Among the most significant social and cultural changes to occur during this period were the **development of African nationalism and Pan-Africanism, the expansion of Western education, and the growth of cities**. Pan-Africanism was a movement born in the African diaspora of the New World. As a political movement, it was a coalition of a wide variety of African-American and later African nationalist groups. They shared a vision of a great African homeland, but little else. Nonetheless, Pan-Africanist political agitation influenced a variety of nationalist groups in colonial Africa, ranging from youth associations, proto-nationalist associations (such as the South African Native Peoples Congress), labor unions, and literary self-help societies, which drew from Pan-Africanist rhetorical models for the empowerment of colonized African peoples. These groups sought gradual, political reforms within the context of colonialism. Others, such as the influential **Négritude** movement formed in Paris by French-speaking African and Afro-Caribbean intellectuals, sought cultural recognition and presented only vague political goals.

**Collective action by railway workers and dock workers**, who engaged in a series of strikes in the 1920s and 1930s, had an important impact in the continent. Influenced by the Comintern (See [1919, March 2](#)) and by metropolitan socialist parties, African workers began to understand and exercise their power. Strikes along the major rail arteries and at the harbors had the potential to strangle colonial economies. So too did the **African cocoa planters** of Ghana, whose supply holdups in 1937 caused a crisis in the Gold Coast economy and led to colonial reassessment of commodity markets. In response, the British colonies established commodity marketing boards, which acted as sole buyers of commodities, in an effort to even out the wide fluctuations in commodity prices. Although intended to serve the interests of producers, these commodity boards evolved into powerful bureaucracies controlling vast sums of money. Other Africans turned to African independent churches as a means of expressing their religious and nationalist sentiments. Cities expanded dramatically during this period; the **urban areas provided fertile ground for the establishment of new forms of community**.

The expansion of African nationalism coincided with the **consolidation of white settler domination** in South Africa, Southern Rhodesia, Kenya, Angola, and Mozambique. In the 1920s and 1930s white settlers exerted increasing control over the affairs of their



colonies through the grant of “responsible government” to British settlers. British settlers used their power to impose harsh economic and political restrictions on Africans, which in turn only fueled African nationalist sentiments. In the Portuguese colonies, changes in metropolitan politics were felt as a second colonial occupation under a much more interventionist colonial development policy.

The **Great Depression** profoundly affected world commodity markets and African social life. The continent's role as a producer of primary agricultural and mineral resources made Africans especially vulnerable to economic deceleration. Misery stalked the cities and rural villages alike. In the late 1930s, mobilization for another war stimulated African commodity markets and ushered in a sustained period of economic growth. As before, Africa continued to produce agricultural and mineral resources that were largely processed in Europe. The only exception was in South Africa, where manufacturing and secondary processing helped create a wide industrial base.

In contrast with World War I, when fighting occurred in many parts of sub-Saharan Africa, fighting during World War II was limited to the Horn of Africa. Most Africans participated in the war effort through their agricultural and mining labor. Africans were also recruited for the war overseas. In West Africa, Charles de Gaulle rewarded Africans for their support of the Free French by introducing a series of **political reforms** agreed upon at the 1944 Brazzaville meeting. In British West Africa, efforts were made to introduce constitutional changes permitting greater representation of Africans in the legislative councils. However, colonial governments controlled by white settlers imposed ever harsher laws to prevent the expression of African political grievances and to hinder African economic progress. (See [Overview](#))

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1915](#))

## 2. [Regions](#)

### a. [Sudanic West and Central Africa](#)

#### 1913–14

The **drought** in the *sahel* devastated local communities. Thousands died in the middle Niger region; those who survived saw their livestock herds largely destroyed. French colonial policies stirred up resentment during the drought, and contributed to armed unrest beginning in 1915. 1

#### 1914–16

World War I military movements in Togo and Cameroon. In Aug. 1914 the Germans administering Togo retreated northward from the coast in the face of advancing French and British troops. Shortly thereafter the **Germans surrendered**, leaving France and Britain in control of Togo. The military conflict in Cameroon was more prolonged, lasting from 1914 to 1916. The Germans finally fled Cameroon for Spanish Guinea in Feb. 1916. In March 1916 the French and British agreed to the **partition of Cameroon for administrative purposes**. 2

#### 1915–17

French efforts to **recruit Africans for service during World War I** led to rebellions in French West Africa. In order to avoid conscription, many Africans fled toward the Gambia, Portuguese Guinea, Sierra Leone, Liberia, and the Gold Coast. Elsewhere, armed rebellions broke out. In 1915 the Bambara staged an anticonscription revolt; 3

another rebellion occurred in the western Volta region. In 1916 Africans staged a popular revolt in northern Dahomey. The French suppressed the revolts by force. However, with the assistance of **Blaise Diagne, the Senegalese African member of the French National Assembly**, larger numbers of Africans joined the French armed forces.

### 1916–17

The Tuareg living in Air (in present-day Niger) retained their independence up until the First World War. In 1916 the **Tuareg chief Kawsen ag Muhammad** and his followers rebelled against the French presence in their territory, laying siege to the French fort at Agades. Bitter reprisals followed. Although the French captured and executed Kawsen in 1919, instability in the region continued into the early 1930s. 4

### 1917

**Returning African soldiers formed local sections of the League for the Rights of Man to protest colonialism.** The League for the Rights of Man was particularly active in Guinea and Gabon, where French West African ex-soldiers pressed for the establishment of a new dispensation. Demobilized African soldiers would play a leading role in anticolonial movements in the years to come. 5

### 1919

The French reorganized the West African colonies, creating the colony of **Upper Volta**. 6

### 1920

**Lycée Faidherbe**, a secondary school, founded in St.-Louis, Senegal. 7

### 1921

**Katsina Training College** founded. 8

### 1924

**Polo** introduced into Katsina, becoming the sport of the Northern elite.

9

## 1925

Africans elected members of the *conseils administratives* in the French colonies of Soudan, Guinea, Ivory Coast, and Dahomey.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914, Jan. 1](#))

## **[b. Forest West Africa](#)**

### **1901–14**

Development of indirect rule as British colonial policy. **Sir Frederick Lugard** developed indirect rule in Northern Nigeria while serving as British high commissioner there from 1901 to 1906. Lugard believed that the British could best govern Africa through indigenous authorities. Under Lugard's system, British authorities delegated to African chiefs the responsibilities of law enforcement, labor recruitment, and tax collection. In principle, British colonial officials sought to modernize “traditional” African political institutions by gradually modifying their practices. In practice, indirect rule led to conflict over traditions and favored Africans loyal to the colonial rulers. Indirect rule was continued in Northern Nigeria following Lugard's departure, and was eventually adopted in other British colonies in West Africa, such as Southern Nigeria, the Gold Coast, Sierra Leone, and the Gambia. In one form or another, indirect rule was adapted throughout British-controlled Africa. Variations of this policy were applied by all European colonial powers as a way of reducing the costs of administration.

1

### **1905–39**

**EXPORTS FROM AFRICA INCREASED BY APPROXIMATELY FIVE TIMES IN VALUE AND VOLUME.** Among the most important export crops in forest West Africa were **coffee, cocoa, and peanuts**. The Ivory Coast successfully produced and exported forest-grown coffee. The Gold Coast became one of the leading suppliers of cocoa, producing almost half the world's supply by 1925. Revenue from cocoa exports made the Gold Coast the wealthiest colony in tropical Africa.

2

## 1909

The coal discovered at Udi in eastern Nigeria in 1909 proved to be the only deposit of its kind in West Africa. The British colonial government built a railway to link the coal works to export facilities at Port Harcourt on the coast. <sup>3</sup>

## 1911–13

In 1911 both colonial officials and the British Cotton Growing Association expected the Nigeria railway to boost dramatically the profitability of **cotton cultivation in central Hausaland**. But **Hausa farmers found peanut cultivation more attractive**. Their decision to concentrate on peanuts—which were edible and easier to grow than cotton—took the British by surprise and demonstrated how quickly Africans responded to economic opportunities and how little colonial powers actually controlled Africans' economic lives. Nigerian peanut exports rose from under 2,000 tons before 1911 to almost 20,000 tons in 1913. <sup>4</sup>

## 1914, Jan

**Lugard**, who was recalled to Nigeria in 1912, managed the amalgamation of the colonies of Northern and Southern Nigeria and the Nigerian Protectorates into one colony, Nigeria. Lugard became governor-general. <sup>5</sup>

## 1918–21

Massive **outbreak of influenza** with very high mortality. <sup>6</sup>

## 1919

Following the First World War, Germany's African colonies became mandates of the **League of Nations**. In May 1919 **Togo** was declared a mandate and transferred to the French for administrative purposes. France obtained the portion of **Cameroon** that had been ceded to the Germans in 1911; the rest was transferred to Britain. <sup>7</sup>

## 1920s–1930s

Expansion of the **African Christian independent churches**. Throughout sub-Saharan Africa, Africans flocked to breakaway, often ecstatic Christian movements. Yoruba Anglicans began to form independent prayer groups as early as 1918. These prayer groups, known as *aladura*, proliferated in the 1920s and 1930s. The *aladura* groups sought to adapt Christianity to African traditional beliefs and practices. They conducted their own healing sessions and baptisms, built their own churches, and developed their own liturgies. They helped spread Christianity into areas untouched by European missionaries, who strongly disapproved of their activities. First **Church of the Lord (Aladura)** founded at Ogere, Western Nigeria, c. 1930. 8

### 1920

**National Congress of British West Africa** founded in Accra. 9

### 1921

**Gold Coast cocoa holdup**. When the price for Gold Coast cocoa dropped sharply in 1920, African farmers suddenly found themselves in debt and unable to obtain credit. They reacted by staging a “holdup” in 1921. Their refusal to deliver their produce to market led to an eventual rise in the cocoa price and an end to the boycott. The holdup strategy thus provided a way for African farmers to defend their interests in a collective manner. In the Gold Coast, withholding cocoa provided a defense against international market forces and the collusion among expatriate cocoa exporters. 10

Establishment of a **legislative council** in Nigeria with some elected members. 11

### 1922

**Achimoto College** founded near Accra. 12





(See [1900–14](#))

### **c. Northeast Africa (Horn)**

#### **1914**

The early 20th century witnessed a **boom in commodity production**, especially **coffee**,<sup>1</sup> in Ethiopia. The boom was spurred in part by the **development of railways**, reaching Addis Ababa in 1916. **Drought** in Sudan, and the failure of the Nile flood, led to famine. The famine was offset by grain imported from India.

#### **1914–22**

Partial British authority in southern Sudan led to **ethnic conflict** between those under<sup>2</sup> that authority and those not under it.

#### **1915–18**

Good rains brought about high agricultural production for export in Sudan.<sup>3</sup>

#### **1916**

**Tafari** (later Haile Selassie; 1891–1975) joined a conspiracy that put Menelik's daughter<sup>4</sup> **Zawditu** on the throne, with Tafari as regent.

#### **1919–20**

Inauguration of **Gezira Scheme** in Sudan for tenant farmer production of cotton under large-scale irrigation. Initially excellent results were followed by a rapid fall in production. 5

### 1920–30

Rise in exports, especially coffee, equal to contemporaneous rise in imports. 6

### 1921–22

**Opposition to British rule** became widespread in **southern Sudan** under **Prophet Ariandhit**, leading the British to impose more effective administration there from 1922. 7

### 1925

Completion of **Sennar Dam for the Gezira Scheme**, leading to an increase in acreage under cultivation to 700,000 by 1931. 8

### 1928–30

**Ras Tafari** took control following a coup d'état in 1928. He was crowned *negus* by Empress Zawditu and gained land and power. Zawditu and the conservative leaders resented Ras Tafari's prominence. Zawditu's husband, Ras Gugsa, led a rebellion in 1929. Following Zawditu's death, on April 3, 1930, **Haile Selassie** was crowned emperor. Thereafter he led a campaign to defeat rebels using **air power**. 9

### 1929–30

**Tafari obtained airplanes** and training for Ethiopian pilots from France, increasing central authority. A program of road building and the importation of trucks improved communication between the capital and the provinces. 10

## 1930–31

Collapse of cotton price and production in Gezira Scheme aggravated the effects of the **Great Depression** in Sudan. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1909, Jan](#))

## **d. [East Africa](#)**

### **1914–18**

**World War I led to fighting between German and British forces**, using African troops and porters, in Tanganyika (German East Africa). War proved **disastrous for East Africans**, who were forced to supply food, soldiers, and porters to the armies. Ten percent of the soldiers and 20 percent of the porters died, mostly from disease and malnutrition, totaling 100,000 deaths. **War resulted in famine and disease** throughout the region; cattle disease depleted the stored wealth of stock. <sup>1</sup>

### **1917, Oct**

**The British defeated the German commander Lettow-Vorbeck at Mahiva**; the Germans withdrew to Mozambique. <sup>2</sup>

### **1918**

**Resident Natives Ordinance** in the Kenya colony forced African tenants to work for white landlords at least six months each year. <sup>3</sup>

### **1918–19**

Just as the British occupation of Teso and Lango was completed, **serious famine and rinderpest epidemic** broke out in Uganda. <sup>4</sup>

## 1920

**Native Registration Ordinance** enacted to ensure tighter labor and tax controls over Africans, who were now required to carry a pass (*kipande*). Wages declined as the postwar boom ended. 5

### Jan

**The British mandate over German East Africa** went into effect. The name of the territory was changed to Tanganyika. 6

### July

**British East Africa was renamed Kenya** and made into a crown colony. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1914](#))

### e. [West Central Africa](#)

#### 1912

**Discovery of diamonds in Lunda** area of Angola. Mining of diamonds in Angola began in 1916, and first exports in 1920. <sup>1</sup>

#### 1914–18

Troops of the Belgian Congo assisted the French and the British in coordinating the **war against Germany**. <sup>2</sup>

#### 1916

**Holy Ghost Fathers** replaced German Pallottine Fathers in Cameroon. **Seventh Day Adventists** began work in the Belgian Congo. <sup>3</sup>

#### 1917

**Female slavery prohibited** by the French in Cameroon. <sup>4</sup>

#### 1920

Extensive reorganization of **local government** in the Belgian Congo. <sup>5</sup>

**Bwiti cult** began in Gabon; **Kiyoka cult** started in Angola.

6

## 1921

**Simon Kimbangu**, a BaKongo peasant and catechist, declared that he was an emissary of God, chosen to lead his people from under the yoke of Belgian colonialism. He was arrested that year, but his movement persisted in rural areas for more than 30 years despite concerted persecution.

7

## 1922, July

**Two hundred forty-four followers of Simon Kimbangu** were deported from the Huri district.

8

## 1923

Many **Kimbanguist churches** opened in the Belgian Congo.

9

**Slavery abolished in Cameroon.**

10

## 1925

**Kimbanguists banned in Kasai. Watchtower movement** (Kitawala) introduced by Romo Nyirenda Mnyasa into Katanga.

11

The University of Louvain established **medical and agricultural** institutes in the Belgian Congo.

12

## 1926, May 28

**A Military coup in Portugal** led to the Estado Novo, and the accession to power of **Antonio Salazar** in 1928. Estado Novo revived colonial development policies, especially with respect to cotton, forcing many peasants in Angola and Mozambique to convert to cotton production instead of food crops, at great cost to their living standards.

13

## 1929

**Electric lighting** introduced into Douala.

14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1914](#))

## **f. [Southern Africa](#)**

### **1. North of the Limpopo**

#### **1915, Jan**

**John Chilembwe**, an American-trained pastor, led a brief **uprising** against colonial rule in Nyasaland (Malawi), sparked by forced conscription into World War I and by complaints of labor tenants. 1

#### **1917–19**

**Widespread rebellion in Zambezi region of Mozambique**, over wartime labor demands; not finally pacified in **Barwe** area until 1919. 2

#### **1920–30**

Growth of **religious and cultural movements in Southern Rhodesian mining compounds**, including Watchtower movement, called Kitawala, and **Beni dance associations**. Beni dance associations were a syncretic mix of African dance and European marching bands. 3

#### **1923**

**White settlers in Southern Rhodesia** (Zimbabwe) gained self-governing status. 4

## 1925, April

**White women in Southern Rhodesia** granted suffrage. 5

## 1927

**African workers called a strike** in Southern Rhodesia. 6

## 1930

**Land Apportionment Act** in Southern Rhodesia reserved half of the land, and most of the good farming land, for whites, and confirmed the status of African reserves, while requiring African tenants to work for white landlords. 7

**Makape “cleansing” cult** emerged in Nyasaland. 8

## c. 1930

**Welfare societies** or self-help groups established amongst Africans in Northern Rhodesian mines. 9

## 1933

**Tshekedi Khama**, regent of Bamangwato, deposed by the British for exceeding his powers. Tshekedi subsequently reinstated. 10

**Native authorities** in Nyasaland instructed on model of indirect rule. 11

## 1935, May

**Strike by African mineworkers** on Copperbelt of Northern Rhodesia (Zambia), sparked by changes in poll tax administration which worked to the detriment of urban areas. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1905](#))

## **g. [Madagascar](#)**

### **1914–18**

**Forty-one thousand Malagasy served in European war;** war stimulated the demand for labor and production of rice, other foods, and graphite. 1

### **1914–30**

The economy depended largely on the export of rice, hides, and meat. 2

### **1929–35**

The depression led to the collapse of commodity prices and forced government aid to settler agriculture. Weakened settler agriculture was an encouragement of Malagasy production. 3

### **1935–39**

Successful commodity production in rural areas and **organization of workers** led to beginnings of modern nationalist movement. (See [Madagascar](#)) 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Sept. 3](#)) (See [Sept. 3](#))

## **K. World War II, 1939–1945**

### **1. The Campaigns in Poland and Finland, 1939–1940**

#### **1939, Sept. 1**

**POLAND WAS INVADED** by German forces estimated at 1 million men. Headed by mechanized divisions and supported by overwhelming air power, the German thrusts disorganized and defeated the poorly equipped Polish armies. Though the latter had a numerical strength of 600,000 men, they were unable to mobilize effectively or concert their resistance. <sup>1</sup>

#### **Sept. 17**

In accordance with the secret protocol of the Soviet-Nazi nonaggression pact (See [Aug. 23](#)), **Russian troops invaded Poland** from the east, meeting the advancing Germans near Brest-Litovsk two days later. <sup>2</sup>

#### **Sept. 27**

After heroic resistance and destructive bombing, **Warsaw surrendered** and Polish organized opposition came to an end. The Blitzkrieg had lasted less than four weeks and the outcome had been determined in the first ten days. <sup>3</sup>

#### **Sept. 29**

**The German and Russian governments divided Poland.** Germany annexed outright the Free City of Danzig (population 415,000) and 32,000 square miles between East Prussia and Silesia. In addition an area of 39,000 square miles, known as the Gouvernement Général, remained under German protection. The total German gains were estimated at 72,866 square miles, with a population of 22,140,000. The Russians occupied 77,620 square miles of eastern Poland, with a population of 13,199,000. Lithuania and Slovakia received small cessions of Polish territory. <sup>4</sup>

### Nov. 30–1940, March 12

**RUSSO-FINNISH WAR.** Russian armies attacked on three fronts: below Petsamo on the Arctic Sea, in central Finland, and on the Karelian Isthmus. <sup>5</sup>

### Dec. 14

**Russia was expelled from the League of Nations** (See [Nov. 30](#)) for acts of aggression against Finland. <sup>6</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **2. The Invasion of Denmark and Norway, 1940**

**1940, Feb. 16**

**British naval forces entered Norwegian waters** to rescue 299 prisoners of war from the German ship *Altmark*. The Norwegian government protested (See [1940, Feb. 16](#)). <sup>1</sup>

**April 8**

The French and British governments announced that Norwegian waters had been mined to prevent the passage of German ships. <sup>2</sup>

**April 9**

**German sea and airborne forces descended on Norway**. Oslo, Bergen, Trondheim, Stavanger, and Narvik were rapidly invaded. At the same time German forces entered and occupied Denmark without more than pro forma resistance. <sup>3</sup>

**April 9**

A German destroyer squadron landed at Narvik and held the town even after destruction of the German ships by the British (April 13). On May 28 a British force recovered the town but was withdrawn on June 10 in view of the German attack in the west. <sup>4</sup>

**April 11**



Rallying from the surprise attack, Norwegian forces offered growing resistance. Three German cruisers and four troopships were lost in the invasion. 5

### April 16–19

**Anglo-French expeditionary forces** landed in southern Norway, but were compelled to withdraw after two weeks (May 3). 6

### April 30

The Germans, reinforced steadily, captured Dombas, a key rail center, and **Norwegian resistance was broken**, though military operations were carried on until June 10. 7

### Sept. 25

The German reich-commissar for Norway set aside the legal administration, dissolved all political parties except the Nasjonal-Samling, and entrusted the government to 13 commissars. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **3. The Conquest of the Low Countries and the Fall of France, 1940**

#### **1940, May 10**

**German armies**, without warning, **invaded the Netherlands, Belgium, and Luxembourg**. 1

The French and British governments dispatched expeditionary forces into Belgium to cooperate with the Belgian army in its resistance. The Germans captured Fort Eben Emael, a key Belgian defense position. 2

#### **May 12**

The **Germans crossed the Meuse** at Sedan. 3

#### **May 13**

**Rotterdam surrendered** to the Germans after part of the city had been blasted by an exterminating air attack. The **Netherlands army capitulated** on May 14. 4

#### **May 17–21**

**German mechanized divisions drove deep into northern France**, racing down the Somme Valley to the English Channel at **Abbeville**. The British and Belgian forces in Flanders were thus separated from the main French armies. **Gen. Maxime Weygand** replaced Gen. Gustave Gamelin as French commander in chief, but he was unable to arrest the French collapse. The **fall of Brussels** and Namur forced the British and Belgian armies back upon Ostend and Dunkirk. 5

## May 26

**Boulogne fell** to the Germans. The Belgian armies, disorganized and short of supplies after 16 days of fighting, could not sustain further attacks, and Leopold III ordered them to capitulate. 6

## May 28

Exposed by the capitulation of the Belgians, the British expeditionary force of some 250,000 had to be withdrawn, chiefly from the beaches of **Dunkirk**. 7

## June 4

By heroic efforts some 200,000 British and 140,000 French troops were rescued, but were forced to abandon almost all equipment. British losses including prisoners totaled 30,000. 8

## June 5

Having secured their right wing, the German invaders launched a wide attack against the French on an arc from Sedan to Abbeville. 9

## June 10

**ITALY DECLARED WAR AGAINST FRANCE AND GREAT BRITAIN.** Italian forces invaded southern France. 10

## June 13

**Paris was evacuated** before the continued German advance. 11

## June 15

The French fortress of **Verdun** was captured.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **4. The Battle of Britain, 1940**

### **1940, June**

The **fall of France** and the loss of war materiel in the evacuation from Dunkirk led the British prime minister, Winston Churchill, to appeal to the U.S. government for military supplies. These were released by the War Department (June 3), and three weeks later a first shipment, including 500,000 rifles, 80,000 machine guns, 900 75-mm field guns, and 130 million rounds of ammunition, reached Britain. 1

### **July**

On the fall of France the Germans occupied islands in the English Channel and intensified their air attacks on British cities, communications, and shipping. 2

### **Aug. 8**

German bombers opened an **offensive designed to destroy British air strength** by blasting the airfields and vital industries. 3

### **Aug. 15**

**One thousand German planes** ranged as far north as Scotland. Croydon airfield was bombed. The British retaliated with heavy raids on Berlin, Düsseldorf, Essen, and other German cities. 4

### **Aug. 17**

The German government proclaimed a **total blockade** of the waters around Great Britain. 5

### Sept. 2

An important **defense agreement** was concluded **between Great Britain and the United States**. Fifty American destroyers were transferred to Britain to combat the air and submarine menace. In exchange the U.S. received a 99-year **lease of naval and air bases** in Newfoundland, Bermuda, the Bahamas, Jamaica, Antigua, St. Lucia, Trinidad, and British Guiana. 6

### Sept. 11

The **British bombed Continental ports**, including Antwerp, Ostend, Calais, and Dunkirk, to frustrate German invasion preparations. 7

### Sept. 16

Improved British defense measures inflicted heavy losses on German air raiders, 185 invading planes crashing in one day. 8

### Sept. 27

A **GERMAN-ITALIAN-JAPANESE PACT** was concluded at Berlin providing for a ten-year military and economic alliance. The three contracting powers further promised each other mutual assistance in the event that any one of them became involved in war with a power not then a belligerent. 9

### Oct. 10

Resuming the **air assault** with full intensity, the German Luftwaffe raided London heavily. Some Italian air squadrons joined in the attack. But shorter days, stormy weather, and improved defenses diminished the effectiveness of the air arm. 10

## Nov. 10

In a supreme effort at crushing British industrial resources and demoralizing the population, the Germans blasted the industrial city of **Coventry** with destructive effect. Thereafter the air attacks became more sporadic. The British had survived the worst of the aerial Blitzkrieg, and after November the winter weather made any attempt at invasion less likely. German losses in aircraft had been heavy: an official estimate placed them at 2,375 German to 800 British planes destroyed in the period Aug. 8–Oct. 31. But many British cities had been severely shattered and burned, and 14,000 civilians had been killed in London alone. British losses at sea had also been heavy. On Nov. 5 Churchill declared that the **submarine boat** had become a greater menace than the bombing plane.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **5. The Balkan Campaigns, 1940–1941**

### **1940, June**

The **fall of France** and the desperate position of Great Britain in the summer of 1940 <sup>1</sup> caused a shift in the European balance. In the Balkans Romania, which had won territory from all its neighbors in the 20th century, was particularly menaced. By September the Romanian government had ceded territory to the Soviet Union, Hungary, and Bulgaria, yielding to threats and Axis pressure. In all, Romania lost about 40,000 square miles and a population of 5 million (See [1940, June 26](#)).

### **Oct. 4**

**Hitler and Mussolini conferred** at the Brenner Pass. The failure to break British <sup>2</sup> resistance and increasing activity in the Balkan and Mediterranean areas forecast a shift in Axis strategy. Hitler also conferred with the French vice premier, **Pierre Laval** (Oct. 22), with **Gen. Francisco Franco** of Spain (Oct. 23), with **Marshal Henri-Philippe Pétain**, head of the Vichy French government (Oct. 24), and again with Mussolini, in Florence (Oct. 28).

### **Oct. 8**

**German troops entered Romania** to “protect” the oil fields. <sup>3</sup>

### **Oct. 28**

**Greece rejected a demand of the Italian government** for the use of Greek bases. <sup>4</sup> Thereupon the Italians invaded Greece from Albania.



### Oct. 30

**British reinforcements** were landed on Crete and other Greek islands. The Russian government delivered 134 fighter planes to Greece in accord with existing agreements.

5

### Nov. 12

**Vyacheslav Molotov**, Soviet commissar for foreign affairs, **conferred with Hitler** in Berlin. Soviet troops were massed on the Romanian border.

6

### Nov. 13

British bombing planes destroyed or damaged half of the Italian fleet anchored in the inner harbor at **Taranto**. At the same time Churchill announced the addition of five 35,000-ton battleships to the British navy.

7

### Nov. 20

**Hungary joined the Berlin-Rome-Tokyo pact.**

8

### Nov. 23

**Romania joined the Berlin-Rome-Tokyo pact.**

9

### Dec. 3

The **Greeks broke through the Italian defenses** in Albania, captured Porto Edda, and claimed a total of 28,000 prisoners. Agyrokastron was likewise captured five days later, and the Greeks overran one-fourth of Albania. The Germans dispatched 50,000 troops to reinforce the Italian armies. Combined with temporary successes of the British against the Italians in Africa, the Greek victories marked a blow to Axis prestige.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **6. The Campaigns in the Soviet Union, 1941–1944**

### **1941, June 22**

**GERMAN ARMIES INVADED THE SOVIET UNION**, opening hostilities on a front of 2,000 miles, from the White to the Black Sea. The German invaders, with their allies, the Italians, Romanians, Hungarians, and Finns, were estimated at over 3 million men. The Russians were credited with 2 million men under arms, and an indefinite reserve. Churchill promised that Great Britain would extend all possible aid to the Russians. The German invasion of the Soviet Union, combined with conquests in Poland, Hungary, Czechoslovakia, and the Balkans, brought millions more Jews under Germany's influence. The Nazis already practiced extermination against “Bolsheviks,” and special “intervention squads” (*Einsatzgruppen*) accompanied German attack forces with orders to liquidate Communist Party officials and Jews. 1

### **June 29**

The Germans reached Grodno, Brest-Litovsk, and Vilna. 2

### **July 1–2**

**Riga**, capital of Latvia, **was occupied by German troops**, and the Russian retreat continued with heavy losses, especially around Bialystok. 3

### **July 13**

**A pact promising mutual aid was concluded between Great Britain and Russia.** 4

## July 16

The Germans captured Smolensk. 5

## Aug. 1

**Britain severed relations with Finland**, which the Germans were using as a base for their invasion of Russia. 6

## Aug. 19

The **Germans claimed all Ukrainian territory** west of the Dnieper except Odessa. 7

## Aug. 25–29

**British and Soviet forces invaded Iran** (See [1941, Aug. 25](#)). 8

## Sept. 4

The Germans commenced the **investment of Leningrad**, a state of partial siege that was not ended until Jan. 1943. 9

## Sept. 19

**Kiev and Poltava were stormed** by the Axis forces, which continued their victorious advance to Orel (Oct. 8), Bryansk (Oct. 12), Viazma (Oct. 13), Odessa (Oct. 16), Tanganrog (Oct. 19), and Kharkov (Oct. 24). By the end of October the Germans had **entered the Crimea** on the southern end of the vast front and had commenced the **siege of Moscow** in the north. The Soviet government transferred its headquarters to Kuibyshev. 10

## Oct. 1

The **FIRST SOVIET PROTOCOL**, signed at Moscow, provided that Great Britain and the U.S. would supply materials essential to the Russian war effort for nine months. Purchase of American supplies was speeded by extending the Soviet government a credit of \$1 billion (Oct. 30). This was supplemented (June 11, 1942) by a **master lend-lease agreement** whereby the U.S. promised to supply the Soviet Union with such materials and services as the president might authorize. In return the Soviet government pledged that such articles or information would not be transferred to a third party without the consent of the president. The arrangement was to continue until a date agreed upon by the two governments and materials unconsumed were to be returned to the U.S. at the end of the emergency. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#) [NEXT](#)

---

## **7. Defense of the Western Hemisphere, 1939–1945**

**1939, Oct. 2**

A **Pan-American conference at Panama** declared that the waters surrounding the Western Hemisphere for a distance of 300 miles from shore and as far north as Canada constituted “sea safety zones” and must be kept free from hostile acts by non-American belligerent nations. The conference also issued a **general declaration of neutrality** of the American republics. 1

**Nov. 4**

President Roosevelt signed an **amendment to the Neutrality Act** which repealed the embargo on the sale of arms and placed exports to belligerent nations on a **cash-and-carry** basis. 2

**Dec. 13**

Three British cruisers attacked the German battleship *Graf Spee* and drove it into the harbor of Montevideo. When forced to leave harbor, it was scuttled by the German crew (Dec. 17). In the name of the American republics the president of Panama protested to Great Britain, France, and Germany at this and other belligerent acts committed in American waters. 3



## 8. Naval Warfare and Blockade, 1939–1944

The gross tonnage of the merchant fleets of the leading nations in 1939 reflected the overwhelming advantage that Great Britain and its subsequent allies enjoyed on the sea. The ships of Norway, the Netherlands, and Belgium, most of which escaped when these countries were overrun by the Germans in 1940, took service with the British and helped to build up the pool of **United Nations** shipping. <sup>1</sup>

### *Merchant tonnage, 1939*

Great Britain	21,001,925	Japan	5,629,845
United States	11,470,177	Germany	4,482,662
Norway	4,833,813	Italy	3,424,804
Netherlands	2,969,578		
France	2,933,933		
Belgium	408,418		
Total	43,617,844		13,537,311

In 1939 the **world tonnage** for merchant ships of 100 tons or over was 68,509,432. More than half of this was destroyed, largely by submarine or air attack, in the course of the next five years. Yet, so energetic was the shipbuilding program, carried out largely in American yards immune to air attack, that by May 1945, Britain and the U.S., through the **war shipping administration**, disposed of over 4,000 ships with a deadweight tonnage of 43 million. The Germans, Italians, and Japanese, on the other hand, found it increasingly difficult to make good their losses, and by 1945 their fleets, merchant and naval, had been almost completely eliminated.

**1939, Sept. 3**



The British government proclaimed a **naval blockade of Germany**.

2

### Nov. 21

The British tightened the blockade on German imports and announced that German exports likewise would be halted.

3

### Dec. 1

From this date neutral shippers were advised to obtain a “navicert” or certificate from British consular officials. These navicerts enabled a cargo to be passed through the patrols established by the British government in concert with its allies. Italy, the Netherlands, Belgium, and Japan protested against the British blockade measures.

4

### Dec. 8

The U.S. Department of State questioned the British practice of seizing German goods on neutral vessels, and challenged (Dec. 14) the diversion of U.S. ships to British and French control bases. The State Department also protested (Dec. 27) against the British **examination of neutral mail** in the search for contraband.

5

### Dec. 17

The German battleship *Graf Spee* was blown up by order of the commander.

6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

## **9. The Campaigns in the Middle East and Africa, 1939–1943**

### **1939, Sept. 3**

Egypt severed diplomatic relations with Germany, but remained neutral.

1

### **Oct. 19**

**Turkey** signed a **treaty of alliance with Britain and France**. The Turkish government promised to enter the war when Italy did, but **remained neutral** even after the Italian declaration of war. Turkish diplomats spent much of the war struggling to keep Turkey out of the fighting.

2

## **10. The Invasion of Italy, 1943–1944**

### **1943, July 10**

U.S., British, and Canadian forces invaded Sicily under the command of Gen. Dwight D. Eisenhower. Over 2,000 vessels were employed to convoy 160,000 men, and landings were effected along the southern coast. The Americans seized Gela; the British Eighth Army and Canadian troops, disembarking at Cape Passaro, drove along the east shore. 1

### **July 14**

**Port Augusta was captured.** 2

### **July 19**

Allied **bombing planes wrecked Naples**, and, after repeated warnings, attacked railway terminals and military objectives in Rome (July 20). 3

### **July 22**

**Half of Sicily was occupied**, the Allied front stretching from Catania to Mazzara. Palermo fell on July 24. 4

### **July 25**

**BENITO MUSSOLINI WAS FORCED TO RESIGN** with his cabinet, and his place was taken by **Marshal Pietro Badoglio**, who opened negotiations for an armistice. 5

## Aug. 18

**Resistance in Sicily collapsed** with the fall of Messina. The campaign had cost the Allied armies an estimated 22,000 casualties, the Axis forces 167,000. At a loss of 274 planes, the Allied airmen accounted for 1,691 enemy aircraft.

6

## Sept. 3

**British and American forces crossed the Straits of Messina and landed in southern Italy.**

7

## Sept. 3

An **armistice was signed** at Algiers, ending hostilities between the Anglo-American forces and those of the Badoglio regime. It was announced (Sept. 8) that the Italian surrender was unconditional. The actual terms were not disclosed.

8

## Sept. 15

Ex-premier Mussolini, who had been held prisoner near Rome, was rescued by German troops (Sept. 12), who seized the leading cities, including Rome.

9

## Oct. 1

After **landing near Salerno** (Sept. 9), American troops entered Naples. Thereafter, however, winter weather, the mountainous countryside, and stubborn German resistance stopped the Allied advance on a line south of Cassino.

10



## **11. The Liberation of France and Belgium, 1944**

### **1944, June 6**

**INVASION OF NORMANDY.** For many months careful and elaborate plans had been matured by the Supreme Headquarters of the Allied Expeditionary Force (SHAEF) for invading France. Command of this greatest amphibious operation in history was entrusted to **Gen. Dwight D. Eisenhower**. The British Isles provided the chief base for the concentration of men and war materiel, and the plan of campaign to follow the invasion date (D-Day) was rehearsed in exhaustive detail. **Air control** was to be maintained by the U.S. Eighth and Ninth Air Forces and the British Royal Air Force, with a combined strength of over 10,000 planes. An American naval task force and a British naval task force were assembled to support the assault, and the invasion was planned to proceed under cover of an intense and accurately directed bombardment by 800 guns on 80 warships. To convey the troops and supplies across the channel, 4,000 other ships were used, and the lack of port facilities for disembarkation was overcome by a dramatic improvisation in engineering. **Artificial harbors** were to be constructed on an exposed coast by sinking lines of blockships and concrete caissons to form breakwaters, with floating pierheads and pontoon causeways to serve as wharves and docks. <sup>1</sup>

### **June 6**

U.S. and British forces succeeded in **landing on the Normandy coast** between St. Marcouf and the Orne River. Within a week a strip of beach 60 miles long had been occupied and the artificial harbors constructed. <sup>2</sup>

### **June 18**

An unusually **severe gale** with high waves delayed landing operations for three days and wrecked the major causeways of one artificial harbor. It was abandoned and traffic diverted to a British-built harbor that was less exposed and had suffered less severely. <sup>3</sup>

### June 27

The **capture of Cherbourg** placed a major port in Allied control. During the first hundred days following D-Day 2.2 million men, 450,000 vehicles, and 4 million tons of stores were landed. This extraordinary achievement was rendered possible by perfecting the services of supply, on the basis of experience gained in the First World War and in the amphibious landings in Africa and Italy. The enormous output of Allied factories and shipyards, which made it possible to duplicate all wrecked or damaged equipment, was also an important factor. <sup>4</sup>

### July 9

**British and Canadian troops captured Caen.** Allied tanks broke through German defenses near **St. Lô** and fanned out, disorganizing enemy resistance. Persistent bombing of all bridges and railways severely crippled the German attempts to bring up adequate forces to halt Allied drives. <sup>5</sup>

### Aug. 15

In another amphibious operation the Allies effected successful **landings on the French Mediterranean coast** between Marseilles and Nice. <sup>6</sup>

### Aug. 24

The citizens of **Paris** rioted against German forces of occupation as Allied armed divisions crossed the Seine and approached the capital. **French Forces of the Interior (FFI)**, which had been organized for underground resistance and supplied with arms, rose against the retreating Germans. <sup>7</sup>

### Aug. 25

**Paris liberated.**

8

### Sept. 2

**Allied forces**, which had penetrated into Belgium, **liberated Brussels.**

9

### Sept. 12

The **American First Army crossed the German frontier** near Eupen, and American armored forces entered Germany north of Trier. The Germans, however, manning their **Westwall** defenses, offered firm resistance, and the Allied advance was halted. An Allied attempt to outflank the Westwall through the flat Dutch territory to the north (Sept. 17–26) failed, and survivors of an Allied airborne division that was dropped at **Arnhem** had to be withdrawn.

10

### Sept. 15

The American Seventh and the French First Armies, sweeping up the Rhone Valley from beachheads won (Aug. 15) on the Riviera, joined the American Third Army at Dijon. The American, British, and French forces were then reorganized in liberated France for a projected assault on Germany.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## 12. [The Battle of Germany, 1945](#)

**THE ROLE OF AIR POWER.** In 20th-century warfare the assembly line became as important as the battle line and consequently an equally vital target for attack. The strategy of blockade adopted by the Allied governments was designed primarily to starve not the German population but German industrial and military machines, chiefly by cutting off fuel and essential raw materials. This aim could best be achieved by supplementing the naval blockade with a systematic **bombing of German factories, power plants, and transportation centers.** <sup>1</sup>

At the commencement of the Second World War, in 1939, the Germans possessed the strongest air force in the world. By the close of 1943, however, their bombing squadrons were depleted, though they still had a peak force of 3,000 first-line fighters. In 1944 the Allied air offensive was sharply intensified and German air strength declined decisively. Over 1,000 Luftwaffe planes were destroyed in January and February, and vital machine plants in **Essen** and **Schweinfurt** were crippled. **Gen. Henry H. Arnold**, commanding general of the U.S. Army air forces, later characterized the week of Feb. 20–26, 1944, as “probably the most decisive of the war” because of the shattering damage inflicted upon German installations in six days of favorable flying weather. By the end of hostilities the Germans had received 315 tons of explosive in retaliation for every ton of aerial bombs they had launched against Britain. Their loss in planes, by Jan. 1, 1945, had passed 50,000, in comparison with a total loss of 17,790 suffered by the U.S. air forces on all fronts. During the last four months of fighting, Allied air squadrons roamed Germany almost at will, destroying communications, obliterating plants and stores, and wrecking many of the remaining German aircraft on the ground, where they lay helpless for lack of fuel and repairs. <sup>2</sup>

The **military collapse of Germany** was consummated in four months by simultaneous drives launched by Soviet armies in the east and south and by American, French, and British imperial forces in the west. Concentration camps were liberated during the Allied invasion. 3

### Jan. 12

Opening a powerful **drive into Poland**, the Russians took **Warsaw** (Jan. 17), swept into **Tarnow, Cracow, and Lodz** two days later (Jan. 19), and forced the Germans to abandon the whole **Vistula defense line**. By Feb. 20 Russian mechanized units, spearheads of the encroaching Soviet host that numbered 215 divisions, were within 30 miles of Berlin. 4

### Feb. 4–12

**Yalta Conference.** While President Roosevelt, Prime Minister Churchill, and Marshal Stalin met at Yalta in the Crimea to plan the final defeat and occupation of Germany, the U.S. Third Army crossed the German frontier at ten points. British and Canadian divisions opened an offensive southeast of **Nijmegen** (Feb. 8). 5

### Feb. 22

The Third Army continued its progress, crossing the **Roer River**. American advance forces drove toward the **Ruhr Valley** (Feb. 23) and entered **Trier** (March 2) and Köln (March 5). Supreme Headquarters announced that 954,377 German prisoners had been taken since D-Day (June 6, 1944). 6

### March 7

The U.S. First Army **crossed the Rhine at Remagen**, and the German defense system on the east bank collapsed. By April 11 the U.S. Ninth Army had reached the **Elbe River**; eight days later the Russians fought their way into **Berlin** (April 20); and advance units of the **American and Soviet armies met on the Elbe at Torgau** (April 25). 7

## April 28

**German resistance in northern Italy broke** as American and British forces swept into the Po Valley (See [Aug. 12](#)). 8

## May 1

**BATTLE OF BERLIN.** Soviet forces continued to shell Berlin and fight their way into the capital. A German radio announcement from Hamburg declared that **Adolf Hitler had died** defending the Reichschancellery, and that **Adm. Karl Doenitz** had succeeded him. 9

One million German and Italian soldiers in Italy and Austria laid down their arms. 10

## May 4

The **dissolution of the German National Socialist regime** continued, with local military commanders making their own offers of capitulation. German divisions in northwestern Germany, the Netherlands, and Denmark surrendered. 11

## May 7

A group of **German army leaders** sent envoys to Reims, where they **signed terms of surrender**. 12

## May 8

President Truman for the United States and Prime Minister Churchill for Great Britain proclaimed the **end of the war in Europe (V-E Day)**. 13

## May 9

**Marshal Stalin** announced the end of the war to the Russian people. German army chiefs completed the formula of surrender in Berlin. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **13. The War in Asia, 1939–1941**

### **1939**

**Economic penetration** and **military intervention** enabled the Japanese to bring a widening area of China under their control after 1931, and especially after 1937. They forced the Chinese Nationalists to establish a new capital at **Chongqing** (See [Nov. 20](#)). At the same time, the outbreak of war in Europe compelled the British, French, and Soviet governments to concentrate their forces in that quarter, and left the United States the only great power in a position to oppose Japanese expansion. <sup>1</sup>

### **Dec. 31**

**Russia and Japan reached an accord** concerning the renewal of fishing rights and the settlement of debt claims between Russia and Manchukuo. <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

## **14. The War in the Pacific, 1941–1945**

**1941, Dec. 7**

The **JAPANESE SEA AND AIR FORCES LAUNCHED A SURPRISE ATTACK ON THE UNITED STATES BASE AT PEARL HARBOR, HAWAII, ON THE PHILIPPINES**, and against British forces in **Hong Kong** and **Malaya**. The U.S. forces were caught unprepared. At Hawaii five battleships and three cruisers were sunk or seriously damaged, three battleships less severely damaged, many smaller vessels sunk or crippled, and 177 aircraft destroyed. The casualties included 2,343 dead, 876 missing, and 1,272 injured. 1

**Dec. 8**

**THE UNITED STATES DECLARED WAR ON JAPAN**. Japanese air and naval forces attacked **Guam** and **Wake Island**. Resistance on Guam ended on Dec. 13 and on Wake Island on Dec. 20. **Great Britain declared war on Japan**. 2

**Dec. 10**

The British battleship *Prince of Wales* and the battle cruiser *Repulse*, which had been dispatched to Singapore, were sunk by Japanese aircraft off the Malay coast. 3

**Dec. 11**

**GERMANY AND ITALY DECLARED WAR ON THE UNITED STATES**. 4

**Dec. 21**

A **ten-year treaty of alliance** was signed at Bangkok **between Japan and Thailand**. 5  
The Thai government agreed to aid Japan and declared war (Jan. 25, 1942) against Great Britain and the U.S.

## Dec. 25

British forces at **Hong Kong surrendered** to the Japanese. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 15. [The Organization of Peace](#)

The **League of Nations**, formed at Versailles in 1919, failed to curb powerful aggressors or to protect its weaker members from attack. It was never a well-balanced, truly supranational league, and proved itself unfit to deal with economic problems or to enforce its decisions. When the Second World War opened in 1939, the League of Nations had lost almost all its prestige and influence. 1

The **international anarchy**, repudiation of treaties, acts of aggression, and final outbreak of a general war that marked the 1930s brought home to peaceful nations the need for an organization better adapted to adjust international tensions and disputes. 2

Three **projects for international federation** took form in the war years 1939–45. In Europe, Germany, Italy, and their satellite states forged an anti-Comintern, antidemocratic bloc that Adolf Hitler called his “**New Order.**” In Asia and the East Indies the Japanese extended their power over a widening area, which they termed a “**Coprosperity Sphere**” and in which they promulgated the doctrine of Asia for the Asians. Both the German and the Japanese hegemony had contracted and finally collapsed in defeat by the summer of 1945. 3

The third international federation formed in the war years came to be known as the **United Nations Organization**. It was based ideologically upon the foundations of the **Atlantic Charter** (See [Aug. 14](#)); structurally upon the wartime solidarity of the “Big Three,” Britain, the Soviet Union, and the United States; and financially upon the credits (\$43 billion) made available by the lend-lease policy of the U.S. government to nations that opposed the Axis. The victory of the United Nations, achieved in large measure through the effective mobilization of world resources, left their leaders in a position to write the peace treaties. 4

**1942, Jan. 1**



Declaration by the United Nations at Washington to cooperate, on the basis of the Atlantic Charter, in employing their full forces against Germany, Italy, and Japan. The declaration was signed by the U.S., Great Britain, Soviet Russia, and 23 other nations at war. Subsequently 19 other nations adhered.

5

### 1943, Oct. 19–Nov. 1

Moscow conference of British, U.S., and Soviet foreign ministers, who agreed (China adhering) to establish an international organization for peace and security, to set up a European advisory commission on terms of German surrender, to separate Austria from Germany, and to destroy the Italian Fascist regime.

6

### Nov. 9

The **United Nations Relief and Rehabilitation Administration (UNRRA)** was established at Washington. This international body was to aid countries subjugated by the Axis powers.

7

### Nov. 22–26

**Cairo conferences** (Roosevelt, Churchill, Jiang Jieshi (Chiang Kai-shek) and **Cairo Declaration** on postwar treatment of Japan (Manchuria to be returned to China; Korea to be independent).

8

### Nov. 28–Dec. 1

**Tehran Conference** (Roosevelt, Churchill, Stalin): discussion of landing in France and of cooperation in the peace settlements. Agreement to set up a **European Advisory Commission** to study European problems.

9

### Dec. 4–6

**Second Cairo Conference:** futile efforts of Roosevelt and Churchill to induce Turkey (President İnönü) to enter the war.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Table of Contents

### Page 7

#### VII. The Contemporary Period, 1945–2000

##### A. General and Comparative Dimensions

###### 1. Changing Global Patterns

###### a. Changing Structures of Global Power

###### b. Globalization of Material Life

###### c. Globalization and Special Identities

###### 2. International Relations

###### a. Rise of the Cold War and End of Empires

###### b. New Global Relationships

##### B. Europe, 1945–2000

###### 1. Economic and Social Changes

###### 2. Religious and Philosophical Thought

###### 3. Culture and Popular Culture

###### 4. Science and Technology

###### 5. Diplomatic Relations and European Pacts

###### 6. Western Europe, 1945–2000

###### a. Britain

###### b. Ireland (Eire)

###### c. The Low Countries

###### d. France

###### e. The Iberian Peninsula

###### f. The Italian Region

###### g. Switzerland

###### h. Germany

i. Austria

j. The Scandinavian States

7. Eastern Europe, 1945–2000

a. Poland

b. Czech Republic and Slovakia (Czechoslovakia)

c. Hungary

d. Yugoslavia and Successor States

e. Albania

f. Greece

g. Bulgaria

h. Romania

i. Russia (Union of Soviet Socialist Republics and Successor States)

C. North America, 1946–2000

1. The United States, 1946–2000

2. Canada, 1946–2000

D. Latin America, 1945–2000

1. Overview

a. Cultural Developments

b. Regional Diplomacy

2. South America, 1945–2000

a. Argentina

b. Chile

c. Paraguay

d. Uruguay

e. Bolivia

f. Peru

g. Ecuador

h. Colombia

i. Venezuela

j. Brazil

k. Surinam

3. Central America, 1945–2000

- a. Panama
- b. Guatemala
- c. El Salvador
- d. Nicaragua
- e. Costa Rica
- f. Honduras

#### 4. Mexico, 1946–2000

- a. Cuba
- b. Puerto Rico
- c. The Dominican Republic
- d. Haiti
- e. British Caribbean Territories and Guyana (British Guiana)

### E. The Middle East and North Africa, 1945–2000

- 1. Overview
- 2. Military, Diplomatic, and Social Developments
- 3. The Middle East and Egypt, 1943–2000
  - a. Turkey
  - b. Cyprus
  - c. Iran
  - d. Afghanistan
  - e. Syria
  - f. Lebanon
  - g. Palestine and Israel
  - h. Jordan
  - i. Iraq
  - j. Saudi Arabia
  - k. North and South Yemen
    - 1. The Gulf States
  - m. Egypt
- 4. North Africa, 1945–2000
  - a. Morocco
  - b. Algeria

c. Tunisia

d. Libya

F. South and Southeast Asia, 1945–2000

1. South Asia, 1945–2000

a. Overview

b. British India, to Independence and Partition

c. The Republic of India

d. Pakistan

e. Bangladesh

f. Sri Lanka (Ceylon)

g. Maldives

h. Nepal

2. Southeast Asia, 1941–2000

a. Overview

b. Mainland Southeast Asia

c. The Malay Archipelago and Peninsular Malaysia

G. East Asia, 1945–2000

1. China, 1945–2000

a. The Civil War

b. The People's Republic of China (PRC)

c. The Republic of China (Taiwan, Nationalist China)

2. The Republic of Mongolia (The Mongolian People's Republic), 1945–2000

3. Korea (North and South), 1945–2000

4. Japan, 1946–2000

5. Vietnam, 1945–2000

H. The Pacific Region, 1944–2000

1. The Islands, 1946–2000

2. The Philippines, 1945–2000

3. Australia, 1944–2000

4. New Zealand, 1945–2000

I. Africa, 1941–2000

1. Overview

## 2. Regions

a. West Africa

b. Northeast Africa (Horn)

c. East Africa

d. West Central Africa

e. Southern Africa

f. Madagascar

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

---

(See [1941–45](#))

## **VII. The Contemporary Period, 1945–2000**

### **A. General and Comparative Dimensions**

In the second half of the 20th century, the rivalry of two superpowers, the **United States** and the **Soviet Union**, dominated world political affairs. Within this political framework, **the globalization of virtually all aspects of human life continued**. Yet the intensification of global interactions resulted in neither a peaceful “one world” society nor a world filled with identical technological dictatorships. Instead, local anarchies and assertions of special identities coexisted with global communications and economic networks and new transnational and regional structures. The major global dynamics of the second half of the 20th century can be seen in two broad dimensions: the evolution of global relationships in political, economic, social, and cultural structures, and in scientific and environmental interactions; and the intensification and diversification of concrete international relationships of institutions and movements. <sup>1</sup>

#### **1. Changing Global Patterns**

Global relationships evolved in a number of important ways in the second half of the 20th century. The developments were reflected in three important areas: the changing nature of global power structures and conflicts; the impact of globalization on economics, science, and technology, and responses to the environment; and the emerging complex relationships among global, regional, and local aspects of culture and society. By the 1990s, there was considerable awareness of many different possibilities for the formation of “new world orders.” <sup>2</sup>

##### **a. Changing Structures of Global Power**

The basic nature of global power structures, and even the nature of the most important <sup>3</sup>



conflicts, changed significantly during the second half of the 20th century. Such changes were clearly visible in 1) the transformation of **imperialisms** and the development of **nationalisms**; 2) the evolution of the **cold war** and the basic framework for world politics; 3) the development of **international institutions** for conflict management and resolution.

## 1. Imperialisms and Nationalisms

At the end of World War II, a number of major European states still controlled significant overseas empires. In the postwar years, the main transformation was the **decline of the older empires** and the **emergence of two superpowers** that replaced them as the major world powers. During the war, **Allied** promises and **Axis** conquests had raised hopes of national independence in many areas. After the war, growing nationalism and European weakness, sometimes furthered by cold war rivalries for Asian and African allegiances, led to **decolonization**.

### 1945–54

**Reestablished empires and new states.** In the immediate postwar era, the major empires attempted to reestablish control in many areas but also granted independence to particular states. The empires faced movements of armed opposition and growing political nationalism.

**Armed opposition to empires.** In many of the areas that had been conquered by the **Axis powers** during World War II, there was armed nationalist opposition to attempts to reestablish European imperial control. In **INDOCHINA**, the **Viet Minh**, originally a movement of resistance to Japanese control, declared **Vietnamese independence** in 1945 (See [1945, Sept. 2](#)). However, the **French** attempted the reconquest of its Indochinese colonies; in the long **first Indochina war**, the French ultimately lost and withdrew after their defeat at **Dien Bien Phu** in 1954. In **INDONESIA**, the **Dutch** attempted to reestablish control after the Japanese defeat, in opposition to the independence declared in 1945 by nationalists led by **Sukarno** (See [1945, Aug. 17](#)). After a costly war, **Indonesian independence** was recognized in 1949. In **SYRIA** and **LEBANON**, French attempts in 1945 to reverse wartime agreements giving independence to the two countries were met with nationalist opposition. Under pressure from the United States, Great Britain, and the United Nations, French troops were withdrawn in 1946.

**Negotiated independence in the immediate postwar era.** The imperial powers and local leaders in a number of countries were able to negotiate arrangements for

independence. In **SOUTH ASIA** negotiations led to independence for **Ceylon** (now Sri Lanka) from the **British** in 1947, and for **Burma** in 1948. **INDIA** was partitioned and, in 1947, became the independent states of **Pakistan** and **India**. Britain also withdrew from **PALESTINE**, where a United Nations–defined partition resulted in the establishment of **Israel** in 1948 and in the emergence of a **Palestinian** nationalist movement seeking to create an Arab Palestinian state. Both partitions resulted in bloody conflicts, but Great Britain was not involved directly in either postindependence war. However, **Jewish guerrilla** warfare during and immediately after World War II had put added pressure on the British to withdraw from Palestine. **JORDAN** received formal independence from its mandate status in 1946, although it maintained a special treaty relationship with Britain until the 1950s. **The Philippines** were proclaimed independent in 1946, shortly after their reconquest by the **United States** from Japan. **Former Italian colonies** were special cases. After considerable disagreement among the major powers, the United Nations established the independent Kingdom of **LIBYA** in 1951, and voted in 1950 to affirm the independence of **SOMALIA** under the trusteeship of Great Britain and Italy. **Eritrea** was included in the newly liberated **Ethiopia** with some autonomy, which was later lost in the 1950s.

## 1954–69

**Victory of nationalism.** In the 1950s and 1960s, the classic struggles between nationalism and imperialism reached a climax. By the end of the 1960s virtually every major colony in the large European overseas empires had gained its independence, and only smaller dependencies remained. This was achieved both through costly wars of **nationalist revolution** and **continuing negotiations**. The end of the European empires was often overshadowed by the tensions of the cold war, which threatened nuclear global destruction rather than costly local conflicts. Nevertheless, the end of the old empires marked a major transition, and the newly independent states became important members of the emerging **THIRD WORLD**, between the communist world and the West.

**Wars of nationalist liberation.** In a number of countries, independence came only after a fierce fight. In contrast to the nationalist wars of the late 1940s, these later wars did not build on structures developed as a result of World War II so much as they were the products of distinctive local developments involving imperial policies and nationalism. In **ALGERIA**, there was a large French settler community, and the French claimed that Algeria was part of France, not a colony. The Algerian war for independence (See [1954–62](#)) began in 1954, under the leadership of the **Front de libération nationale (FLN)**. The war involved counterrevolutions by conservative French Algerians and a transformation of the French political system itself. Finally, in 1962, after perhaps more than one million war deaths, Algeria became independent under an FLN government.

8

9

The **British** faced three major colonial conflicts in the 1950s. In **CYPRUS**, Greek Cypriot nationalists sought union with **Greece** and engaged in sometimes violent opposition to both the British and Turkish Cypriots. After negotiations that included Greece and Turkey, Cyprus became independent in 1960. In **KENYA**, local Kenyan resistance, especially to British settlers, led to the violent **Mau Mau uprising**, which was suppressed in 1955 (See [1952–59](#)). However, the uprising increased pressures for negotiations, and Kenya achieved independence in 1963. In **MALAYA**, the British reestablished control at the end of the war, but a **communist revolt** began in 1948 among some Chinese Malaysians. This conflict was costly, but it encouraged the British and the Malayan nationalists to move toward agreement on independence. The suppression of the revolt by 1955 was followed by Malayan independence in 1957 (See [Aug. 31](#)) and the formation in 1963 of the **Federation of Malasia** which included Singapore, Sarawak, and North Borneo, as well as Malaya.

10

The achievement of independence in the **PORTUGUESE COLONIES** involved wars of national independence following the **revolution of 1974** in Portugal itself. In **ANGOLA**, a number of nationalist groups with essentially regional identities emerged by the 1960s. In 1961 a multisided conflict began in which three major groups fought against the Portuguese and each other. Negotiations after the 1974 revolution resulted in the proclamation of Angolan independence in 1975. Agreement among the liberation movements was brief, and the **Movimento Popular de Libertação de Angola (MPLA)** formed a regime that received much international recognition. A postindependence civil war followed, which continued into the 1990s. In **MOZAMBIQUE**, the **Frente de Libertação de Mozambique (FRELIMO)** began a revolution in 1964 against the Portuguese that resulted in independence in 1975. In the small Portuguese colony of **Guinea-Bissau**, a remarkable, ideologically radical movement led by **AMALCAR CABRAL**, who was murdered in 1973, began a guerrilla war in 1963. By 1973, the movement controlled much of the territory and declared independence, which was recognized by the Portuguese after the 1974 revolution.

11

In **SOUTHWEST AFRICA (NAMIBIA)** a long war of national liberation was begun by the **South-West African Peoples' Organization (SWAPO)** in 1966. The **Republic of South Africa** received a League of Nations mandate granting control over the former German colony at the end of World War I, and it continued to control the area in defiance of the United Nations after World War II. **SWAPO** received considerable international support, but **Namibia** became independent only in 1990, after almost 24 years of nationalist guerrilla warfare.

12

**Negotiated independence.** During the 1950s and 1960s an extraordinary transformation took place, especially in Africa. In the 1950s, a few countries were the harbingers of a flood of new countries to come. **Sudan** (1956); **Ghana**, the former Gold Coast (1957); and **Malaysia** (1957) received independence from Great Britain. France agreed to the independence of **Morocco** and **Tunisia** in 1956. In 1958, **GUINEA**, under the

13

leadership of **Sékou Touré**, voted to become independent rather than to be a member of the French Community. Then, 1960 was a **year of independence** in Africa. Thirteen former French colonies became independent members of the French Community; **Nigeria, Togo, and Somalia** received independence from Great Britain, and the Belgian Congo (**Zaire**) became independent and almost immediately was plunged into civil war. By 1969, another 15 African states had become independent, including **Southern Rhodesia**, whose white regime made a unilateral declaration of independence that received little international recognition. In the **Caribbean region**, four dependencies had become independent by 1969; elsewhere there were also the new island states of **Malta** (1964), the **Maldives** (1965), and **Mauritius** (1968).

**Newly independent states** became a significant feature in global affairs. In 1945, 51 states had signed the **Charter of the United Nations**. Then, between 1954 and 1969, 53 newly independent states also became members of the United Nations. This reflected the **triumph of nationalism** and the end of the age of the European overseas empires.

14

## 1970–90s

**Changing nature of new states.** In the final decades of the 20th century, the status of the remnants of the European overseas empires was defined, with a number of newly independent **ministates** being established. However, additional new states emerged as nationalist movements developed in response to other types of multinational and multiethnic structures, such as the Soviet Union. By the 1990s, a new process of national state formation had replaced decolonization as the major source of new state structures.

15

**The remnants of overseas empires.** In the 1970s and 1980s, most of the last small colonial holdings of European powers gained independence. Island groups in the **PACIFIC BASIN** that had come under imperial control in the 19th century had their political status defined. Some had been colonies; the former German colonies had been League of Nations **mandates** and United Nations **trusteeships** placed under the control of various powers. Among the first to gain permanent status were **Hawaii**, which became the fiftieth state of the United States, and **Western New Guinea**, which became a part of Indonesia in 1963. Independence was gained by **Western Samoa**, a New Zealand trusteeship, in 1962, and by **Nauru**, an Australian trusteeship, in 1968. Between 1970 and 1990, eight additional independent Pacific basin states were established. **East Timor** was annexed by Indonesia in 1976, following the Portuguese withdrawal, but a guerrilla movement fighting for independence emerged. In the 1990s, some island groups remained under the control of the United States, France, Australia, and New Zealand. In the **PERSIAN GULF** region, **Kuwait** had already become independent in 1961, and Britain formally withdrew from **Bahrain, Qatar**, and the small states that joined together in the **United Arab Emirates** in 1971. In the **CARIBBEAN**, nine new

16

independent states emerged from British and Dutch control, though some islands, like the Caymans, opted for continued colonial status qualified by local autonomy. Between 1970 and 1990, 34 more new states joined the United Nations.

**Postcolonial new states.** In the final decades of the 20th century, **SEPARATIST MOVEMENTS** had little success in many areas, but the establishment of independent **Bangladesh** in the former East Pakistan, as a result of a civil war in 1971, was an important exception. Before the late 1980s, there had been a number of civil wars in newly independent states in which regions attempted to secede. In **AFRICA**, the newly independent nations maintained their imperially defined boundaries, despite their often arbitrary nature. As a result, there were regional factions that wished to break away from countries they did not feel themselves to be a part of. Regions that attempted to secede in unsuccessful wars included **Katanga in Congo** (1960–63), **Biafra in Nigeria** (1967–70), and southern **Sudan** (1955–72, 1981–90s). The only successful African secessionist movement was in **ERITREA**, where the Eritrean liberation movement fought against a series of different Ethiopian regimes and finally succeeded when a dictatorial Marxist regime collapsed in 1991; a referendum confirmed its independence in 1993. Elsewhere, **KURDS** failed to create an independent state from the Kurdish areas of **Iraq, Turkey,** and **Iran**, although a short-lived Kurdish republic was created by the Soviet Union in northern Iran (1945–46) and an autonomous Kurdish region in northern Iraq received international protection after the Persian Gulf War of 1990–91. **TAMIL** separatists in **Sri Lanka** began a revolt in 1983 that continued into the 1990s, and **Philippine Muslims** fought for autonomy or independence in some southern islands throughout much of the second half of the 20th century.

**REDEFINED STATES.** In the early 1990s, there was another burst of new states. Most of this activity was the result of a redefining of the political status of ethnic and national groups in the wake of the **collapse of the Soviet Union** and its Eastern European empire, and of the new ways in which existing political identities were recognized. From 1990 to the end of 1993, 28 states were admitted to the United Nations. Eighteen new members were former republics of the **Soviet Union**, four had been part of **Yugoslavia**, and two new states emerged out of the former **Czechoslovakia**. The other new members were two **Pacific island groups, North and South Korea**, and the two African states whose wars of liberation were finally successful, **Namibia** and **Eritrea**. In addition, four old European ministates that had been dependent on larger neighbors for representation (**Andorra, Liechtenstein, Monaco, and San Marino**) became independent members of the United Nations. The new states reflected the **end of centralized, multinational empires** of the old style, even the continental empire of Russia, and the emergence of a new era of **smaller ethnic states** and **larger unions of states** of a Common Market or confederation type. At the same time, larger structures of international coordination were being built. Not only the European Common Market but also the Confederation of Independent States, loosely linking most former states in the Soviet Union, and the North American Free Trade Association (1993), suggested new regional coordination.

The domination of global affairs by European empires or by the two great superpowers had come to an end by the 1990s.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. [Globalization of Material Life](#)

During the second half of the century, many important aspects of individual and societal life developed patterns of global interaction. This was visible in a number of important areas: in the evolution of state and private economic structures; in developments in science and technology; and in response to the changing physical environment. <sup>1</sup>

### 1. Evolution of International Economic Structures

Major changes took place in the international structures of economic life. These were visible in the institutions regulating international finance and international trade and in the further development of nongovernmental multinational economic institutions. <sup>2</sup>

**International finance:** The **Bretton Woods system** (1945–71). A conference of the Allied powers was held near the end of World War II in Bretton Woods, New Hampshire. At that meeting, the major institutions for the management of the international monetary and financial order were agreed on, and the result was the creation of the **International Monetary Fund (IMF)** in 1945 and the **International Bank for Reconstruction and Development** (the World Bank), which began operation in 1946. The Bretton Woods system involved the easy convertibility of the major currencies, with the foundation being the **U.S. DOLLAR** and the guarantee by the U.S. government that dollars could be exchanged for **gold** at a rate of \$35 per ounce. The U.S. dollar became the major medium of international financial exchange. A large U.S. **balance-of-payments deficit** resulting from transfers of funds to support reconstruction and development in programs like the **Marshall Plan** (1947) and direct U.S. investment overseas provided the **liquidity** necessary for rapid global economic development and growth. However, by the 1960s this system began to have difficulties: dollar holdings outside of the United States began to exceed the total value of U.S. gold reserves, creating a destabilizing **dollar overhang**; in 1971, for the first time in the century, the value of U.S. imports exceeded that of its nonmonetary exports; while the U.S. economy was still clearly the world's largest, other major economies had developed as powerful <sup>3</sup>



rivals or partners. In an effort to supplement the role of the dollar, a new reserve asset called **special drawing rights (SDR)** was developed in 1969, but a major change in the international system was required.

**International finance: Post–Bretton Woods.** A series of measures significantly changed the international monetary system. The United States ended its commitment to exchange gold for dollars in 1971, and the **Smithsonian Agreement** (1971) began the process of international monetary reform. In 1973, the United States ended fixed exchange rates between the dollar and other major currencies; the most important feature of the post–Bretton Woods system was **flexible exchange rates** among all major currencies. Instability of currency values was lessened by the efforts of major governments to coordinate their economic policies. This was aided by the meetings of financial policy leaders from the **GROUP OF SEVEN (G-7)**, the seven largest Western economies (the United States, Japan, Germany, France, Britain, Italy, and Canada). These meetings began in 1976 and became annual events that ranged over a host of international issues, including currency. In this new system gold had a less important role, and **SDRs**, defined as a weighted mixture of major currency values, became by the 1980s an important unit of accounting; the system as a whole was more volatile and more openly related to politics as well as economics. By the 1990s, **JAPAN** emerged as a major international financial center, with nine of the world's ten largest banks in terms of assets; in 1987 it had surpassed the United States as the world's major creditor. The post–Bretton Woods system was not as centralized as the earlier system, but global interactions were of increasing importance to all levels of economic life throughout the world.

Both the IMF and the World Bank also played recurrent roles in providing **investment aid** to developing (not yet fully industrial) nations. In return for investment capital, both organizations typically tried to require more stringent national fiscal policies, including less government expenditure, which posed potential political problems for the nations involved—as in parts of Latin America and Africa in the 1980s and 1990s (See [1970s–The Present](#)).

**International trade regulation, 1945–93.** At the end of World War II, the Allied powers were anxious to avoid the trade wars and protectionism that had been an important part of the Great Depression of the 1930s. Following the war, the UN Economic and Social Council convened a committee to draft a charter for a proposed International Trade Organization. That organization was not created, however; instead, the preliminary **GENERAL AGREEMENT ON TARIFFS AND TRADE (GATT)** was adopted by 23 states and became the basic instrument for regulating international trade in the second half of the 20th century. With a secretariat in Geneva, the **GATT** supervised **eight “rounds”** of multilateral trade negotiations to reduce tariffs and encourage international trade. The first were held in Geneva (1947); Annency, France (1949), Torquay, England (1951–52); and Geneva (1955–56). The Dillon Round



(1961–62) was named for U.S. secretary of the treasury Douglas Dillon, and the Kennedy Round (1963–67) for President John F. Kennedy. The **Kennedy Round** involved across-the-board industrial tariff reductions, and in 1965 the signatories added a new section to the agreement addressing positive encouragements for the international trade of **less-developed countries**. The **TOKYO ROUND** (1973–79) dealt with a major restructuring of trade in response to the transformation of the international monetary system with the end of the **Bretton Woods arrangements** in 1971, and a comprehensive set of agreements was approved. The eighth round, the **URUGUAY ROUND**, began in 1986 and dealt with many new areas. Negotiations were suspended in 1990 as a result of disagreements relating to agricultural subsidies in the European Community. Discussions were resumed in 1991, and a major new pact was completed in 1993 that was signed by officials from 125 states at a meeting in Morocco in 1994. The agreement represented a significant further liberalization of global trade regulations. It also established the **WORLD TRADE ORGANIZATION** as the successor to GATT, with increased powers to mediate trade disputes and enforce adherence to existing agreements.

**GATT** began in 1947 with 23 members, and by 1994 its membership had grown to 117. At that time, reflecting the end of the cold war, Russia was seeking formal membership along with China, whose membership had been suspended in 1950. GATT negotiations had transformed the conditions of international trade. They had succeeded, for example, in reducing average tariffs on industrial goods from about 40 percent in the years following World War II to about 5 percent of their market value in the 1990s. The globalization of trade regulation helped the world economies to avoid a repeat of the economic crises of the era between the two world wars. This was accomplished in the context of a profound expansion of international trade and of its importance in the life of every society.

**Multinational corporations.** In the second half of the 20th century, private corporations became an increasingly important part of global economic life. Following the lead of older commercial trading companies and the relatively small number of large internationally active companies in the first part of the century, companies of all sizes began to participate in international investments and enterprises after World War II.

## 1945–71

**Era of American predominance.** Following the war, multinational corporations based in the United States tended to dominate global international business. This reflected the importance of the U.S. dollar and the strength of the U.S. economy in the era of the **Bretton Woods system** in international finance. American corporations were a major mechanism for the circulation of dollars in the global economy, and they made

significant investments in many different countries, especially in Europe. The book value of direct foreign investments by U.S. companies rose from \$7.2 billion in 1946 to almost \$71 billion in 1969. Much of the U.S. international investment in this period was made by large, already internationally established corporations like **Ford**, **General Motors**, and **Standard Oil (New Jersey)**, and in such industries as the **auto industry**, **oil**, and **chemicals**, where a few large companies dominated the market. The international nature of much of the corporate activity was in **finance** and **management** rather than in actual production. Multinational corporations would buy or establish **subsidiaries** or establish **production facilities** in other countries, and these organizations would then operate as they might have in the “home country” of the corporation.

By the late 1960s, this situation was changing. Growing numbers of smaller U.S. companies were establishing overseas facilities, and investment by European companies in the United States increased. In 1969, the merger of **British Petroleum (BP)** with **Standard Oil (Ohio)** and the takeover of **Wyandotte Chemicals** by the German chemical giant **BASF** signaled the beginning of an era of major foreign corporate involvement in the U.S. economy. As the Bretton Woods system came to an end in the early 1970s, the world of multinational corporations was also changing significantly, with many new participants becoming involved in the global economy.

**Transformation of the petroleum industry.** The evolution of the petroleum industry in the second half of the 20th century illustrates the changing nature of the global world of business. In the first half of the century, the industry was dominated by a **cartel** of seven large oil companies that set global prices and production levels while competing actively among themselves. These companies were among the largest multinational corporations, and direct foreign investment in petroleum industries was a major part of global business. Following World War II, this domination continued. When one member of the cartel, the **Anglo-Iranian Oil Company (AIOC)**, half owned by the British government, was nationalized by the **Iranian government** in 1951, the cartel was able to respond successfully through sanctions and a boycott. It reestablished control over Iranian oil through a consortium arrangement in 1953, and AIOC was reorganized as **British Petroleum**. The real challenge came with the creation of the **ORGANIZATION OF PETROLEUM EXPORTING COUNTRIES (OPEC)** in 1960, whose initial goal was to limit the ability of the major companies to reduce oil prices. By 1970, OPEC members began to work together to coordinate production and thus control supply and, ultimately, prices. For a short period (1971–73), prices were set by consultation between OPEC and the oil companies. The **Arab-Israeli War of 1973** and changing market conditions were the occasion for an **Arab oil embargo** on sales to allies of Israel and a significant increase in oil prices. By the end of the crisis, basic prices were no longer set by the companies. In terms of investment, in 1960 more than 40 percent of U.S. direct foreign investment was in petroleum industries, but this was reduced to 14 percent by 1990. These changes coincided with a significant restructuring

10

11

of the international oil industry. In the first half of the century, oil companies had been granted **concessions** by governments to explore for and produce petroleum. Governments were paid **royalties** on a per-barrel basis. After World War II, there was a change to **profit-sharing** arrangements in the 1950s and then to the gradual assumption of ownership of production facilities by the governments of the producing countries. In **SAUDI ARABIA**, the original exploration and production concession was granted to **Standard Oil of California (SOCAL)** in 1933. SOCAL's concession became the basis for Arabian American Oil Company (**ARAMCO**), a consortium of four major American oil companies, which developed the Saudi oil industry. In 1950, ARAMCO agreed to the shift from per-barrel royalties to profit sharing. In the early 1970s, participation was accepted by ARAMCO; the Saudi government acquired 25 percent of ARAMCO in 1973, 60 percent in 1974, and became the full owner in the early 1980s. The major oil companies maintained close relations with the Saudi-owned company and became global distributors for its products. This evolution of control occurred in most other oil-exporting countries as well. It reflected the broader trends of the final decades of the century, with a clear globalization of activity but a decentralization of control. The old cartel of oil companies was replaced by an organization of governments that had less control over the dynamics of the world markets but was operating in a more globalized economic situation.

## 1971–93

**New world of multinational corporations.** In the final decades of the century, the nature of multinational business operations changed in significant ways.

12

**INTERNATIONAL INTEGRATION OF PRODUCTION** reflected the globalization of economic enterprise. Increasingly, multinational corporations developed diversified production facilities in which parts were made in many different places and then assembled, rather than setting up comprehensive production facilities in different countries. In the multinational automobile industry, for example, by 1980 cars like General Motors' J-car were built of parts produced in many different countries, and by the 1990s virtually no automobile could be said to have been completely produced within one country. This integration was seen in many different types of multinational operations; as major **fast-food companies** like McDonald's became global in operation by the 1980s, French-fried potatoes were prepared and frozen in one country and shipped to another for consumption. The **GLOBAL SPREAD OF MULTINATIONAL OWNERSHIP** was another important feature of the changing nature of multinational business operations. The business world went from being dominated by a few large companies in the United States and Western Europe involved in a small number of industries to a global distribution of companies large and small in virtually every industry. By the 1980s there were more than 10,000 significantly

multinational corporations, including important firms from developing countries, such as India, South Korea, Taiwan, Singapore, and Brazil, as well as the older industrial states. This is reflected in the **automobile industry**, where U.S. companies produced more than two-thirds of the world's motor vehicles in 1950 but barely one-fifth in 1980. In the 1950s, Britain was the second largest producer; it was displaced by West Germany in the 1960s; and **Japan** became the second largest producer in the 1970s and passed the United States in production in the 1980s. Other countries—such as South Korea, Brazil, and Mexico—became important producers in the 1980s. By the 1990s, ownership of production was also more diversified, as was seen in many different countries. More than 10 percent of the production capacity in North America was owned by non-U.S. corporations, and an important factor in the revitalization of the British auto industry was the establishment of production facilities in Britain by Japanese companies like **Toyota, Nissan, and Honda**. In **Iran**, an auto industry was developing around Iran Khodro, a joint venture with the French company Peugeot, and a second joint venture was established with Daewoo, the third largest automaker in South Korea.

The **NORMALIZATION OF GLOBALIZED ECONOMIC ENTERPRISE** was firmly established by the 1990s. Significant foreign participation in or ownership of local enterprises around the world became an accepted fact. Complex interconnections on both very large and very small scales created global economic networks that became a normal part of local and multinational business enterprise. In a typical situation, Kirin Brewery, a Japanese corporation, became the parent company of a Coca-Cola Bottling Group in a small northeastern state in the United States. Multinational corporations had a growing impact on daily life, as can be seen in the expansion of consumer food companies. Soft drink firms became highly visible participants in the expansion of multinational business enterprise in the second half of the century. **COCA-COLA** was an early multinational corporation, and its soft drink products could be found in many countries even before World War II. By 1994, with the establishment of a bottling plant in Albania, Coca-Cola was made in 197 countries. By the 1990s, the rivalry between **Pepsi-Cola** and **Coca-Cola** was strong in Russia and Vietnam as well as in most of the rest of the world. **Fast-food chains** had a significant impact on world eating habits by standardizing products and expectations and providing new concepts of service. **McDonald's** became an economic power, encouraging some countries to reorganize agricultural production to provide potatoes and meat for the chain. By 1994, McDonald's had more than 4,700 overseas stores in 71 countries (having doubled its total in about five years). The **Kellogg Company**, a U.S. producer of breakfast cereals, opened a plant in Latvia in 1994 and began an effort to transform the concept of breakfast in the former communist world.

The diversity of multinational economic affairs was reflected in the changing topics of debate in the **GATT rounds**. Important debates in the final Uruguay Round involved not only the usual discussions of tariffs on industrial and agricultural products, but also talks on opening domestic markets to foreign legal services, accounting, and computer

13

14

**software** concerns. U.S. officials were disappointed that there was no agreement on opening **audiovisual** markets, especially in television programming and videocassettes, since **entertainment** had become the second largest U.S. export industry in terms of dollar value. The world of multinational business was global in nature and had become an important factor in the daily life of every society, reflecting the complex, interconnected nature of human life at the end of the 20th century.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. Globalization and Special Identities

During the second half of the 20th century, a complex relationship developed between two major historical dynamics. One was the intensification of the globalization of all aspects of human life and the other was the continuing affirmation of special human identities. By the 1990s, globalization had not resulted in the emergence of either a single, global society or a network of fundamentally similar societies. Instead, special identities coexisted with global communications and economic networks and new transnational and regional structures. These developments are clearly visible in two major areas: 1) the development of ethnic and national identities, and 2) the evolution of identities based on particular ideologies and religions. <sup>1</sup>

**ETHNIC AND NATIONAL IDENTITIES.** The emergence of nationalist opposition to the old empires in the period following World War II was an important factor in the nature of nationalist identities. Old ethnic and special cultural identities were associated with particular languages or historical traditions. However, the state boundaries that had been created by the imperial powers often did not match the regional boundaries of those old identities. When **NATIONALISM** developed, it did so within the framework of the imperially created political units, and it was those states that became nationally independent; **existing state identities** were the basis for the most effective nationalist movements. Movements for broader unity had only limited success. **ARAB NATIONALISM** developed in the first half of the 20th century as a broad regional sentiment, but nationalist movements in the Arab world were identified with the individual imperially created states, such as Algeria, Syria, and Palestine. The formation of the **Arab League** in 1945 was an important manifestation of Arab unity, but it was a coordinating organization of sovereign states. During the 1950s, enthusiasm for substantive Arab unity was encouraged by Egyptian president **Gamal Abdel Nasser** and resulted in the creation of the **United Arab Republic (UAR)**, joining Egypt and Syria. However, the UAR only lasted for three years (1958–61), and other projects for Arab political unity remained unimplemented. **PAN-AFRICAN NATIONALISM** had roots in movements in the first half of the 20th century, and as many African states became independent, there was a hope of greater African unity. When the British colony of the Gold Coast became independent as **Ghana**, under the leadership of **KWAME** <sup>2</sup>



**NKRUMAH** in 1957, it assumed a leading role in African unity. Nkrumah was host to two pan-African congresses in 1958, but when the **Organization of African Unity** (OAU) was formally created in 1963, its charter affirmed the independence and territorial integrity of the individual member states. The OAU was effective in mediating disputes between African nations, and it coordinated expression of African views in international bodies, but the **pan-African vision** of a unified Africa was not realized. In the period from 1945 until the early 1970s, **state-based identities** remained the most effective, even when the states had been arbitrarily created by imperial and political settlements. Along with broader unification efforts, separatist movements also generally failed, as was the case in **Congo (Kinshasa)** (1960–64), **Nigeria** (1967–70), and among the **Kurds** in the Middle East. States created by partitions that were assumed to be temporary following World War II were still in existence at the beginning of the 1970s: the **two Germanies**, the **two Koreas**, and the two states in **Vietnam**.

### 1970–93

**Ethnic revival and nationalism.** In the early 1970s, increasing attention began to be given to cultural-linguistic sources of identity, and ethnic groups in new forms emerged as important elements in individual societies and on the global scene in general. The development of groups like the **Black Panthers** in the United States during the 1960s was an early signal of the change. Movements affirming black identity in the U.S. were not necessarily separatist or nationalist, but they strongly affirmed a distinctive ethno-cultural identity in the face of pressures for uniformity in modern society. In countries where there was a strongly established “national” identity, there was a rise in the importance of local ethnic traditions. In Great Britain, **Welsh nationalism** succeeded in achieving parity for Welsh with English in governmental matters in Wales in 1967. The **Scottish National Party** had been organized in the interwar period but remained unimportant until the 1960s. By the 1990s, the party had become a small but important part of the British political scene, regularly electing members to Parliament. In **Canada**, there was a major revival of **French-Canadian separatism** in Quebec. In many countries, activist—and sometimes violent—movements of ethnic identity gained strength after the early 1970s. A number of cultural-linguistic groups began to have more success asserting their identity in political ways. In 1971 the Bengali eastern part of Pakistan seceded and formed the new state of **Bangladesh**, and **Vietnam** was reunited by the communist victory in 1975. In the late 1980s a major political reorganization of countries based on historic cultural identity began as the **Soviet Union** and **Yugoslavia** broke up into their constituent republics, and the **reunification of Germany** also took place. By the 1990s, throughout the world there were active movements affirming their cultural and linguistic identity in many different ways. These included continuing separatist movements among the **Tamils** in Sri Lanka, the **Basques** in Spain, on **Timor** in

Indonesia, and among many groups in the former Soviet Union, such as the **Abkhazians** in Georgia. Tensions between Hutu and Tutsi peoples in **Rwanda** resulted in 1994 in one of the bloodiest of these conflicts. Other groups affirmed their special identity in other ways—by reviving older customs or seeking cultural autonomy—as was seen among some **Native Americans** in the Western Hemisphere, the Swedish-speaking minority in **Finland**, and in the continuing definition of the relationship between the **Flanders** and **Wallonia** in Belgium. By the 1990s it was clear that the social and technological globalization of the second half of the 20th century had not dissolved cultural-linguistic boundaries between peoples. Instead, through new media for communication and interaction, the conditions of the new, globalized world societies seemed to encourage affirmations of special identity and made such affirmations more effective.

**IDEOLOGICAL AND RELIGIOUS IDENTITIES.** Some of the major global conflicts <sup>4</sup> in the 20th century were drawn along lines of ideology and worldview. The competition between the world visions of Wilson and Lenin and the rise of fascism in the interwar era are part of this. In the era of the **cold war**, the conflict had a major ideological dimension as a conflict between communism and democratic capitalism. The main ideologies of the 20th century were global in their scope and vision. As nationalism developed, it reflected the different ideological frameworks; nationalism emerged in democratic, liberal forms or in Marxist, radical forms in the era following World War II.

### 1945–70s

**Global political ideologies.** In the era of the active cold war, the framework for <sup>5</sup> ideological competition was the conflict between Marxist radicalism and Western liberalism. Movements asserting distinctive national identities expressed their nationalism in terms of these conflicts. As the **Third World** emerged by the 1960s, the **Nonaligned movement** developed, at the core of which was a group of nationalists strongly influenced by Marxist political radicalism. The new and most visible Third World leaders of the 1960s were **Nasser** in Egypt, **Sekou Touré** of Guinea, **Nkrumah** of Ghana, **Fidel Castro** of Cuba, and **Sukarno** of Indonesia, all of whom developed and advocated an ideologically radical nationalism. Their more conservative rivals, like **Muhammad Reza Pahlavi** in Iran, **Ferdinand Marcos** in the Philippines, and **Houphouët-Boigny** in the Ivory Coast, also expressed their visions in terms of politically ideological nationalisms. Leninism, Wilsonianism, Maoism, radical nationalism, and conservative nationalism all shared the character of being **political ideologies of modernization**. They were not clearly identified with existing religious traditions and accepted many of the modern assumptions about progress, modern science, and rationalism that were the basic characteristics of Western European thought as it emerged from the 18th century. By the early 1970s, the cold war entered the full **détente stage**, making the Soviet-U.S. rivalry less acute in the Third World, and important new ideological changes took place in many



areas. The student demonstrations in **Paris** in 1968 (See [May–June](#)), the **antiwar movement** in the U. S., and other demonstrations in the late 1960s reflected the growing disillusionment with all of the major ideologies. The **New Left** rejected much of Soviet-defined Marxism; radical nationalisms in the Third World had created repressive states; modernization and economic “progress” was beginning to be recognized as disastrous for the environment; leaders like the Shah of Iran and Marcos of the Philippines, who received support from democratic liberalism, were creating oppressive dictatorships. There was a gradual shift in worldview to a less ideological pragmatism and also to activist approaches more explicitly tied to the major religious traditions.

## 1970s–93

**Global religious revival.** In many areas of the world, changing conditions and attitudes supported a revival of religions. Some of this took the simple form of increased adherence to existing rules and greater sensitivity to the message of religion in the modern context. The **ROMAN CATHOLIC CHURCH** was an early leader in this revival of religious activism. The great Ecumenical Council, **VATICAN II** (1962–65) (See [1962, Oct. 11](#)), issued many important documents defining the Roman Catholic Church and its role in the modern world. Vatican II had a worldwide impact and was especially important in the development of political ideology in Latin America. A 1967 papal encyclical, *Populorum progressio*, and a major conference of the Latin American bishops in 1968 in Medellin, Colombia, clearly defined a position of opposition to social injustice and oppression. Building on this foundation, a movement of **LIBERATION THEOLOGY** developed that presented a clearly defined theological position in the writings of people like **Gustavo Gutierrez** and advocated and worked for significant social change. This brought some Catholic leaders into open conflict with social and political conservatives, and in the civil war in El Salvador, **Archbishop Oscar Romero** was murdered in 1980. Priests like **Ernesto Cardenal** in Nicaragua were active in developing new structures, such as “base communities,” and participated in the **Sandinista** revolutionary movement. 6

Movements of religious activism and revival developed in virtually all major religious traditions. Many of these took a form that is frequently referred to as **fundamentalism**, calling for a return to traditional beliefs and moral codes. Fundamentalists were not always literally traditional—for example, many were less tolerant than their religions had previously been—and they often used new methods of propaganda. **Protestant fundamentalism** became more assertive in the United States in the 1980s, and also spread rapidly in Latin America; after 1989 there was also growing missionary activity in Russia. In the **ISLAMIC WORLD**, many revival movements developed. Some, like the **Muslim Brotherhood** (See [1928](#)) in Egypt and the **Jamaat-i Islami** in South Asia, already had a long history. Others emerged as important forces in the 1970s, and by the 7

1990s, explicitly Islamic organizations were either the largest opposition group or an important part of the government in virtually every country where the majority of the population was Muslim. The **ISLAMIC REVOLUTION IN IRAN** (See [1978–79](#)) in 1978–79 overthrew the Shah and established a republic that became the most visible Islamic government in the world. An Islamic movement also came to power in **Sudan** through a military coup in 1989. In **Algeria** the Islamic party was about to win the parliamentary elections of 1991–92 when a military coup prevented the completion of the elections. A **HINDU** religious revival became an important part of Indian history by the 1980s. In the early 1990s, the **Bharatiya Janata Party**, which supported an actively Hindu program, emerged as the largest opposition group in the Parliament. In 1992, Hindu extremists destroyed a mosque in **Ayodhya**, and hundreds of people were killed in the subsequent Hindu-Muslim rioting. Also in India, the **SIKHS** experienced a revival. In its militant form, the revival involved the demand for an independent Sikh state in the Punjab. The formation of **Akali dal** in 1980, an organization advocating Sikh independence, began an era of conflict. **BUDDHISM** experienced revivals in a number of areas as well. In the conflicts in Southeast Asia, Buddhist priests were sometimes involved, and with the disintegration of the communist world, some areas, such as **Mongolia** and **Laos**, experienced a revival of interest in Buddhism. In Japan, **Soka Gakkai**, a major Buddhist organization, grew significantly as did Buddhist groups in North America.

At the same time that some aspects of the religious revival emphasized distinctive identities, globalization of religious organizations also occurred. The **Roman Catholic Church** had long been a global organization, but its most rapid expansion has been outside of the West. In 1974, less than 15 percent of the world's Roman Catholics were in Asia and Africa, but by 1994, more than 25 percent of the estimated membership in the Church was on those two continents. Among the other Christian churches, the formation of the **World Council of Churches** in 1948 created a global organization that continued to be a voice throughout the rest of the century. The global nature of religious life, as well as the continuing importance of the distinctive traditions, was emphasized by the convening of the **Parliament of the World's Religions** in Chicago in 1993. This was held on the centennial of a similar parliament convened during the Chicago World's Fair in 1893, emphasizing that the processes of globalization were long-standing in religion. The parliament was basically a gathering of representatives of different traditions rather than a convention of believers sharing a common creed, reflecting the complex interactions between the processes of globalization and maintenance of distinctive identities in the 20th century.

8



(See [1947, Feb. 10](#))

## **2. International Relations**

International relations in the 50 years following World War II were dominated by the **cold war** between the two superpowers, the **Soviet Union** and the **United States**. The half century was a time of increasing globalization in all areas of life, so international relations also reflected those transformations in social and religious life, changes in the networks of economic relations, the rise of nationalism and decline of the old empires, and many other developments. The period can be **divided into two eras, with the beginning of the 1970s marking a time of transition** in the cold war, a change in the global economic system, and a shift from the old empires to newly transformed nationalisms. <sup>1</sup>

### **a. Rise of the Cold War and End of Empires**

The main lines of development in the period following World War II involved the organization of international institutions to manage global affairs, the U.S.-Soviet rivalry, the rise of nationalism, and the growing globalization of human life. <sup>2</sup>

#### **1945, April 25–June 26**

**SAN FRANCISCO CONFERENCE.** Drafted the Charter for the **United Nations Organization**, an international body that would be the successor to the **League of Nations** as the main organization for international relations on a global scale. <sup>3</sup>

#### **July 17–Aug. 2**

**POTSDAM CONFERENCE.** The leaders of the United States, Great Britain, and the Soviet Union, **Harry S. Truman, Winston Churchill, and Joseph Stalin**, met to discuss postwar arrangements in Europe. These involved the disarmament and occupation of Germany and trials of war criminals. 4

### Sept. 2

**FORMAL SURRENDER OF JAPAN** with the signing of terms on the U.S.S. *Missouri* in Tokyo Bay. The Japanese home islands were placed under U.S. military occupation, but the emperor remained as the head of state. **Korea** was placed under Soviet and U.S. occupation, pending the establishment of a democratic government. The **Kurile Islands** and the southern part of **Sakhalin Island** were ceded to the Soviet Union. 5

### Oct. 24

**United Nations** formally came into existence when the twenty-ninth member government ratified the Charter. New York City was chosen as the site for the permanent seat of the organization. 6

### Dec. 27

The **International Monetary Fund** was established (See [Evolution of International Economic Structures](#)). 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## b. New Global Relationships

By the 1970s, the continuing processes of globalization had taken many complex forms. At the same time that the networks of relationships in all areas of life were increasingly determined by global contexts, several older international structures were breaking down. The clearly structured world of the **Bretton Woods system** was replaced by a more global but anarchic international monetary system (See [Evolution of International Economic Structures](#)); the old **bipolar world** of the early **cold war** was rapidly being replaced by a **polycentric world order**. These trends were visible in culture and society as well. 1

### 1971

**Bangladesh** became an independent state in place of East Pakistan after postelection fighting brought the Pakistan army into conflict first with Bengali followers of **Mujibur Rahman** (May) and then with invading Indian armed forces (Dec.). 2

**U.S.-Chinese relations** transformed. Informal contacts like the visit of the U.S. table tennis team to China (“Ping-Pong diplomacy”) were combined with the U.S. announcement that it was lifting the embargo on trade with China (June). In October, the United States supported the admission of the **People's Republic of China** to the United Nations, and in November it was announced that U.S. president **Richard Nixon** would visit China. 3

**Petroleum industry changes.** Representatives of the **Organization of Petroleum Exporting Countries** (OPEC) met with major oil companies to discuss oil prices (Jan.–Feb.). **Algeria** took control of 51 percent of French oil companies' operations in **Algeria**. 4

West German chancellor **Willy Brandt** received the **Nobel Peace Prize** for his work in lessening East-West tension. 5

## June

**International Court of Justice** declared that South Africa's administration of **Namibia** was illegal and should be surrendered to the UN. 6

## Oct

The changing context of global politics was revealed in the state visits of the Ethiopian emperor **Haile Selassie** to China, where he was welcomed by **Mao Zedong**, and of Soviet premier **Kosygin** to Morocco, where he was welcomed by King **Hasan II**. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Economic and Social Changes](#))

## **B. Europe, 1945–2000**

### **1. Economic and Social Changes**

As in 1918, Europe after the Second World War was in ruins. **Estimates of the dead range as high as 50 million**, although national tolls varied greatly, from 20 million Russians to 460,000 British and Commonwealth subjects. Overall, the losses in Central and Eastern Europe far outnumbered those in Western Europe. As for the survivors, roads and major cities were clogged with displaced persons, resulting in great migrational flows. Throughout the Continent material costs were also staggering: cities had been reduced to rubble, transportation networks had been destroyed, and farms and coal mines were wastelands. Finally, the war left a divided Europe in its wake. The course of reconstruction and the features of the postwar economy and society thus differed between Western and Eastern Europe. 1

Despite such destruction, Western Europe experienced virtually unprecedented prosperity within 15 years; by 1963 it was producing more than two and a half times as much as it had before the war. Economic growth rates soared for almost two decades, particularly in Germany, France, and Italy, and standards of living reached unprecedented levels. France, for example, attained an 8 percent annual growth rate by the end of the 1950s, continued at a somewhat slower rate during the 1960s, and rose again, to 7 percent, in the early 1970s. Meanwhile real wages in France experienced a sixfold increase between 1950 and 1980. The base of this growth was consumer goods—cars, radios, televisions, and the like—prompting many to label this period in European history the **consumer society**. Much of this economic growth developed out of the European Recovery Program, or the **Marshall Plan**. The plan, announced by the United States in June 1947, provided billions of dollars to European nations to help them rebuild their economies. By 1959, the United States had spent more than \$74 billion in aid. This represented both a desire to avoid the errors of post–World War I Europe and an acceptance of **Keynesian economics** (See [Intellectual and Religious Trends](#)). Governments became more active in economic planning, and a number of key industries were **nationalized**. Moreover, as a precondition to receiving U.S. aid, Western European nations began to coordinate their economic activities for maximum effectiveness. This 2



led to the establishment of the **Organization of European Economic Cooperation**, the first step toward European unity.

Not all of Europe benefited from the Marshall Plan, however. The nations of Eastern Europe, those under Soviet domination, followed Stalin's lead and refused U.S. aid. Instead the Soviet Union and its allies founded **COMECON** (Council for Mutual Economic Assistance) in 1949 (See [1949, Jan. 25](#)). Designed to align socialist economies, in reality the satellite economies of Eastern Europe were all geared to the reconstruction of the Soviet Union first, and then of their own country. In keeping with socialist thought, Eastern Europe witnessed mass nationalizations of private industry. Agriculture was also collectivized, with the exception of Poland. While a measure of prosperity did rise in Eastern Europe, unlike in Western Europe, it was not built on consumer goods. The economies of the Soviet Union and its allies remained predominantly geared for heavy industry and defense.

The devastation of two world wars within 30 years brought forth new ideas about the state, especially about its relations with other states and with its citizenry. The end of the war ushered in a new **push toward European unity**, especially in Western Europe. The first steps were taken with the OEEC and the **Council of Europe**, but such attempts at attaining European federalism via a direct political approach foundered. The economic approach was more successful. Under the auspices of the French politicians Jean Monnet (1888–1979) and Robert Schuman (1886–1963), six European nations (France, West Germany, Italy, Belgium, the Netherlands, and Luxembourg) began to integrate their economies through the **European Coal and Steel Community**, founded in 1951, and, with the Treaties of Rome signed in 1957, through the **European Economic Community** (See [March 25](#)). The goal of the Common Market, as it became known, was just that, the creation of a single free-trade area, with free movement of goods, capital, and workers. This goal was attained in 1992, after the Common Market had grown to 12 member states.

The rise of European unity brought with it a decline in the power of individual states to control the hearts and minds of their citizens. **Nationalism**, seen as a major cause of destruction in European history, began to wane. Indeed, most Europeans gave up their old dreams of glory and empire as a wave of **decolonization** swept through Asia and Africa. Instead, what bound citizens to their state was the vast array of services the new **welfare states** provided for their citizens in need. These services ranged from old-age pensions and unemployment insurance to free health services and low-income housing. In demanding such services, citizens came to accept not only larger government bureaucracies, which also provided many white-collar jobs, but also the fact that government was a much larger presence in their lives. In a short time, Europeans came to expect the government to provide services deemed necessary to daily living, making it difficult in the 1980s for those governments forced to implement austerity plans and for the citizens of Eastern Europe, who had come to expect a greater range of social services

from their now-defunct communist states.

In all of Europe these economic and political changes accompanied social change. In Western Europe the class structure changed significantly as the **importance of the nobility declined** due to high taxes, and the **peasantry virtually disappeared** with further urban migration and new, commercial practices among the remaining farmers. The middle classes grew more diversified, open, and democratic as bureaucracies developed, and education, rather than property, became the basis of social and economic position. Thus, while businesses and governments became more complex, allowing middle-class managers to rise to positions of importance, the middle class lost the ability to pass these positions on to their children like capital. Meanwhile the **traditional manufacturing working classes ceased to expand**, due to technological change. Instead, the number of workers in service and white-collar positions grew rapidly, creating a large segment of the working class that had many similarities to members of the middle classes. Overall, Western European society became more mobile and more democratic as rigid social divisions softened.

There were limits on mobility, however. Education, the key to mobility, fell short of the egalitarian ideal. Although the number of **university students** had risen sharply to 24 percent of the 20 to 24 age group in Western Europe in 1978, up from less than 4 percent in 1950, children from the lower strata continued to be underrepresented in higher education. In France the proportion of university students from working-class families actually fell from 13 percent in 1974 to 9 percent in 1979. A similar division could be found in secondary education. Despite increasing enrollments, in most countries secondary education remained sharply divided into vocational and academic tracks. **Immigrants** were another group for whom mobility was difficult. In the 1950s and 1960s, at the height of economic prosperity, Western European nations welcomed immigrants (from Turkey, North Africa, Pakistan, the West Indies), but this came to an end in the 1970s. The children of these immigrants, not immigrants themselves, often faced the prospect of poverty, underemployment, discrimination, police harassment, and inadequate housing and schooling. They also became the object of a renewed xenophobic, anti-immigrant movement on the far Right.

In Eastern Europe, the social structure was altered by communist policy. The nobility lost its influence and property, as did all property owners, while most peasants became either collectivized agricultural workers or industrial workers. Officially, the middle class ceased to exist. Yet even in the presumably classless society, social distinctions developed. Instead of property, the distinguishing factor became relation to the party. Party members became the new elite, while government bureaucrats became a quasi-middle class.

Europeans also experienced alterations in their family life. From 1945 to the early 1960s Europe experienced a **baby boom**, with populations growing by 1 percent to 1.5 percent per year in many countries. These rates dropped sharply in the 1960s, however, and most

countries experienced zero population growth. On the other side of the aging spectrum, Europeans were urged to think of their later years as a “third age,” in which they expected to be healthy and to engage in a host of activities they had been too busy to enjoy during their working years. This became possible as life expectancies rose and the old-age pensions provided a measure of security. But rising numbers of elderly citizens burdened the welfare state.

**Women became more central to the economy**, as both consumers and workers. 10

Whereas it used to be that working-class women left the workforce after childbirth, taking only work they could do at home, women in postwar Europe remained in the workforce. This was due mainly to the fact that women were marrying and having all their children earlier than their mothers and grandmothers had. By the late 1960s the age at marriage for European women had dropped to 23. At the same time, women were having 80 percent of their children before they were 30. This helps to account for growing feminist dissatisfaction by the late 1960s and 1970s; women found that their traditional role as mother no longer absorbed the energy of a lifetime, yet new roles in the male-dominated world outside the family were slow to open. Nevertheless, even for middle-class wives, work outside the home became more common.

These economic and social developments in Western and Eastern Europe brought, for the most part, a period of stability and prosperity that lasted throughout much of the 1950s and 1960s. By the late 1960s new forms of protest began to emerge, however. Older protest movements, such as trade unionism, had periodically mounted large (and usually short) strikes to win concessions from business and government, and left-wing parties led demonstrations, but none of these forms of protest did much to disturb a Western Europe remarkable for its political stability and rapid economic recovery. Class divisions ceased to be a major source of protest. **Disaffection grew, however, in the late 1960s, blossoming into student protests, feminist demonstrations, and, in the 1970s, terrorism.** Student movements called into question the structure of authority and the materialism of advanced industrial societies. **Feminism** rejected conventional assumptions about gender. By the 1970s an **environmentalist movement** had gathered considerable strength in several countries, as had a surprising **new wave of regional and ethnic activism**, which disputed the authority of central governments and in some cases even long-standing assumptions about the immutability of existing nation-states. Racial and ethnic conflict also gave rise to riots, racial attacks, antiracist demonstrations, and divisive debate over citizenship rights and immigration, especially in the 1980s. 11

While none of these developments led to the kind of general political crisis that toppled regimes in the interwar years, they signaled the end of a period of postwar complacency. This was followed shortly by **economic crises** in 1973 and 1979 caused by European dependence on foreign, especially Arab, oil. Most Western European nations suffered from a combination of economic stagnation and rapid inflation dubbed “stagflation.” Unemployment rose while productivity and living standards declined. Governments 12

responded at first by borrowing, to maintain the vast systems of social services implemented after the war, but in the 1980s they turned increasingly to austerity measures. It is important to note, however, that the welfare measures implemented after the war were effective, by and large, in preventing the mass suffering that might have occurred earlier in similar circumstances. After a brief economic upswing in the mid-1980s, Europe continued to deal with sluggish national economies and their social implications.

In Eastern Europe, protest came earlier, and while it had economic and social undercurrents, it remained primarily political in nature. The overriding focus of discontent was Soviet domination. To be sure, not all nations experienced Soviet-brand communism similarly. After its 1956 uprising, Hungary, for example, experimented with an economy based more on consumer goods. Poland, too, took a separate path, with little collectivized agriculture and a strong Roman Catholic presence. Yet discontent emerged regularly. In Poland, the Soviet-supported government faced popular demonstrations in the 1950s and, more seriously, in the 1980s. Troops were called on to quell protests in Hungary in 1956 and in Czechoslovakia in 1968. Despite such protest, real change came only after the rise of **Mikhail Gorbachev** in the Soviet Union in 1985 (See [1985, March 10](#)). His policies of glasnost and perestroika led to far-reaching economic, social, and political reforms. By 1989 these policies had given the satellite nations of Eastern Europe enough security to break their bonds with the Soviet Union. One by one, they toppled their communist-led governments and instituted democratic reforms. Most of these revolutionary transformations were peaceful; Romania was the notable exception. This period of “revolution” came to an end in 1992 with the collapse of the Soviet Union.

13

Europe clearly entered a new and uncertain period in 1989. East and West Germany were unified, but many former East Germans lost their jobs. The other nations of Eastern Europe sought economic aid in building market economies. Meanwhile, old national and ethnic rivalries long suppressed by the communists resurfaced; these caused the most damage in the former Yugoslavia. In Western Europe, economic problems muted the promise of 1992, when the 12 member nations of the Common Market became one free-trade zone and curtailed their ability to help the struggling states in the East. Finally, immigration became a problem as unemployment spurred discontent among European nationals who competed for jobs with the descendents of immigrants who had first arrived in Europe in the 1950s, when governments had eagerly accepted this needed influx of labor.

14



(See [1934–54](#))

## 2. [Religious and Philosophical Thought](#)

In the realm of religious thought, **secularism** continued to make great strides as divorce and contraception, for example, became more commonplace. But the churches did not stand still in this period. Pope John XXIII (1881–1963) convened **Vatican II** (1962–65), the world Catholic council that updated the Church. Later popes, while remaining traditionalists in matters like priestly celibacy, the ordination of women, and birth control, continued to campaign for social justice. In the Protestant churches, two theological movements emerged. Under the leadership of the Swiss theologian **Karl Barth** (1886–1968), some Protestants dismissed the notion that reason could save the soul, arguing instead for the primacy of revelation and the powerlessness of humans without God's grace. Others, following the British theologian **John Robinson**, built on 19th-century liberalism to argue that the Bible must be interpreted in a modern context. Robinson believed modern Christians had to extract the inner meanings from the old biblical myths and apply them to each situation of modern life, a stark difference from Barth's fundamentalism. <sup>1</sup>

For many, however, the notion that God was dead was as true after World War II as it had been after World War I. Indeed, philosophical thought in postwar Europe continued along trends established in the interwar period that highlighted the absurdity and meaninglessness of life. The philosophical school that best expressed this view was **existentialism**, led by French philosophers **Jean-Paul Sartre** (1905–80), **Simone de Beauvoir** (1908–86), and **Albert Camus** (1913–60). These theorists argued that there were no absolutes or eternal truths for humankind. In the 1960s a new school of thought, known as **structuralism**, rose to challenge this view (See [Nov. 3](#)). Major figures, including anthropologist **Claude Levi-Strauss** (b. 1908) and literary critic **Roland Barthes** (1915–80), grounded their theories on structural linguistics and the science of signs to assert that human consciousness was the helpless victim of objective structures implied in the laws of language syntax. In the late 1960s and early 1970s other intellectuals, such as **Jacques Derrida** (b. 1930) and **Michel Foucault** (1926–84) challenged the linguistic stability and systematic function of structuralism. Their emphasis on textual analysis and relativist positions was instrumental in the formation of <sup>2</sup>

**poststructuralism** and **deconstruction** in the post-1968 intellectual community.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Culture and Popular Culture](#))

### 3. [Culture and Popular Culture](#)

In the fine arts, it was difficult to discern any great changes from trends established in the interwar period. Private expression continued to underpin the work of most artists; artists were freed from learned convention to explore all avenues of self-expression. In painting, as in architecture, the postwar period witnessed the continued development of the main ideas of the interwar period. In the 1960s some artists created **pop art**, using bits of comic strips and commercial art to bridge the gap between commercial mass culture and fine art. In literature, while the traditional novel continued to thrive, the “**new novel**” of French writers like Alain Robbe-Grillet (b. 1922) and Natalie Sarraute challenged this form by concentrating on concrete details without plot or character development. Film also became an important medium as directors like Jean-Luc Godard (b. 1930), François Truffaut (1932–84), Michelangelo Antonioni (b. 1912), and Bernardo Bertolucci (b. 1940) made Paris and Rome centers of experimental filmmaking. The works of Ingmar Bergman (b. 1918) and Rainer Werner Fassbinder (1946–82) also provided dark commentary on modern life. In music, the application of computers and electronic instruments like the Moog synthesizer aided composers in their search for new sounds. And in architecture, major figures like Ludwig Mies van der Rohe (1886–1969), a Bauhaus disciple, carried on functionalism, while Paris and Barcelona remained at the forefront of modern architecture with a variety of new buildings in the “international style,” plus a new interest in Barcelona's earlier Modernista movement. <sup>1</sup>

In the realm of popular culture, the most striking feature was the spread of a worldwide culture, influenced heavily by the Americans. This was made possible by the availability of cheap transistor radios, television, films, and recordings, and by inexpensive travel opportunities. Popular culture was thus the product of a society where such technologies were commonplace, a society based on prosperity and consumption. The new culture glorified youth, and film stars like Marilyn Monroe (1926–62) and James Dean (1931–55) became international symbols. Perhaps the most famous purveyor of this culture was the **Beatles**, a popular British rock and roll band. The band members clearly represented the new international, youthful culture of carefree, good-humored hedonism. This youth culture flourished easily in Western Europe, but even Soviet youth clamored <sup>2</sup>



for blue jeans and Western music.

Popular culture changed in certain other respects. The new hedonism among young people; greater freedom from adult supervision, including more public opportunities for young women; and the development of the birth control pill in 1960 produced **new sexual behavior and a more open sexual culture**. Representations of sexuality in European films and television, the advent of stores that sold sexual items, and new behaviors, including increased premarital intercourse, signaled this growing change. While rates of illegitimate births increased for a time, public acceptance of birth control for young people stabilized that trend by the 1970s.

**Leisure time increased greatly in Europe**, with many groups gaining as much as five weeks in annual vacation time. Those in the north made massive annual migrations to Italy, Spain, and southern France. New vacation organizations developed, and many Europeans bought summer homes. Club Med was founded in 1950 by Gerard Blitz, and its resorts ultimately spread around the world, providing a European atmosphere for vacationers. At the same time, **television watching** became the most common leisure pastime. Consumeristic values led to a heightened interest in material possessions, such as household appliances, motor scooters, and automobiles. Shopping patterns changed, away from community-based stores and toward supermarkets and other glossy settings. Most Western European countries permitted **television advertising** by the 1970s, another consumeristic change.

European manners became less stiff. Parent-child relations became less formal. Divorce rates varied, rising in Britain to approximately one in every three marriages and generally increasing. With growing numbers of women working, use of **daycare centers for children**, usually government-sponsored, grew rapidly. While a minority maintained important religious attachments, church attendance overall continued to decline in Europe. Only in Eastern Europe, particularly after the fall of communism, were there signs of new interest in Christianity.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Science and Technology](#))

#### 4. [Science and Technology](#)

The most important development in these two arenas was their continuing merger after World War II. During the war, scientific research and technical expertise were both directed at solving practical military problems. After the war, this cooperation between pure science and applied technology continued, giving rise to what many called “**big science.**” The war had demonstrated the effectiveness of directed research, a trend continued after the war. This required a great deal of organization, however, and became very expensive. Indeed, scientific research became the province of large, well-defined bureaucratic organizations, and funding could be maintained only by governments and corporations. By 1960, for example, when governments in Western Europe created the European Council for Nuclear Research to build an accelerator outside of Geneva, the cost was \$30 million. The cost of research resulted in a “brain drain” in Europe, as many scientists emigrated to the United States, where both the government and large corporations spent vast sums of money. European nations responded to this challenge, however, by pooling their energies, as in the Franco-British collaboration on the Concorde, the supersonic passenger airliner, and Airbus, the airline manufacturing consortium created by Great Britain, France, West Germany, and Spain among others.

Much of what was accomplished in technology built on what had existed before World War II; jets, radar, and electronic computers were all developed before the war and were adapted to more consumer-centered uses afterward. Microwave technology, for example, was perfected for military purposes during the war, but generated endless applications afterward in the telecommunications industry. This continued after the cold war as well, as technology developed for the space race between the United States and the Soviet Union gave rise to the use of French Ariane rockets to launch commercial satellites.

At the same time, the vigorous environmental movement began to question the results of rapid technological change. In 1969, for example, millions of fish died in the Rhine River two years after the disappearance of two 50-pound canisters containing the insecticide Thiodan. Concerns over such environmental tragedies developed into political movements, especially in Germany, where the **Green Party** gained enough power to win a considerable number of votes in elections in the early 1990s. Disasters

like the 1986 meltdown at the Chernobyl nuclear power plant in the Ukraine tempered society's belief in the potential benefits of modern technology.

Some of the major scientific and technological developments that have occurred since 1945 follow.

4

### 1947

The word *automation* was coined by John Deibold and D. S. Harder, to define “a self-powered, self-guiding and correcting mechanism,” and it was later extended to include all elements of production—“automated factory”—and office and clerical procedures.

5

### 1950s

The basic-oxygen process for the manufacture of steel was developed in Austria.

6

### 1953

**Francis H. C. Crick** (b. 1916) and **James D. Watson** (b. 1928) offered a model for the structure of DNA that accounted for gene replication and posited a biochemical code that could transmit a great variety of genetic information. **Electronic computers** with feedback mechanisms (servomechanisms) made possible the new field of **cybernetics**, defined by **Norbert Wiener** (1953) as “the study of control and communication in the animal and the machine.”

7

### 1961

The first manned spaceship circled the earth April 12 in 89.1 minutes, at an altitude of 187.7 miles. Soviet astronaut **Yuri Gagarin** (1934–68), made the orbit in the space vehicle *Vostok I*, and astronaut (cosmonaut) Gherman Titov orbited the earth 17 times less than four months later.

8

### 1962

**Neil Bartlett** (b. 1932) announced that he had combined xenon with platinum and fluorine to form xenon-platinum hexafluoride; other compounds of xenon and radon were found, thus destroying the notion that the noble gases are all nonreacting.

9

## July 10

*Telstar I* was launched. The new satellite was used to transmit the first live transatlantic telecasts between the United States and Great Britain.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1947, Feb. 10](#))

## **5. Diplomatic Relations and European Pacts**

### **1946, Sept. 6**

U.S. Secretary of State **James F. Byrnes**, in a speech in Stuttgart, announced a more lenient American policy toward Germany and called for a unified German economy. 1

### **1947, March 4**

An **Anglo-French treaty of alliance** was signed at Dunkirk. 2

### **March 10–April 24**

The **council of foreign ministers**, meeting in Moscow, failed in its effort to draft peace treaties for Germany and Austria. 3

### **July 12–15**

The **MARSHALL PLAN** (See [June 5](#)), a program for European recovery proposed by U.S. secretary of state George Marshall, was discussed by delegates of 16 European nations meeting in Paris. A committee was set up to draft a **European Recovery Program**. The Soviet Union and its satellites refused to participate in a program of European reconstruction. 4

## Oct. 5

The **COMMUNIST INFORMATION BUREAU (Cominform)** was established by the Communist parties of the Soviet Union, Yugoslavia, Bulgaria, Romania, Hungary, Poland, France, Italy, and Czechoslovakia. With headquarters in Belgrade, the bureau was to coordinate the activities of European Communist parties. 5

## Oct. 29

Ratification of the **customs union among Belgium, the Netherlands, and Luxembourg.** 6

## Nov. 25–Dec. 16

A conference of the Big Four foreign ministers in London again failed to agree on solution of the German problem. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov. 11](#))

## 6. Western Europe, 1945–2000



EUROPE, 2000 (MAP)

### a. Britain

**Monarchs:** George VI (r. 1936–52); Elizabeth II (r. 1952– ).

1

**Prime ministers:** Clement Atlee (1945–51, Labour); Winston Churchill (1951–55, Conservative); Anthony Eden (1955–57, Conservative); Harold Macmillan (1957–63, Conservative); Sir Alec Douglas-Home (1963–64, Conservative); Harold Wilson (1964–70, Labour); Edward Heath (1970–74, Conservative); Harold Wilson (1974–76, Labour); James Callaghan (1976–79, Labour); Margaret Thatcher (1979–90, Conservative); John Major (1990–97, Conservative); Tony Blair (1997– , Labour).

2

### 1945, May 7

**Germans surrendered unconditionally** to representatives of the U.S., USSR, France, and Great Britain in **Reims**, France. Britain lost a total of **398,000 military personnel** over the course of **World War II**.

3

### May 23

**Prime Minister Winston Churchill** resigned in the face of the collapse of the wartime coalition, established in 1940, of the **Conservative** and **Labour Parties**.

4

## July 5

In an unexpected victory in the first general parliamentary elections in ten years, the **British Labour Party** won 388 seats out of 640. 5

## July 26

A new **Labour cabinet**, with **Clement R. Atlee** as prime minister, was formed. **Atlee replaced Churchill** for the later sessions of the **Potsdam Conference** (See [July 17–Aug. 2](#)). The new government immediately embarked on an ambitious **program of socialization**. A brief period of postwar optimism was followed by an extended regime of **economic austerity**, due chiefly to the profound disruption of Britain's economy caused by the war. To facilitate the reconversion to peacetime production, demobilization of manpower and industry was carried out only gradually. 6

## Oct. 15

The House of Commons voted to extend the government's **wartime emergency powers** for five years, to make up for the **cessation of lend-lease**, which came as a deep shock to Britain's economy. 7

## Dec. 6

The **United States** granted a **loan** of \$3.75 billion to Great Britain. **Canada** subsequently provided a loan of \$1.25 billion. However, both these loans were exhausted by the end of 1947 due to high prices on the American market. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)



(See [June 16](#))

## **[b. Ireland \(Eire\)](#)**

### **1945, June 4**

Elections in Northern Ireland favored continued Irish partition.

*1*

### **June 25**

President Douglas Hyde retired and **Seán T. O'Kelly** became **second president of Eire**.

*2*

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(See [1944, Sept. 2](#))

## c. [The Low Countries](#)

### 1. [Belgium](#)

#### [1944, Sept. 2](#)

**Brussels was liberated** from German occupation by the 2nd British Army. 1

Belgium, after its liberation, was governed by coalitions of the main political parties, with **Prince Charles** as regent. Its major domestic issue was the return of **King Leopold** (deposed in 1945), which the Catholics favored and the Socialists opposed. On July 17, 1945, parliament passed a bill making Leopold's return dependent on parliamentary approval. 2

#### [1946, Feb. 17](#)

A **general election** gave the Catholic **Christian Socialists** the largest number of votes, but continued disagreement over the future of the monarchy prevented the formation of a coalition cabinet. 3

#### [1947, March 19](#)

**Paul-Henri Spaak** was able to form a coalition government of Catholics and Socialists, thus assuring greater stability in the handling of pressing economic problems. 4

#### [Nov. 1](#)

A **customs union** with Holland and Luxembourg (**Benelux**) became effective.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Oct. 23](#))

## d. [France](#)

**Postwar provisional government:** Gen. C. de Gaulle (1945–46), F. Gouin (1946), G. Bidault (1946–47). 1

**Fourth Republic presidents:** V. Auriol (1947–53), R. Coty (1953–58). 2

**Fifth Republic presidents:** Gen. C. de Gaulle (1958–69), G. Pompidou (1969–74), A. Poher (1974, April–May, interim), V. Giscard d'Estaing (1974–81), F. Mitterrand (1981–95), J. Chirac (1995– ). 3

### 1944, Aug. 23–24

**German forces in Paris were compelled to capitulate** as Allied armies approached and armed citizens liberated the city. The administration was turned over to **Charles de Gaulle** with the approval of the Allied commanders. 4

Through the 1940s and beyond, the **issue of collaboration** remained a central question in French political life. French society was divided on the degree to which those who had collaborated with the Nazis should be punished. Communists favored harsh sentences; Catholic groups advocated forgiveness in the name of national reconstruction; prominent existentialists and socialists took a more moderate approach. 5

The *épuration*, or **purge**, of persons known or suspected to have collaborated with the Germans began during the war itself but intensified in the immediate postwar period. Some nine thousand summary executions were carried out by the population, three-quarters of them before the Allied landing or during the fighting, the remainder occurring as a result of popular impatience with the slowness of the court system. An additional 767 executions were carried out in the years following the war by state authorities, after prosecution and conviction of the accused. 6

### Sept. 27

The first phase of **nationalizations** designed to restore prewar levels of production in the transport, fuel, and heavy-machinery sectors of the economy began when de Gaulle's government took over the coal fields of the Nord and Pas-de-Calais departments. 7

#### Oct. 4

The French state seized control of Renault automobile factories. 8

#### Nov. 7

A **consultative National Assembly**, summoned by **de Gaulle**, held its first session. Municipal and departmental elections for the 89 *départements* were set for February 1945, and the franchise was extended to all citizens, male or female, older than 21. 9

#### Dec. 10

A **Franco-Soviet treaty of alliance and mutual security** was negotiated. It was to run for 20 years. 10

#### Dec. 18

Nationalization of the French merchant fleet. 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944, May 3](#))

## e. [The Iberian Peninsula](#)

### 1. Spain

**Heads of state:** Gen. Francisco Franco (1939–75), King Juan Carlos de Borbon (1975– ). 1

**Prime ministers (post-Franco):** Carlos Arias Navarro (1975–76), Adolfo Suarez (1976–81), Leopoldo Calvo Sotelo (1981), Felipe Gonzalez (1981– ), José Maria Aznar (1996– ). 2

After the defeat of the Axis powers in World War II, **Gen. Francisco Franco** began moving away from the fascist ideology that had underpinned his regime during its first years in power. Still, policies of economic autarchy were not abandoned until the later 1950s, the political system remained strictly authoritarian, and civil liberties were not fully restored until after the *caudillo's* death in 1975. The **transition to democracy** in Spain that took place thereafter was distinct from that of other European nations in that it was a gradual process, with figures from the former regime remaining in positions of military and civilian authority through the 1980s. 3

### 1945, March 22

Don Juan, the Bourbon claimant to the Spanish throne, called for the resignation of Gen. Franco and the restoration of the monarchy. 4

### May 8

Spain broke off diplomatic relations with Germany. 5

## May 12

Falangist officials attended a requiem mass for Adolf Hitler. Spain continued to give refuge to large numbers of Germans, despite Allied demands for their repatriation.

6

## June 20

The San Francisco (Calif.) Conference on the United Nations Charter excluded Spain from membership in the UN. A similar exclusion was contained in the report on the Potsdam Conference (Aug. 2).

7

## July 20

Gen. Franco made changes in his cabinet, filling several government posts with reputedly royalist sympathizers, and stated that the **monarchy would be restored at a future date.**

8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [June 4](#))

## **f. [The Italian Region](#)**

### **1. Italy**

**Presidents:** Enrico de Nicola (1946–48); Luigi Einaudi (1948–55); Giovanni Gronchi (1955–62); Antonio Segni (1962–64); Guiseppe Saragat (1964–71); Giovanni Leone (1971–78); Alessandro Pertini (1978–85); Francesco Cossiga (1985–92); Oscar Luigi Scalfaro (1992–). 1

#### **1945, Nov. 30**

The leader of the Christian Democrats, **Alcide de Gasperi**, formed a new government supported by all major parties. 2

#### **1946, Jan. 1**

With the **transfer of Bolzano** province by the Allies, the whole country, except for Venezia Giulia (claimed by both Italy and Yugoslavia), was under Italian sovereignty. 3

#### **May 9**

**KING VICTOR EMMANUEL III ABDICATED.** His son proclaimed himself **King Umberto II**. 4

#### **June 2**



**Elections** to the **Constituent Assembly** gave 207 seats (out of 556) to the Christian Democrats, 115 to the Socialists, and 104 to the Communists. At the same time, a referendum rejected the monarchy, 12,717,923 votes to 10,719,284, thus making **ITALY A REPUBLIC**.

5

### June 11

The prime minister, **Alcide de Gasperi**, was made temporary head of state.

6

### June 13

**King Umberto**, while refusing to accept the popular verdict against the monarchy, **left the country** to prevent the outbreak of violence.

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1940, Nov. 19](#))

## **g. [Switzerland](#)**

### **1946, April 2**

Switzerland announced its decision to stay outside the **United Nations**, so as not to endanger its traditional neutrality. 1

### **1947, Oct. 28**

**General elections** brought no important changes in the lineup of parties. The Progressive Democrats received 51 seats, the Social Democrats 48, the Catholic Conservatives 44, and the Labor Party (Communist) 7 of the total 194 seats in the Parliament (Federal Assembly). 2

### **1950s**

Spread of **self-service stores**, displacing older shops; growing consumerism. 3

### **1950, Feb**

Switzerland embarked on a **five-year plan of military preparedness** and announced that it would fight to defend its neutrality. 4

### **Sept**

The executive **Federal Council (Bundesrat)** expelled all Communists from **government service**.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [July 20](#))

## **h. [Germany](#)**

**Chancellors (Federal Republic):** Konrad Adenauer (1949–63, Christian Democrat);<sup>1</sup> Ludwig Erhard (1963–66, Christian Democrat); Kurt Kiesinger (1966–69, Christian Democrat–Christian Social Union); Willy Brandt (1969–74, Social Democrat); Helmut Schmidt (1974–82, Social Democrat); Helmut Kohl (1984–98, Christian Democrat); Gerhard Schroeder (1998–, Social Democrat). The end of World War II brought profound changes to Germany. The fighting itself left the country in ruins, the outbreak of cold war hostilities led to **partitioning** in 1949, and in East and West Germany the dismantling of traditional structures of power by occupation forces produced very different cultural shifts as well as contrasting economic trajectories. After four decades of development along separate paths under divided statehood, Germany unified in 1989. One country again, Germany began to face a series of new challenges that tested not only its economic strength, but also the nation's cultural integrity and social cohesiveness.

### **1945, April 30**

**ADOLF HITLER COMMITTED SUICIDE IN BERLIN** as Soviet forces captured the<sup>2</sup> city.

### **May 8**

Terms of **unconditional surrender, signed at Reims** on the previous day, became<sup>3</sup> effective and **ended the Second World War in Europe**. Surrender terms were also signed in Berlin between German and Soviet commanders.

With the total defeat of the Hitler regime, no German government remained.<sup>4</sup> Instead, supreme authority was vested in an **Allied Control Council of Great Britain, France, the United States, and the Soviet Union**. Each of these powers administered its own

occupation zone, with the Soviet Union holding the region east of the Elbe. The former capital, **Berlin**, was likewise divided into four sectors. Future policy toward Germany had been outlined at the **Potsdam Conference**, though its implementation varied in the different occupation zones. The victors' most immediate measures were concerned with the liquidation of the Nazi system, the transformation of Germany's economy to peacetime production, and the transfer of administrative functions into German hands. On Nov. 20 **the trial of major Nazi leaders** opened at **Nuremberg** before an inter-Allied tribunal. In addition, thousands of lesser Nazis were removed from office and held for trial. Also on Nov. 20, the Control Council approved the **transfer of 6,500,000 Germans** from Austria, Hungary, Czechoslovakia, Poland, and the German region beyond the **Oder-Neisse line**, which had been handed to Poland at the Potsdam Conference, pending a peace settlement. In the months that followed, Germany's industrial power was drastically reduced by the **dismantling of the war plants** and the removal of equipment for reparations purposes. At the same time, large stores of food were imported to maintain a minimum ration. In all occupation zones, **political parties** were authorized by the end of 1945. In the Soviet zone administrative authority was vested in the provincial councils, which immediately initiated far-reaching land reforms. In the three Western zones, **German self-government** was initiated on local and provincial levels.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, April 13](#))

## **i. [Austria](#)**

### **1945, April 25**

A **provisional government** was set up with **Karl Renner** of the Socialist Party as **chancellor**. 1

### **May 14**

**THE DEMOCRATIC REPUBLIC OF AUSTRIA** was **reestablished**. 2

### **Aug. 8**

The division of Austria and Vienna into **four occupation zones** was completed. The **Allied Council for Austria** assumed authority over matters affecting the whole of Austria. 3

### **Nov. 25**

The first **general election** since 1930 gave the **People's Party** a majority over the Socialists and Communists. 4

### **Dec. 18**

**Leopold Figl** (People's Party) formed a coalition cabinet with the Socialists.

5

**Dec. 20**

**KARL RENNER** was unanimously elected **PRESIDENT OF THE REPUBLIC** by the National Assembly. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1939, June 17](#))

(See [Sept](#))

## **j. [The Scandinavian States](#)**

A chief concern of the Scandinavian countries during the postwar period was with military security. Negotiations among Denmark, Norway, and Sweden in 1948–49 on a joint defense pact broke down when Denmark and Norway (together with Iceland) decided to join the North Atlantic Treaty, while Sweden was determined to do nothing that might impair its traditional neutrality. Finland likewise tried to maintain a middle course, constrained by Soviet overtures for more cordial relations. 1

In economic and cultural matters, however, the Scandinavian states drew ever closer together. On Feb. 12, 1953, all of them except Finland organized the **Nordic Council**, which Finland joined two years later. The council consisted of members of the various parliaments, meeting annually for discussion of common problems and general consultation; committees were set up to deal with economic, social, financial, and cultural matters. In 1967 the council set up the **Nordic Cultural Foundation**, and in 1969 it endorsed plans for a **Nordic Economic Union**. Various foundations were established for scientific and other purposes. 2

### **1. Denmark**

**1945, May 5**

**Vilhelm Buhl**, a Social Democrat, formed the first postwar cabinet. 3

**Oct. 30**



**General elections** for the first time gave 18 of the 148 seats in the lower house to the Communist Party. The Social Democrats lost an equal number but still emerged as the strongest party. Since no coalition was possible, **Knud Kristensen** formed a Liberal Party minority government.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944, Aug. 1](#))

## **7. Eastern Europe, 1945–2000**

### **a. Poland**

**1945, April 21**

The **Soviet government** and a **Polish provisional government** set up in Moscow agreed on a **20-year treaty** of mutual aid. <sup>1</sup>

**June 12**

The British and French, who favored the Polish government in exile in London, persuaded the USSR to agree to a **tripartite commission** that would aid in the **organization of a Polish government**. <sup>2</sup>

At the Yalta Conference, Poland's eastern territories were reduced approximately to the “Curzon line” of 1919, while its western border, pending a final peace settlement, was extended to the **Oder-Neisse line** in eastern Germany. The leadership of postwar Poland was claimed by two rival groups, the Soviet-sponsored **provisional government at Lublin**, and the **Polish government in exile in London**. <sup>3</sup>

**June 28**

After lengthy negotiations, a **government of national unity** was formed, under Socialist **premier Eduard Osobka-Morawski** of the Lublin administration. It was recognized by the Western powers, though its leanings turned out to be decidedly pro-Soviet. For this reason, many Polish citizens who, as displaced persons or members of Poland's armed forces, were still in Western Europe refused to be repatriated. <sup>4</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, May 9](#))

## **b. Czech Republic and Slovakia (Czechoslovakia)**

### **1945, April 5**

**Klement Gottwald**, vice prime minister of Czechoslovakia and a leader of the **Czechoslovak Communist Party**, declared that the new Czechoslovak state would be based on the **equality of Czechs and Slovaks**. 1

### **May 10**

The new **government moved to Prague**. In a sweeping political purge, many collaborators were tried and executed. **Former president Emil Hácha** died in prison; **Konrad Henlein** committed suicide. 2

### **June 6**

**Edvard Beneš** , president of Czechoslovakia, declared that the **German and Hungarian minorities had to be expelled** from his country. 3

### **June 29**

**Czechoslovakia ceded Ruthenia to the Soviet Union**. 4

### **Aug. 3**

All **Germans and Hungarians** in Czechoslovakia were **deprived of their citizenship** and subsequently **expelled from the country**. 5

### Oct. 14

A **provisional National Assembly** was elected by indirect suffrage. 6

### Oct. 18

The government embarked on a far-reaching program of **industrial nationalization and agricultural reform**. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Dec. 21](#))

### c. [Hungary](#)

#### 1945, Nov. 3

The first **general election** gave an absolute majority to the anticommunist **Smallholders' Party**, whose leader, **Zoltan Tildy**, formed a coalition cabinet. The Communists gained the Interior and Justice Ministries and thus controlled the secret police. 1

The economic situation of the country was desperate as a result of the war, with serious food shortages and an unprecedented currency inflation. Large-scale Soviet requisitions further aggravated the situation. 2

#### 1946

About 150,000 ethnic Germans were expelled; another 100,000 were expelled in 1947. 3

#### Feb. 1

**A republic was proclaimed with Zoltan Tildy as president. Ferenc Nagy** of the Smallholders' Party became **premier** on Feb. 4. 4



(See [1944, Oct. 20](#))

#### **d. Yugoslavia and Successor States**

##### **1945, May**

As the war ended, Yugoslavia was still theoretically a monarchy. The actual power, however, was wielded by **Marshal Tito** and his **National Liberation Movement**. 1

##### **Nov. 11**

**Elections for a constituent assembly gave a substantial majority to Tito's Communist-dominated National Front.** 2

##### **Nov. 29**

The assembly proclaimed a **FEDERAL PEOPLE'S REPUBLIC OF YUGOSLAVIA.** 3

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(See [Oct](#))

## e. [Albania](#)

### 1945, Nov. 10

The Communist-dominated government of **Premier Enver Hoxha** was recognized by the Soviet Union and the Western powers. It was upheld in **general elections**, which returned the **single list of official candidates** (Dec. 2). <sup>1</sup>

### 1946, Jan. 11

The **constituent assembly** proclaimed the **PEOPLE'S REPUBLIC OF ALBANIA**. Its domestic and foreign policy followed closely the communist, pro-Soviet line taken by other Russian satellites. Relations with the West, and notably Great Britain, rapidly deteriorated. <sup>2</sup>

### May–Oct

**Two naval incidents in the Corfu Channel**, caused by Albanian coastal batteries and mines and resulting in the loss of British lives, further **increased British-Albanian tension**. <sup>3</sup>



(See [1943](#))

## **f. [Greece](#)**

### **1944, Dec. 25**

British prime minister **Winston Churchill** and his foreign secretary, **Anthony Eden**,<sup>1</sup> arrived in Athens to arrange a **settlement in the civil war** that had developed between Greek factions. A **regency government** was proclaimed, and **Archbishop Damaskinos** sworn in as regent after his appointment (Dec. 30) by the Greek king, **George II**.

### **1945, Jan. 11**

The **Greek civil war** ended with a truce between the British forces and the leftist factions<sup>2</sup> opposing British intervention.

The war left Greece a legacy of economic ruin, starvation, and domestic strife. The end of<sup>3</sup> the **civil war** did not bring political stability. The regent, **Archbishop Damaskinos**, supported by British occupation authorities, appointed six different ministries during 1945, none of which was able to bridge the gap between moderates and left-wing resistance groups.

### **1946, March 31**

The first **general election** won an **overwhelming majority** for the royalist **Popular Party**.<sup>4</sup> The National Liberation Front (Ethniko Apeleftherotiko Metopo, EAM) and other leftist groups refused to participate in the voting.

## April 18

Populist leader **Panyoti Tsaldaris** formed a cabinet.

5

## May–1949, Oct

Several thousand communists, supported by Greece's communist neighbors, engaged in extensive guerrilla activities that soon developed into a regular **civil war**.

6

## Sept. 1

A **plebiscite decided** 69 percent **in favor of the monarchy**, and **King George II returned to Athens** (Sept. 28).

7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1943, Aug. 29](#))

## **g. [Bulgaria](#)**

### **1945, Nov. 18**

The first **general election gave overwhelming support** to the single list of the **Fatherland Front**, a wartime coalition of major parties, by this time under Communist control. 1

### **1946**

In a sweeping purge, more than 1,500 high-ranking men and ten times as many minor figures in the old regime were killed. 2

### **March 31**

**Premier Kimon Gueorguiev formed a Communist-dominated government.** 3

### **Sept. 8**

**A referendum decided against the monarchy.** 4

### **Sept. 15**

**Bulgaria was proclaimed a PEOPLE'S REPUBLIC.** Young **Tsar Simeon II** went into exile. 5

**Oct. 27**

**General elections** for a **constituent assembly**, carried on with considerable governmental interference, **resulted in a Communist majority.** 6

**Nov. 21**

Veteran Communist **Georgi Dimitrov** returned from **Moscow** to become **premier.** 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944, Aug. 23–24](#))

## **h. [Romania](#)**

### **1945, March 2**

**King Michael asked Petru Groza**, leader of the left-wing Plowman's Front, **to form a government**. Based largely on the National Democratic Front, from the start the new government showed its Communist, pro-Russia leanings. 1

### **1946, Jan. 7**

As a result of British and American pressure, **representatives of the opposition parties were included in the government**, although the important posts continued to be in Communist hands. 2

### **May 17**

**Gen. Ion Antonescu**, wartime premier, was **condemned to death**. 3

### **Nov. 19**

The **general election**, preceded by a campaign of violence against the opposition, **resulted in a majority for the Communist government**. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [June 29](#))

## **i. Russia (Union of Soviet Socialist Republics and Successor States)**



THE RUSSIAN FEDERATION, 2000 (MAP)

### **1. Soviet Union**

**1944, Feb. 1**

An **amendment to the constitution** of the Union of Soviet Socialist Republics granted **separate commissariats for defense and for foreign affairs** to each of the constituent republics. Each could thus maintain its own army (which would form, however, a component element in the army of the USSR) and conduct its own negotiations with foreign countries, and conclude treaties with them. <sup>1</sup>

**1946, Feb. 10**

The first **general elections** since 1937 for the **Supreme Soviet** returned the official list of approved candidates. <sup>2</sup>

**March 15**

The fourth **five-year plan**, designed to increase industrial output by more than 50 percent over prewar levels, was adopted by the Supreme Soviet. Much of the necessary industrial equipment was collected from Soviet-occupied regions in Eastern and Central Europe. <sup>3</sup>

## March 19

In a series of governmental changes, **President Michael Kalinin** resigned because of ill health and was **succeeded by** the former trade union leader **Nikolai Shvernik**. **A Council of Ministers** (with **Joseph Stalin** as chairman and Foreign Minister **V. M. Molotov** as deputy chairman) **replaced** the former **Council of People's Commissars**. 4

## June 28

The **Ministry of State Control** announced widespread dismissals in industry for incompetence and dishonesty. This was followed in August by a similar purge of agricultural offenders. 5

## Nov. 18

**Marshal Koniev** replaced **Marshal G. K. Zhukov** as **commander-in-chief** of the Soviet armed forces. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov.–1946, March](#))

## **C. North America, 1946–2000**

### **1. The United States, 1946–2000**

The post–World War II era brought a plethora of changes to American life. The country claimed leadership of the “free world” and entered a sustained period of cold war with the Soviet Union and its allies. In order to combat the spread of communism, the government embarked upon an unprecedented period of peacetime military expansion. Federal support for the development of advanced military technology played a role in research development that undermined the old blue-collar sector of the economy. The increasing application of computer technology helped to transform the nation from a predominantly goods-producing society to a mainly service-producing one. The postwar **baby boom** (See [1943](#)), **increasing suburbanization**, and the continuing spread of American consumer culture all reflected as well as reinforced these trends. Following the end of the Vietnam War, the economy deteriorated, unemployment increased, and Republicans returned to power with a firm determination to end the New Deal social welfare order. By the early 1990s, with the collapse of communism in Eastern Europe, the nation sought to craft new policies for a post–cold war world. 1

The cold war not only influenced American foreign policy and the economy, but also helped to transform domestic social and political relations as well. The nation's aggressive posture toward communism abroad was accompanied by equally vigorous attacks on suspected Communists at home. Sen. Joseph R. McCarthy's investigations, the Korean and Vietnam Wars, and wiretaps on the phones of civil rights leaders such as Martin Luther King, Jr., all reflected the destructive impact of the cold war at home and abroad. 2

Beginning with the Montgomery bus boycott in 1955 and culminating in the March on Washington for “freedom and jobs” in 1963, civil rights emerged as the most pressing domestic issue facing the nation. By the late 1960s, the U.S. had moved to dismantle the system of Jim Crow, to enfranchise African Americans, and to address the “unfinished revolution” of full citizenship rights for African Americans. Women, Hispanics, Native Americans, and eventually gay rights and environmental activists accelerated their 3

assault against various forms of injustice and inequality, including racial, ethnic, gender, and sexual-preference barriers. Until the late 1960s, the Democratic Party remained committed to the New Deal welfare state and helped push provisions for social services beyond the limits established during the 1930s. During the 1970s and 1980s, however, the U.S. undertook a dramatic reordering of its national priorities.

Following the election of 1968 and the nation's defeat in and retreat from Vietnam, the U.S. entered a prolonged crisis of economic and political restructuring. This period also signaled the end of American dominance in the world economy. The U.S. experienced the painful transition from a creditor to a debtor nation, with the world's largest foreign debt and a rising foreign trade deficit that peaked at \$171 billion in 1987. The nation's increasing dependence on Middle Eastern oil played a major role in the eruption of the Persian Gulf War in 1990. Beginning with Republican president Richard M. Nixon in 1968, and accelerating with the election of Ronald Reagan in 1980, the nation turned away from its commitment to social welfare spending and undercut measures for translating civil rights laws into social practice. Dubbed "Reaganomics," this movement caused the federal government to disband the Office of Economic Opportunity (1971), weakened support for affirmative action in *Bakke v. University of California–Davis* (1978), and enacted a vigorous policy of tax cuts with the Economic Recovery Tax Act of 1981 and the Tax Reform Act of 1986. Under the Republican administrations, numerous groups—labor unions, women, racial and ethnic minorities, and environmentalists—experienced the impact of increasingly conservative policies.

Despite strong reactions against social programs and grassroots social movements, however, the U.S. continued to witness vigorous forms of activism during the period. The environmental movement and the gay rights movement (with intensified motivation after the outbreak of AIDS) represented important centers of activism. At the same time, African Americans increasingly channeled their efforts into the electoral arena. Civil rights activist Jesse Jackson mounted important challenges to the established Democratic Party with his "Rainbow Coalition" in the elections of 1984 and 1988. With the presidential election of Democrat William "Bill" Clinton in 1992, the nation seemed prepared to reassess the desirability of Reaganomics. Yet Clinton's first year in office revealed the nation's deep resistance to social change, including the lifting of bans on gays in the military. The conservative tide of the Reagan years would turn only slowly.

**The postwar economy.** Both founded in 1944, two institutions—the **International Bank of Reconstruction and Development, or World Bank, and the International Monetary Fund**—fueled the nation's postwar economic growth. Along with the **General Agreement on Tariffs and Trades (GATT)**, a multinational trade agreement, these economic arrangements represented what became known as the **Bretton Woods system** of postwar economic development.

1946–60

**The baby boom generation.** During these years the nation's **birth rate soared**. The 20 percent population growth rate in the 1950s resulted particularly from an increase in middle-class birth rates. **The boom peaked in 1957.** Because of their numbers, the children, called “baby boomers,” greatly influenced U.S. public, private, and cultural behaviors. Dr. Benjamin Spock published his best-selling *Baby and Child Care* (1946) and influenced a generation of baby boom mothers. **Technological changes** continued to transform American life and promote the expansion of consumerism. Consumer credit rose from \$8.4 billion in 1946 to \$45 billion in 1958. At the same time, the emergence of the first **McDonald's restaurant** in San Bernardino, Calif. (1954) and the **Holiday Inn** motel chain in Memphis, Tenn. (1952), signaled the rise of the fast food, vacation, and recreation industries. Although fewer than 7,000 **television sets** existed in the entire nation in 1947, by 1955, 66 percent of American families owned one. 7

### 1946, March

**Winston Churchill delivered his “iron curtain” speech** in Fulton, Mo., which helped set the tone for the cold war. 8

### April–May

**The U.S. labor movement could** claim a greater membership than at any other time in its history; **nearly 40 percent of the labor force was unionized.** **A second wave of strikes** hit the soft-coal mines and the railroads. Before the strikes were settled, the government had taken control of the railroads (May 17) and the coal mines (May 20). **Pres. Harry Truman angered labor leaders by threatening to draft striking workers into the armed forces.** Congress passed the **Employment Act** to initiate federal fiscal planning on a permanent basis, to ensure economic growth as well as to curb inflation. 9

### June 25

The Senate passed a measure extending **Selective Service** until March 31, 1947. Prior to this, public pressure had brought about the **hasty demobilization** of close to 9 million men. 10

## July 1–25

Scientists at Bikini in the Pacific demonstrated the effect of an atomic explosion in experiments detonated on warships and under water. 11

## July 15

Pres. Truman signed a bill extending a **credit of \$3.75 billion to Great Britain.** 12

## Sept. 20

Secretary of Commerce **Henry A. Wallace was asked to resign** following his criticism of the government's increasingly firm policy toward the Soviet Union. 13

## Nov. 9

Following a futile battle with Congress to maintain price and wage controls, **Pres. Truman removed virtually all controls** except those on rent and some foods. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, June 11](#))

## **2. Canada, 1946–2000**

The cold war shaped Canadian history no less than it did U.S. history. Located between two superpowers, both with nuclear capabilities, Canada supported the U.S. and became a major architect of the North Atlantic Treaty Organization. Through its treaty agreements as well as through trade arrangements, the nation became increasingly linked to the political economy of the U.S. Most of its trade went to the U.S., while American businesses expanded their investments in the Canadian economy. Foreign corporations (mostly U.S. companies) owned most of the nation's petroleum and discouraged Canadian-controlled research and development projects; this ensured Canada's exclusion from the microchip computer revolution that transformed American technology and industries during the period. Although some Canadian policy makers soon complained of the growing dependence of the Canadian economy on foreign companies, the pattern persisted and placed Canada in an increasingly precarious position in the world market. When the Middle Eastern oil crisis struck Western countries in the 1970s and 1980s, the Canadian economy was particularly hard hit. <sup>1</sup>

Despite heavy dependence on the U.S. for economic development and defense, Canada experienced unprecedented economic growth and prosperity until the early 1970s. Production and consumption rose, as the nation's population not only increased but continued to urbanize, and then suburbanize, in growing numbers. A variety of forces fueled the development of Canadian cities, suburbs, and consumer culture: the baby boom, relatively low rates of unemployment, and an overall rise in the standard of living. Yet, as in earlier eras, the country's prosperity was unequally distributed. Inequality persisted between the troubled agricultural sector (and the maritime provinces) and the vibrant urban economies of Montreal, Toronto, and Vancouver. French-speaking Quebec only slowly gained parity with English-speaking Canada. And the problems of Native Americans, African Canadians, women, and homosexuals received little attention until these groups organized and exerted increasing pressure on the Canadian government. By the late 1980s and early 1990s, Canada was also attracting increasing numbers of new immigrants from Europe (especially Italy), Africa, Asia, and the Americas. Although French-speaking Quebec voted to remain in the Dominion in 1980, the new wave of <sup>2</sup>

immigrants challenged the nation's ability to maintain an increasingly multiracial as well as multicultural nation.

### 1946, April 12

**Field Marshal Sir Harold Alexander** succeeded the earl of Athlone as **governor-general**. 3

### July 1

The proclamation of **the Canadian Citizenship Act** clarified the definition of Canadian citizenship but retained the status of British subjects for Canadians. It went into effect on Jan. 1, 1947. 4

### July 15

A royal commission investigating the activities of a **Soviet spy ring** in Canada reported the disclosure of important secret information by Canadian officials and the existence of a Communist fifth column in Canada, directed by Soviet agents. Among the Canadians involved was the one parliamentary delegate of the Labour-Progressive (Communist) Party. 5

### Aug. 3

**An Anglo-Canadian wheat agreement** provided for British purchases of large amounts of Canadian wheat at prices considerably below the world market. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Overview](#))

## **D. Latin America, 1945–2000**

### **1. Overview**

In the years since World War II, Latin America has undergone major cultural, economic, and political changes. **Industrialization and urbanization** have transformed the region. Long-standing **conflicts over land use and control** were supplemented by the struggle for industrial development, the desire for **regional self-sufficiency and integration**, and the fight against imperial domination. New political movements, ranging from the extreme Right to the extreme Left, reflected Latin America's changing international and internal situation. 1

Beginning in the 1950s, **hyperurbanization** produced megalopolises in cities such as São Paulo, Rio de Janeiro, and Mexico City. **Declining economic opportunities** and land scarcity in the countryside have driven ever larger numbers of *campesinos* into urban areas, looking for work. By the 1980s these cities, surrounded by countless **squatter settlements**, were among the largest in the world. Rapid population growth was simultaneously felt in rural areas, where inhabitants continued to struggle against the onslaught of commercial agriculture and **environmental destruction**. 2

In some regions the urban middle and working classes have also expanded rapidly. **Import substitution industrialization** and public employment supported the expansion of these classes in the years after 1945. As these groups grew, so did demands for social welfare and health programs, expanded educational opportunities, and growth in the role that the state played in regulating the economy and society. Before the crises and privatizations of the late 1980s, the state in nations such as Brazil, Mexico, and Argentina was heavily involved in commerce and society, and often **the state owned important national industries**. In other less-developed countries, where a small number of people were able to maintain control of the political apparatus, **right-wing repressive tactics** were often maintained. 3

The nationalist and populist politics that dominated the 1940s and 1950s gave way to a more socialist-oriented politics in some areas by the 1960s and 1970s. This trend produced the **socialist revolutions** in Cuba (1959) and Nicaragua (1979), and the 4

election of a socialist president in Chile (1970). However, harsh **authoritarian regimes** and extremely reactionary governments dominated much of the region. Many movements identified with the Left were ruthlessly suppressed. During this time, Latin American **militaries, often with U.S. support, played a growing role in politics**, occasionally as social reformers (as in Peru in 1968), but most often as representatives of the Right.

By the late 1980s both **military interventions in politics and the power of the Left were in steep decline**. Years of brutal dictatorships and the horrors of Argentina's "dirty war" and Augusto Pinochet's Chile had helped to bring Latin America's militaries into deep disregard, while the obvious failures of Fidel Castro's Cuba and the decline of socialism abroad forced the region's leaders to look elsewhere for solutions to their problems. The new, mostly civilian governments of the region are currently resorting to **neoliberalism** and considering the policies of the newly industrializing nations of the Far East for answers to their problems with staggering debt and economic stagnation.

Larger political movements have also reflected certain profound changes in the internal power relationships in Latin American society. The **role of women** has changed radically in Latin America over the past 50 years. From simply receiving the vote to demanding (and finding) expanded roles in politics, business, and other fields, **feminist movements** have had some startling successes in the region. **Native, mestizo, and black movements** have also made great strides in their **demands for representation and for ethnic and racial equality**. The Catholic Church in the region has recently taken up the cause of the poor and dispossessed, highlighted by conferences in 1968 and 1979 wherein **the church abandoned its traditional noninterventionist stance** and openly advocated action to empower the poor and change the plight of the dispossessed. Religious life, meanwhile, has become more diverse, with evangelical Protestant sects attracting numerous converts from poor urban neighborhoods. African-influenced religions, such as Santería (Cuba), Vodun (Haiti), and Candomblê (Brazil) have also thrived in the rapidly expanding cities.

### a. Cultural Developments

In the years since World War II, Latin American art, literature, and film have assumed a prominent international status. Many Latin American **artists of the postwar era have used their work to engage in social and political struggles**. Poets such as Nobel Prize-winner **Pablo Neruda** (1904–73), whose most famous work, *Canto General* (1950), explores the history of Latin America from the point of view of the workers and peasants, examined issues and social groups that had been all but ignored. Cuban poet **Nicolás Guillen**, too, used traditions drawn from **Afro-Cuban folk culture** to attack imperial domination in Latin America.

Over the past 50 years, the novel and short story have emerged as the two dominant art forms of the region. In the 1940s, the Argentine **Jorge Luis Borges** (1899–1986) rose to international prominence with works such as *Ficciones* (1944), which used magic and fantasy as its primary vehicle. The Mexican Nobel laureate (1990) **Octavio Paz** published his major work, *The Labyrinth of Solitude* (1950), in the immediate postwar period. During the same years, writers such as **Miguel A. Asturias**, who wrote *Men of Maize* (1949), were developing the school of magical realism in Latin America. These authors blended myth, fantasy, and native imagery to produce works that might be understood from the perspective of Indian cultures or as rejections of the “logic” of Western literary narratives.

8

**The boom in Latin American fiction** began in the 1960s. During this decade, the Mexican **Carlos Fuentes** (*The Death of Artemio Cruz*, 1962), the Peruvian **Mario Vargas Llosa** (*Conversations in the Cathedral*, 1970), and the Colombian **Gabriel García Márquez** (*One Hundred Years of Solitude*, 1967) gained international prominence. García Márquez (b. 1928), perhaps the most prominent Latin American author, used **magical realism** to retell some of the most tragic events in Colombian history, mixing fantasy with reality, making the two part of everyday life. García Márquez was awarded the Nobel Prize for literature in 1982.

9

In the postwar period, the Latin American film industry also grew significantly, but it was not until the 1960s that Latin American filmmakers emerged as major artists. **Cinema Novo** in Brazil produced a wealth of films exploring poverty in the region, focusing particularly on the *favelas* (urban slums) of Brazil's cities. During the 1960s the Cuban film industry, led by figures such as **Tomás Gutiérrez Alea** (*Memories of Underdevelopment*, 1968) launched a concerted assault against the dominance of Hollywood in the region. Elsewhere in Latin America, efforts at independent filmmaking have been frustrated by the lack of public and private funding.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## **b. [Regional Diplomacy](#)**

**1945, Feb**

Latin American and American leaders met in Mexico City for **the Chapultepec Conference** to discuss postwar cooperation. The U.S. indicated that European recovery had top priority and that, although it intended to protect its own producers, it wanted an open door for investment and trade in the region. The Latin Americans opposed the U.S. position. 1

**1947, Sept. 2**

**The Inter-American Mutual Assistance Treaty** was adopted by the Inter-American conference meeting at Rio. It provided for mutual assistance against aggression. 2

**1948, April 30**

**The Ninth Pan-American Conference**, at Bogotá, established the **Organization of American States (OAS)** as a regional grouping under the UN. The Inter-American Conference became the supreme authority of the OAS, and the Pan-American Union its secretariat. 3

**Dec. 13**

**The OAS charter went into effect** upon ratification by Colombia, the 14th state. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944, Jan 27](#))

## **2. South America, 1945–2000**

### **a. Argentina**

**1945, Oct. 9**

With the country polarized over Juan Perón's labor concessions and advocacy of the poor, <sup>1</sup> the military (supported by big business, the landed elites, as well as Socialists and Radicals) mounted a coup. **Perón was jailed.**

**Oct. 17**

**A rally** of more than a quarter of a million workers in Buenos Aires, supported by **the** <sup>2</sup> **General Confederation of Labor (CGT)**, forced the release of Perón. He then formed the **Labor Party** and vowed to run for president. During this time **EVA DUARTE DE PERÓN** (1919–52), Perón's wife, grew to national prominence for her activism and advocacy for the lower classes.

(See [1938–41](#))

## b. [Chile](#)

### 1946, Sept. 4

**Gabriel González Videla** was elected president by a leftist bloc to succeed **Don Juan A. Ríos** (1942–46). His cabinet included Socialists and Communists, who later dropped out as the regime moved to the Right. <sup>1</sup>

### 1947, Oct

**Communist-led strikes** brought the arrest of 200 Communists and a **break in diplomatic relations with the Soviet Union**. <sup>2</sup>

### 1948, Sept 2

**The Communist Party was outlawed**, but strikes and disorders continued. <sup>3</sup>

### 1949

Women were granted the vote. <sup>4</sup>

### March

**Parliamentary elections** gave the government coalition a majority. <sup>5</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1939, April 30–1940](#))

### c. [Paraguay](#)

#### 1946, July 26

**Gen. Higenio Morinigo** formed a two-party cabinet, thus ending a six-year dictatorship. <sup>1</sup>

#### 1947, March–Aug

**Civil war** between the government and left-wing forces under former president Rafael Franco ended with the latter's defeat. <sup>2</sup>

#### 1948–49

**The retirement of Pres. Morinigo** ushered in a procession of presidents: **Manuel Frutos** (June 6, 1948), **Natalicio González** (Aug. 5, 1948), **Raimundo Rolón** (Jan. 30, 1949), **Molás López** (Feb. 27, 1949), and **Federico Chávez** (Sept. 12, 1949). <sup>3</sup>

#### 1954, May 4

**A revolution led to the installation of a government junta headed by ALFREDO STROESSNER** (b. 1912). <sup>4</sup>

#### 1956

Stroessner introduced an **austerity program** in the style of the International Monetary Fund (IMF), driving down wages and provoking unrest. All opposition and the strikes that followed were repressed. 5

## 1961

Paraguayan women were granted the vote. 6

## 1963, Feb. 10

**Gen. Alfredo Stroessner**, president since 1955, met only token opposition in his bid for **reelection**. Stroessner, a champion of foreign interests, organized the political life of the nation around his **Colorado Party**; opposition meant possible torture, exile, and murder. 7

## Aug. 15

Stroessner was sworn in for a third term as president. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1942, Feb. 23](#))

### **d. [Uruguay](#)**

#### **1946, Nov. 24**

**Tomás Barreta** was elected president. He died on Aug. 2, 1947 and was succeeded by **V.P. Luiz B. Berres**, fellow Liberal Colorado. Pres. Berres promoted import substitution industrialization (with the help of U.S. loans), expanding the industrial workforce from about 50,000 to over 140,000. 1

#### **1950, Nov. 26**

**Andres Martínez Trueba** was elected president to succeed Berres. 2

#### **1952, March 1**

A **nine-man federal council** replaced the presidency, from which Trueba had resigned. The new system called for elections every four years. The two-party system, based largely on political clubs and patronage networks, continued to dominate politics. 3

#### **1955**

Beginning of an **economic downturn**. Landowners and business leaders criticized the inflated bureaucracy and economic controls; organized workers increasingly supported the Left. 4

## 1959, March 1

The defeated Colorados, after 93 uninterrupted years in office, handed over the executive to the **Nationalist (Blanco) Party**. The Blancos moved to support large landholders and the private sector in an IMF-approved plan. 5

## 1963, March 1

Blanco **Daniel Fernández Crespo** became president of the nine-man national council. The economy continued having serious problems, leading to massive capital flight. 6

## 1964

**Founding of the National Labor Convention (CNT)**, drawn from various trade union groups. 7

## 1966, Nov. 27

The election of **Gen. Oscar Diego Gestido** as president signified the resurgence of the conservative wing of the Colorado Party. Diego Gestido was inaugurated on March 1, 1967, at which time a constitutional amendment marked the abandonment of the council system and the return to the presidency. 8

## 1967, Nov

Devaluation of the currency. 9

## Dec. 6

Death of Pres. Gestido, who was succeeded by **V.P. Jorge Pacheco Areco**. The new administration took a hard line in the face of economic crisis. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, May 10](#))

## e. [Bolivia](#)

### 1946, July 21

Amid economic crisis caused by falling tin prices, **Pres. Gualberto Villarroel was killed<sup>1</sup> and his regime overthrown** by rebellious workers, soldiers, and students. The provisional government was recognized by Argentina and the U.S.

### Nov

Delegates to the fourth annual meeting of the **Union Federation of Mine Workers of Bolivia (FSTMB)** signed a Trotskyist declaration that proclaimed their desire for revolution through an alliance with the National Revolutionary Movement (MNR) and the peasants.<sup>2</sup>

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(See [1942, Jan. 24](#))

## f. [Peru](#)

### 1945, June 10

**José Luis Bustamente was elected president**, supported by Liberals and Apristas. 1

### 1948, Oct. 29

Pres. Bustamente's government was overthrown and replaced by a military junta under **Gen. Manuel Odría** (1897–1974). The APRA (American Popular Revolutionary Alliance) and the Communist Party were outlawed. 2

### 1950, July 2

Using a populist style reminiscent of Juan Perón of Argentina and running unopposed, **Gen. Odría was elected president**. 3

### 1951, Aug. 13

Peru asked the U.S., Argentina, Brazil, and Chile to investigate border incidents with Ecuador. Fighting had begun on Aug. 11 over the long-standing issue of access to certain Amazon tributaries. 4

## 1955

Peruvian women were granted the vote.

5

### 1956, June 17

**Manuel Prado Ugarteche was elected president** for a second term.

6

### 1958–62

As the land problem became more acute, members of Indian sierra communities organized and initiated land invasions on highland haciendas. In the region of **La Convención** valley, the seizures developed into a full-scale insurrection under **Hugo Blanco** before being brutally repressed.

7

### 1962, July 18

A military junta overthrew and imprisoned Pres. Prado. It also closed Congress and suspended constitutional guarantees. The U.S. suspended diplomatic relations and on July 19–20 halted all aid.

8

### Aug. 17

The U.S. resumed diplomatic relations with Peru.

9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1942, Jan. 29](#))

## **g. [Ecuador](#)**

### **1946, Aug. 11**

**PRES. JOSÉ VELASCO IBARRA** (1893–1979) was reelected by the assembly. <sup>1</sup>

### **1947, Aug. 23**

Col. Mancheno, in a successful revolt, ousted Pres. Velasco Ibarra, only to be overthrown <sup>2</sup> himself on Sept. 3 by a Conservative counterrevolution. **Carlos Arosemena** became acting president.

### **1948, June 6**

In the first popular elections since 1940, **Galo Plaza Lasso** was elected president. <sup>3</sup>

### **1949, Aug. 5**

**An earthquake** in central Ecuador killed more than 4,000 people. <sup>4</sup>

### **1952, June 1**

Voters gave the Liberal candidate, **Velasco Ibarra**, an upset victory over the Conservative candidate in the presidential vote. <sup>5</sup>

### 1961, Nov. 6–9

The government resigned as a result of riots and military unrest. **Carlos Arosemena** was installed as president. 6

### 1963, July 11–12

A military junta, headed by **Capt. Ramón Castro Jijón**, overthrew the government, outlawed the Communist Party, and promised to wipe out pro-Castro guerrilla bands. 7

### 1966, March 29

The military junta was overthrown and a civilian government established under **Clemente Yerovi Indaburu**. 8

### Oct. 16

A constituent assembly named **Otto Arosemena Gómez** as president pro tem. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Nov. 26](#))

## **[h. Colombia](#)**

### **1946, May 4**

Conservative leader **Mariano Ospina Pérez** became president. He organized the new **political police**, used by the Conservatives to terrorize and murder Liberals. <sup>1</sup>

### **1948, April 9**

**The assassination of left-wing Liberal JORGE ELIÉCER GAITÁN** (1903–48), who was expected to win the 1950 presidential elections, touched off a **major upheaval (known as the Bogatazo), interrupting the Ninth Pan-American Conference in Bogotá**. Thousands died in the insurrection, which saw widespread rioting in the cities, occupation of foreign-owned oil installations, and hacienda takeovers by peasants in the highlands. Elite Liberals and Conservatives, frightened by the violence, initially decided to join together in a group called the **National Union** to protect their interests. This alliance soon broke down, and in the ensuing months a reign of terror that would last until the 1960s (known as **LA VIOLENCIA**) was instituted against the Liberals and all other opposition groups. As many as 300,000 died in the violence. Terrorist actions by the political police were widespread. Clashes between peasants and landlords increased in frequency, and well-organized guerrilla movements emerged in the countryside in support of oppressed groups. As shown in the writings of **Gabriel García Márquez** (*One Hundred Years of Solitude*, 1967), La Violencia profoundly affected the tenor of Colombian political and social life. <sup>2</sup>

### **1949, June 5**

**Congressional elections** gave the Liberals a reduced majority.

3

**Nov. 27**

Following a violent campaign costing over 1,000 lives, the Conservative **Laureano Gómez** was elected president. The Liberals boycotted the election.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1937, Jan](#))

## **i. [Venezuela](#)**

### **1945**

Venezuela ranked third among the nations of the world in **petroleum production** when World War II commenced, but wealth remained concentrated in too few hands. A majority of the people remained impoverished, while a high birthrate caused a rapid rise in population. <sup>1</sup>

### **Oct. 18**

**Pres. Isaias Medina was overthrown** by a revolt of army officers, and **RÓMULO BETANCOURT** was made provisional president on Oct. 22. <sup>2</sup>

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(See [1943](#))

## j. [Brazil](#)

### 1945, Oct. 29

The general demand for a more liberal government led to the forced resignation of **Pres. <sup>1</sup> Getúlio Vargas** after almost 15 years of dictatorship. He was succeeded by **Chief Justice José Linhares**. Despite his resignation, Vargas retained a large popular following and easily won election as a senator.

### Dec. 2

With the endorsement of ex-president Vargas, conservative **Gen. Eurico Dutra** of the **Social Democratic Party (PSD)** was elected president. The new government pledged cooperation with the U.S. abroad and the elimination of “extremist ideologies” at home. <sup>2</sup>

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## **k. [Surinam](#)**

### **1975, May**

Riots by Hindustanis protested the impending independence from the Netherlands. 1  
Hindustanis, then the largest ethnic group in a population of 348,000, feared political dominance by proindependence black creoles. After the riots, a majority of the Hindustanis emigrated from Surinam.

### **Nov. 8**

**Surinam, under the leadership of Prime Minister Henk Arron, was granted independence.** 2  
Creole groups achieved a majority in Parliament, but the **constitution** (Nov. 21) guaranteed ethnic representation in the army. The Surinamese economy depended heavily on **bauxite exports**, which accounted for 92 percent of foreign exchange earnings.

(See [1941, Oct. 9](#))

### **3. Central America, 1945–2000**

#### **a. Panama**

**1945**

Panamanian women received the vote.

1

**1948, Feb. 15**

In response to widespread protests in Panama, **the U.S. announced the final withdrawal of troops from its wartime bases.**

2

**May 9**

Presidential elections produced a close and contested decision between former president **Arnulfo Arias** and the Liberal **Domingo Díaz Arosemena**. The latter finally won and on Oct. 1 succeeded Enrique Jiménez as president of Panama.

3



(See [Dec. 17–19](#))

## b. [Guatemala](#)

### 1945

**Guatemalan women gained the vote.** 1

### 1950, Nov. 10–12

**COL. JACOBO ARBENZ GUZMÁN** (1913–71), a consistent supporter of Arévalo's liberal program, **was elected president.** 2

### 1952, June 17

Pres. Arbenz signed a **land reform bill**. Arbenz reiterated his commitment to capitalism, but the reform was **supported by a variety of labor and left-wing organizations** active in the subsequently formed peasant leagues. Under the reform, **holdings of over 223 acres were to be expropriated** and given to the landless, paid for with 25-year bonds. 3

### 1953, Feb. 25

The United Fruit Company (UFCO) was told of a plan to expropriate 225,000 of its 550,000 acres in holdings, only 15 percent of which were under cultivation. **The UFCO immediately began a public relations campaign in the U.S. to portray Arbenz as a Communist.** 4

Oct. 14

The U.S. State Department declared that Guatemala, “**openly playing the Communist game,**” could expect no U.S. help or cooperation. **UFCO executives requested CIA help in overthrowing the Arbenz regime.** 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944, April 19](#))

### c. [El Salvador](#)

#### 1948, Dec. 14

**Pres. Salvador Castañeda was forced to resign.** A provisional government restored full constitutional liberties and called for free elections. <sup>1</sup>

#### 1950, March 26–28

In the first free elections since 1931, **Maj. Oscar Osorio was elected president.** Osorio introduced a constitution that allowed urban unions but banned rural organizing. <sup>2</sup>

#### 1956, Sept. 14

**Gen. José María Lemus became president.** <sup>3</sup>

#### 1961, Jan. 26

After a three-month junta was overthrown on Jan. 25, the new five-member **Military-Civilian Directorate** took control amid a rash of urban violence that left 96 dead. <sup>4</sup>

#### Feb. 15

U.S. president John F. Kennedy recognized the junta, which could then receive aid from <sup>5</sup>

the **Alliance for Progress**. Aid seemed crucial to dealing with the explosive social problems stemming from El Salvador's massive population growth and booming coffee industry. The population was 2.5 million by 1961. Along with the “**fifty families**” (the country's economic elite), the government sought to promote **foreign-sponsored light industry**. With the creation of the **Central American Common Market (CACM)**, Salvadoran officials saw a solution to social problems, but these enterprises **did little to alleviate population and unemployment pressures**. Meanwhile, mechanization increased in cotton, cattle, and coffee, driving peasants off the land.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944](#))

## d. [Nicaragua](#)

### 1947, Feb 2

**Leonardo Argüello** was elected president to succeed **Anastasio Somoza**. The new president was removed (May 27) when he showed signs of independence; in September, Somoza made **Victor Román Reyes** president. Under Reyes the new labor code went unenforced, and strikes were completely forbidden. 1

### 1950, March 25

Gen. Somoza resumed the presidency. During subsequent years the Somoza “**kleptocracy**” dominated the economy. The Somozas appeased elites by splitting profits from economic ventures and foreign aid with a small number of families. 2

### 1955

Nicaraguan women were given the vote. 3

### 1956, Sept. 29

**Pres. Somoza** died of gunshot wounds inflicted on Sept. 22. He was succeeded by his son **Luis**, elected to serve until May 1957, and then reelected for a six-year term. Luis, with the help of his brother **ANASTASIO SOMOZA DEBAYLE** (1925–80), known as Tachito, who controlled the National Guard, continued the graft and terror initiated by his 4

father. The cotton boom drew large capital investments, driving peasants off their land. Among the only sources of opposition allowed was the mildly critical paper *La Prensa*, published by conservative **Pedro Joaquín Chamorro**.

## 1961

**Carlos Fonseca, Silvio Mayorga, and Tomás Borge founded the FRENTE SANDINISTA DE LIBERACIÓN NACIONAL (FSLN)**, composed largely of students, which sought to overthrow the Somozas through guerrilla warfare. The **Sandinistas** were almost wiped out by the late 1960s. 5

## 1963, Feb. 3

**René Schick Gutiérrez**, the candidate selected by retiring president Somoza, defeated Diego Chamorro in the presidential election. 6

## 1966, Aug. 3

**Lorenzo Guerrero** was elected president. 7

## 1967, April 13

**Luis Somoza died**. His massive holdings reflected the **expansion of cattle ranches**, which bred cattle for U.S. markets. Peasants who had lost their land to cotton were now driven off by large-scale cattle ranching. Deforestation occurred, **60 percent of the peasants were left landless, and urban slums swelled**. 8

## Feb

Gen. Anastasio Somoza Debayle was elected president, prolonging the Somoza dynasty. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1936–40](#))

## e. [Costa Rica](#)

### 1944–48

**A National Republican-Vanguardia Alliance under Pres. Teodoro Picado ruled Costa Rica.** The “Calderonista” coalition government introduced social security, high income taxes, an eight-hour workday, and a social welfare system. <sup>1</sup>

### 1948, Feb. 8

**Otilio Ulate Blanco** of the National Union Party was elected president. When the government declared the election invalid because of irregularities, **JOSÉ (PEPE) FERRER FIGUERES's** (1906–90) anti-Communist **Army of National Liberation** openly revolted, with U.S. military and economic assistance. <sup>2</sup>

### April 17

The U.S. put its military forces in the Panama Canal zone on alert, allegedly prepared to rid Costa Rica of Communist influence in the government. In the aftermath, **the overpowered populist government negotiated a surrender** with Figueres's forces. <sup>3</sup>

### May 8



**Figueres headed a military junta** that embarked on a program of political and economic reforms. Although he had promoted rightist ideology during his opposition, much of Figueres's programs were clearly populist. **He dismantled the army, introduced new taxes, nationalized the banking system, and called a constituent assembly.** <sup>4</sup>

## Dec. 10

**Costa Rica was invaded from Nicaragua** by Costa Rican exiles. Charges of Nicaraguan complicity were examined by a commission of the Organization of American States and dismissed. <sup>5</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1939, Dec. 23](#))

## f. [Honduras](#)

### 1948, Oct. 10

**Pres. Tiburcio Carías**, after 15 years of dictatorship, supported the election of Nationalist candidate **Juan Manuel Gálvez**. 1

### 1954, April 30

In response to United Fruit's refusal to pay dock workers for overtime, **50,000 laborers under the leadership of banana workers launched a 69-day strike that paralyzed the nation**. They gained the right to unionize and wage concessions. However, strike leaders were arrested, and the banana companies began to mechanize, thereby laying off workers. 2

In the aftermath of the strike, the Honduran government signed a treaty with the U.S. that allowed for **U.S. military exercises on Honduran soil**. 3

### Dec. 5

Control of the country was taken over by **acting president Julio Lozano Díaz**. 4



(See [1942, May 22](#))

#### 4. [Mexico, 1946–2000](#)

##### 1946, July 7

**MIGUEL ALEMÁN** (1900–83) **WAS ELECTED PRESIDENT**. Even more conservative than Avila Camacho, he embarked on an extensive program to develop industry and infrastructure. **Foreign capital was welcomed, though under government control**. Alemán's presidency initiated a period of **rapid economic growth**. He used all government resources, including the military, to promote the economy and to suppress dissent. Relations with the U.S. were cordial, and the first exchange of presidential visits took place in 1947. 1

##### 1946–52

Using the power of the Mexican state, Alemán solidified the **monopolization of the political process by the PRI (Party of the Institutionalized Revolution)**. Amid rampant corruption, Alemán continued the tradition of lip service to the Revolution of 1910 while **supporting capital projects and working against labor and peasant groups**. Workers' movements were co-opted or crushed. Leftist union leaders were replaced with corrupt party loyalists, known as *charros*. The *ejido* (agrarian cooperative) program and rural education were ignored in favor of middle-class and upper-class interests. 2

##### 1947, Sept. 30

**A final settlement** was made by the Mexican government for the **1938 expropriation of U.S. oil properties**. 3

## 1952, July 6

The PRI candidate, **Adolfo Ruiz Cortines, was elected president.** Distancing himself from the Alemán regime's corruption, Ruiz Cortines **ordered all public officials to publicize their finances** and fired a number of notoriously corrupt officials. Otherwise, he continued Alemán's policy of encouraging foreign investment and capital-driven growth. 4

## 1953

Thirty-six years after the constitution declared universal male suffrage, **Mexican women received the vote.** 5

**Rubén Jaramillo**, veteran Zapatista, member of the Communist Party, and ordained minister, **rose in armed revolt** against the government. His combination of Marxism and Christianity eventually became a powerful social force. 6

## 1958

The national population reached 32 million, having doubled in the previous 25 years. Mexico's cities were also growing at 5 to 10 percent per year, with the population of Mexico City reaching 4.5 million. 7

## July 6

**Adolfo López Mateos**, candidate for the PRI and minister of labor and social security, **was elected president.** 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [1944, May 31](#))

### a. [Cuba](#)

#### 1948, June 1

In an economy prospering from high sugar prices, **Carlos Prío Socorras** was elected president. Prío was a member of Grau San Martín's Auténtico Party and an anti-Communist. <sup>1</sup>

#### 1952, March 10

With elections approaching and victory for the opposition likely, **Gen. Fulgencio Batista** overthrew **Prío Socorras** and assumed power. During the next seven years, Batista allowed U.S. influence to pervade the entire Cuban economy, including public utilities, petroleum, sugar, and tourism. Famous for its African-Cuban music and freewheeling nightlife, Havana became the tourism capital of the Americas. <sup>2</sup>

#### 1953, July 26

**FIDEL CASTRO RUZ** (b. 1926), a student activist, led an abortive **attack on the Moncada garrison in Santiago**. Castro's eloquent defense of his actions at his trial brought him national prestige. He was imprisoned but allowed to go into exile in Mexico in 1955. <sup>3</sup>

#### 1954, Oct. 30

On the eve of presidential elections, Gen. Batista's only rival for the presidency, Ramón Grau San Martín, withdrew, charging that the election was rigged. 4

### 1956, Nov. 24

Castro and 81 followers, including his brother **Raúl** and **ERNESTO “CHE” GUEVARA**, sailed for Cuba from Mexico to renew the struggle. After a difficult landing, Castro and a handful of survivors barely made it to the Sierra Maestra in Oriente. 5

### 1957, May 20

**Castro appealed to the U.S. to stop sending arms to Batista.** He led many raids in Oriente Province, gaining sympathy from peasants. Guerrilla actions and strikes had paralyzed the region's economy by the end of 1957. Repression only generated more support for his **26th of July Movement**. 6

### 1958, March 17

**Castro issued a manifesto calling for “total war”** against the Batista regime. 7

### April

Castro's call for a general strike failed, largely because of the lukewarm support of the Communist Popular Socialist Party (PSP) for Castro. After the strike, Communist leader **Carlos Rafael Rodríguez** went to Oriente to try to repair relations with Castro. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1941–46](#))

## **[b. Puerto Rico](#)**

### **1948, Nov. 2**

Popular Party candidate **Luis Muñoz Marín** (1898–1980) became the first elected governor of Puerto Rico. He would win repeated elections until he left power in 1964. Muñoz Marín oversaw **OPERATION BOOTSTRAP**, begun in 1948, which was designed to industrialize and urbanize the island by utilizing low wages and tax concessions to promote investment. For the next 20 years, the economy boomed. Operation Bootstrap promoted out-migration to the mainland (particularly New York) to provide labor for U.S. industry. After 1945, over a million Puerto Ricans, including many women, immigrated to the U.S. 1

### **1950, July 3**

An act of the U.S. Congress permitted Puerto Rico to draft its own constitution. 2

### **Nov. 1**

**The attempt on U.S. president Harry Truman's life** by two Puerto Ricans led to the arrest of large numbers of Communists and nationalists on the island. Support for the nationalists dwindled. 3



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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1941, Dec. 8](#))

### c. [The Dominican Republic](#)

#### 1947, May 16

**Rafael Leonidas Trujillo**, who had controlled the country since 1930, was reelected as president. His reign of corruption and terror, which included seven different intelligence agencies and required all citizens to carry passes, continued unabated. <sup>1</sup>

#### 1947–50

The Dominican Republic **accused its neighbors, notably Cuba and Guatemala, of abetting subversive activities** directed against Trujillo. The OAS council considered the matter and condemned the Dominican Republic, as well as Cuba and Guatemala, for engaging in conspiracies and attempted invasions. <sup>2</sup>

#### 1952

**A bilateral agreement with Haiti** was signed, providing 20,000 Haitian laborers per year for work on state-owned Dominican sugar estates. Because of the U.S. market, **Dominican sugar was booming** at this time, but workers were forced to live in slavelike conditions. <sup>3</sup>

#### 1960, Feb

Weary of the brutal Trujillo regime and preparing for the Bay of Pigs invasion, **U.S. president Dwight D. Eisenhower approved Central Intelligence Agency (CIA) plans to start aiding opponents of the regime.**

4

### Aug. 3

Trujillo supporter **V.P. Joaquín Balaguer** (b. 1907) was sworn in as president, succeeding Hector Trujillo Molina, who resigned on Aug. 2. **Popular unrest continued,** and the OAS maintained sanctions in August and September.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1937, Oct](#))

### **d. [Haiti](#)**

#### **1946, Jan. 11**

A military group under **Col. Paul Magliore** ousted Pres. Elie Lescot, took over the government, and installed **Dumarsais Estimé as president**. Estimé replaced mulatto civil servants with blacks and initiated reforms for urban and rural workers.

*1*

#### **1948, Feb. 11**

Pres. Estimé was overthrown by a military junta under Col. Paul Magliore.

*2*

#### **1950**

Electoral suffrage was extended to women.

*3*

#### **1956, Dec. 12**

His regime weakened by a general strike, Magliore gave up the presidency.

*4*

#### **1957, Feb. 7**

The legislature elected **Franck Sylvain** as provisional president.

*5*

## April 2

Accused of trying to fix upcoming elections, provisional president Sylvain resigned, and a provisional executive council took over. 6

## May 26

Following a flare-up of civil war between the executive council and the forces of army Chief of Staff León Cantave, **Daniel Fignolé** took over as provisional president. 7

## June 14

The army, led by Brig. Gen. Antonio Kebreau, ousted provisional president Fignolé and proclaimed a **state of emergency**. 8

## Sept. 22

The presidential election resulted in victory for **FRANÇOIS DUVALIER** (1907–71). 9

## Oct. 22

Amid a crisis with the U.S. over the fatal beating of an American by police, **Duvalier became president**, and the military junta resigned. Duvalier, known as “**Papa Doc**,” would rule the country until his death in 1971. He mixed mystic populist symbols, such as vodun (voodoo), with brutal repression. Duvalier expelled all mulattos from the civil service and made the army and police responsible only to him. To secure control he created the **Tonton Macoutes**, the most feared repressive arm of his regime. His “**kleptocracy**” enriched a small number of favorites while it impoverished the rest of the nation. Human rights were ignored, but at the same time Duvalier tried to maintain relations with the U.S. in order to ensure continued aid. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

e. **British Caribbean Territories and Guyana (British Guiana)**

**1953, Oct. 6**

Britain dispatched troops and warships to Guiana to handle a suspected attempt to set up a Communist regime there. <sup>1</sup>

**1956, Feb. 23**

Delegates from **Jamaica, Trinidad, Tobago, Barbados, the Windward Islands, and the Leeward Islands** came to a preliminary agreement for a Caribbean federation. <sup>2</sup>

**1957, Aug. 12**

**Cheddi Jagan's** (b. 1918) left-wing party won 9 of the 14 elective seats in the Guiana legislative council. On Aug. 16, Gov. Patrick Renison invited Jagan to participate in, but not to form, a new cabinet. <sup>3</sup>

**1958, Jan. 3**

**The Federation of the West Indies came into being.** The 77,000-square-mile federation, with a population of 3 million, was composed of ten units: Trinidad, Tobago, Jamaica, Barbados, St. Lucia, St. Vincent, Grenada, Montserrat, St. Kitts-Nevis-Anguilla, Dominica, and Antigua. <sup>4</sup>

**1960, March 31**

The British colonial office announced that if a new constitution was accepted for British Guiana, it would go into effect in Aug. 1961. Two years after the general election, full independence would be considered. 5

### Aug. 21

The People's Progressive Party in Guiana, headed by Cheddi Jagan, won 20 of the 35 seats in the legislative council. 6

### Sept. 19

Jamaica voted to withdraw from the West Indies Federation. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Overview](#))

## **E. The Middle East and North Africa, 1945–2000**

### **1. Overview**

The postwar period saw the **end of foreign rule and the achievement of independence** <sup>1</sup> by all countries in the region. The old colonial masters, Britain and France, lost their position of dominance, to be replaced by **the U.S. and the USSR**, whose competition for allies and resources embroiled the area in the **cold war**. From the 1970s, and especially after the dissolution of the Soviet Union, the **U.S. emerged as the supreme foreign power**.

Much **domestic turbulence** accompanied independence. Military coups in the Arab world during the 1950s and 1960s **brought down the old ruling elites** based on great landowners and installed **new regimes** in which military officers and senior bureaucrats predominated. The new political order embraced **radical ideologies**, notably **pan-Arabism and socialism**, and implemented populist programs such as **land reform**. By the 1970s these ideologies had lost their appeal, giving way to a certain **economic liberalization** as well as pragmatism in foreign policy. There was, however, **no democratization of the region's regimes**, most of which developed into **highly authoritarian structures** intolerant of opposition. <sup>2</sup>

A number of **major wars**, both within and between states, shook the region, causing immense loss of life and treasure. The **Arab-Israeli conflict** emerged as a seemingly permanent condition after 1948, when the Arab states and the Palestinians vowed to destroy the newly created state of Israel and put an **Arab Palestinian state** in its place. After four bloody wars failed to dislodge the Israelis (who actually gained territory), fatigue and realism prompted **three historic breakthroughs: the Egyptian-Israeli peace treaty (1979), the Israeli-Palestinian Declaration of Principles (1993), and the Jordanian-Israeli peace treaty (1994)**. <sup>3</sup>

Several other major conflicts convulsed the region during this period: **the Algerian War for independence (1954–62), the civil war in North Yemen (1962–70), the Turkish invasion of Cyprus (1974), the civil war in Lebanon (beginning in 1975), Morocco's long war in the Western Sahara (beginning in 1976), the Soviet invasion of** <sup>4</sup>

**Afghanistan** (1979), the long **Iran-Iraq War** (1980–88), and **the Iraqi invasion of Kuwait** (1990). Other conflicts involved **separatists**, the most notable of whom were **Kurdish nationalists**, who staged revolts throughout the postwar period against regimes in Iraq, Iran, and Turkey.

Alongside this turmoil, the Middle East experienced **rapid demographic and economic growth**. The region's population grew at an astonishing rate, accelerating from about 2 percent per year (1945–60) to almost 3 percent per year (1960–93). The total population rose from about 101 million in 1945 (61 million in the Middle East and 20 million in North Africa) to about 314 million (255 million and 59 million, respectively). The proportion of urban people climbed from one-quarter to about one-half, the product of **massive rural-urban migration**, primarily to the capital cities. This **population explosion** undermined development plans and prompted the first family-planning programs. 5

From the 1950s onward, the region was swept up in an **economic boom**. The standard of living improved everywhere. The economy was becoming **more diversified and less dependent on agriculture**. Though agricultural production expanded, it represented a diminishing share of total output. **Industry made considerable advances despite only a modest level of development** by world standards. Most states took an active (sometimes exclusive) role in directing their national economies. Their **bureaucracies and public sectors swelled** to unprecedented dimensions, especially as a high proportion of their budgets went into the military and internal security forces, which expanded tremendously. 6

The region's **oil industry** gained world importance, and especially when oil prices soared in the 1970s, **an immense amount of wealth flowed into the oil states** from the West. **The oil boom** set in motion several regional trends: large-scale **investment** in development schemes; a **massive migration** of workers to the oil states; a growing gap between rich and poor countries; increasing dependence of the oil states on the West for goods, expertise, and investment opportunities; and economic liberalization in the poorer states as a way of sharing in the boom. 7

**The position of women** changed with the great socioeconomic transformations of the period. Women entered the educational system and the workforce in unprecedented numbers. Several countries passed laws to reduce social inequalities and to provide women with a greater measure of security within the family. The feminist cause gained some ground, although conservative elements insisted on keeping women in more traditional social roles. 8

The cultural scene was also transformed, especially by **the expansion of education and the spread of the mass media**. The number of schools and students increased dramatically at all levels, and **illiteracy rates declined** (from about 75 percent to 40 percent). **Radio and then television** became commonplace and, together with the cinema, formed the prime sources of popular entertainment as well as exposure to the 9

wider world. The output of novels and poetry increased, and two regional writers, S. Y. Agnon of Israel and Najib Mahfuz of Egypt, won Nobel Prizes for their literary accomplishments.

A remarkable phenomenon amid these changes was the **emergence of militant Islamic opposition movements** throughout the region. The programs of the various **“fundamentalist”** groups differed in methods and demands, but all shared a **rejection of secular government and the desire to impose an Islamic identity** on state and society. Although only in Iran was a government overthrown by Muslim opposition, movements everywhere **won wide appeal among the disaffected**. Their clashes with the authorities, often violent, intensified a long-standing, **bitter debate** over the nature and future of Muslim societies. The rise of fundamentalism also triggered bitter **cultural disputes** among intellectuals in countries such as Egypt between the fundamentalists and the defenders of more pluralist traditions and secular outlooks. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## 2. Military, Diplomatic, and Social Developments

### 1945–90

**Steep rise in average life expectancy** throughout the region, from about 35 years to nearly 60 years. Most of these gains came from a **reduction in mortality rates**, which declined as people improved their diets, acquired better medical care, raised their standard of living, and became more educated. <sup>1</sup>

### 1945–70

**Emigration** of approximately **1 million North Africans** (almost entirely from Morocco, Algeria, and Tunisia) to France. Most worked in semiskilled or unskilled occupations such as construction, mining, and the service sector. <sup>2</sup>

### 1945, March 22

Proclamation of the covenant of the **ARAB LEAGUE** (Egypt, Iraq, Jordan, Lebanon, Saudi Arabia, Syria, and Yemen). The league soon founded committees to oppose Israel and to support North African independence movements. It added North African states, including Sudan, in the 1950s and 1960s. <sup>3</sup>

### 1947–49

**The uprooting of 700,000 Palestinians** (of a prewar population of 1.3 million) from the territory that became the state of Israel. All Arabs who fled during the war of 1948 were later **barred by Israeli authorities from returning to their homes**. The refugees eventually settled in Jordan (400,000, mainly in the West Bank), the Gaza Strip (150,000), and Syria and Lebanon (150,000). The other 600,000 Palestinians who did <sup>4</sup>

not relocate were distributed among Israel (150,000), the Gaza Strip (50,000), and the West Bank (400,000).

### 1947, March 12

Announcement of **the Truman Doctrine** by the U.S., which pledged to provide **economic and military assistance** to Greece and Turkey to help these countries resist Soviet pressures and encroachments. The **U.S. thereby replaced Britain**, which was facing financial difficulties, as the chief source of foreign aid to these countries. 5

### 1948, May 15

**ARAB ATTACK ON ISRAEL**, which had proclaimed its independence on the previous day. **Five Arab armies** engaged Israeli forces: Egyptian troops (about 10,000) from the south moved into the Negev desert, the Arab Legion of Transjordan (about 4,500) into the West Bank, Iraqis (about 3,000) alongside the Arab Legion, and token forces from Syria and Lebanon into the north. The **Israelis had an estimated strength of 62,500**: the Hagana at 55,000, the Palmach (regular troops) at 3,000, and the Irgun at around 4,000. 6

Of the Arab armies, only the **Arab Legion**, which **captured the West Bank and eastern Jerusalem**, achieved any significant successes. The Syrians turned away after inconsequential border skirmishes. The Egyptians performed badly and held on to only the Gaza Strip. **Israeli troops overall were more disciplined and better supplied** and, unlike the Arabs, had the additional advantage of fighting under a unified command. The combat was fierce, and casualty rates were high. Israeli forces suffered over 6,000 dead. The Arabs lost over 2,000 men from the regular armies, together with an unknown number of Palestinian irregulars. 7

By the end of the war, **Israel held 80 percent of the territory from the original Palestine mandate**. In contrast to international wishes expressed in the UN plan of 1947, no Arab Palestinian state had come into existence. All land not held by Israel was either in the possession of Jordan (the West Bank) or under Egyptian administration (the Gaza Strip). Hostilities came to an end through a **series of armistices**, which disengaged the combatants without terminating the technical state of war between them. Israel first concluded a **cease-fire with Egypt** (Feb. 24, 1949), then with **Lebanon** (March 23, 1949), **Jordan** (April 3, 1949), and **Syria** (July 20, 1949). Yet the peace was fragile. Incidents along the borders were frequent, mainly caused by the activities of **Palestinian guerrillas**, who received encouragement from the Arab countries that hosted them. Even the most explicit terms of the armistices were not always observed. The most flagrant 8

case was the **Jordanian refusal to admit Israelis into east Jerusalem** for visits to the Jewish holy places.

## Sept

Creation by the Arab League of the **Government of All Palestine, based in Gaza**. It was set up ostensibly to govern the Palestinian territory still under Arab control. In reality, its chief purpose was to thwart the Jordanian absorption of the West Bank, occupied by the Arab Legion. 9

## Sept. 17

**Assassination of UN mediator Count Folke Bernadotte** by Zionist terrorists. 10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944](#))

### **3. The Middle East and Egypt, 1943–2000**

#### **a. Turkey**

**1945, May 19**

**Pres. Ismet İnönü** announced the switch to a **multiparty state** and relaxed the restrictions on party formation. Between 1946 and 1950, 27 new political parties came into being. Only two of them had any real significance: **the Democratic Party** (1946) and **the Nation Party** (1948). 1

**June 11**

**Land reform** measures. The state began to parcel out unowned land and unused state and community land to peasants. In addition, the new laws called for the **expropriation** of all private holdings over 500 donums (123.5 hectares), though the **ceiling** was raised to 5,000 donums in 1950. By 1960, the program had dispensed some 1.7 million hectares of arable land and 1.5 million of pasture land to 360,000 families. Despite the effort to redistribute land, the position of the **great landowners** remained strong. Even in 1960, only 15 percent of all landowners still owned about half the land. **Great estates** were most common in **eastern Anatolia**. 2





## **b. [Cyprus](#)**

### **1945**

Agitation among Greek Cypriots for **Enosis**, union with Greece. The ethnic Turks on the island, who constituted about 20 percent of the population, adamantly opposed it. 1

### **1946, Aug**

Cyprus began to play an important role as a way station for Jews immigrating to Palestine. 2

### **1948, May**

British submission of the **Winster Constitution**, which granted greater autonomy to Cyprus. It was **rejected** outright by the Greek Cypriot community under the leadership of the Greek Orthodox Church. 3

### **1950, Jan. 15**

Greek Orthodox officials conducted a **referendum** on Cyprus's future in which 95.7 percent of the Greek Cypriot electorate **voted for Enosis**. The Greek government made the absorption of Cyprus an official national policy (Feb. 11, 1951). 4

### **Oct. 18**

Election of Michael Mouskos, bishop of Citium, as **Archbishop MAKARIOS III**. He 5

quickly became the central figure in the struggle for Cypriot independence. After his election as **the first president of Cyprus** (1961), he pursued pragmatic policies that aimed to preserve the binational character of the Cypriot state and peaceful relations among the island's communities.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1942, Jan 29](#))

### c. [Iran](#)

#### 1945

**Founding of the Fada'iyān-i Islam by Navvab Safavi.** It became the first religious organization to advocate the creation of an **Islamic state**. The movement involved itself in **political violence**, including the assassinations of writer **Ahmad Kasravi** (1946) and the shah's minister of court, **Abd al-Husayn Hazhir** (1949). It gradually faded from the scene in the 1950s, especially after the arrest and execution of Safavi (1956). <sup>1</sup>

#### Oct

Outbreak of a **revolt in Azerbaijan**. The insurrection was organized by the **Democratic Party of Azerbaijan**, founded in Sept. 1945 and led by **Ja`far Pishavari**, who became prime minister in Dec. <sup>2</sup>

The Azeri government proposed **radical reforms**, including land and labor reforms, and made **Azeri** the official language of government and education. The young regime rapidly collapsed after the return of Iranian troops to Azerbaijan (Dec. 1946). <sup>3</sup>

(See [1933, Nov. 8](#))

## d. [Afghanistan](#)

### 1946

Official opening of the **University of Kabul**. The various schools associated with it were not grouped into a single campus until 1964. <sup>1</sup>

### May

**Resignation of Prime Minister Hashim Khan**, who was succeeded by his brother, **Mahmud Shah Khan**. <sup>2</sup>

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(See [1945, Feb](#))

## e. [Syria](#)

### 1945, May

**Fighting between French and Syrian forces.** The French demanded a treaty giving them autonomy within Syria and guaranteeing their economic and military interests. They further announced that they would not withdraw their troops until the Syrians agreed to these terms. **Anti-French demonstrations** immediately broke out, and Syrian police skirmished with French units. The French backed down and dropped their demands after the diplomatic intercession of Britain. <sup>1</sup>

### 1946

**Death of Shakib Arslan**, one of the most prominent Syrian political activists during the Mandate. Permanently at odds with French authorities, he spent most of his political career as an exile in Europe. He was the ultimate **representative of the older generation** of Syrian politicians who received their education in Ottoman schools and remained nostalgic for the Ottoman Empire. Apart from his anti-French activities, he was best known as an ardent spokesman for the pan-Islamic political movement. <sup>2</sup>

Official formation of the **BA`TH PARTY**, whose program espoused **Arab unity and socialism**. The leading figures in the early years were **Michel Aflaq and Salah al-Din al-Bitar**. By the mid-1950s the party had become a major contender on the political scene. <sup>3</sup>

### Aug

**SYRIAN INDEPENDENCE** and the withdrawal of all Allied troops.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, May 17](#))

## f. [Lebanon](#)

### 1943–64

**MINISTERIAL INSTABILITY.** Thirty-five cabinets held power during this span of only 21 years. 1

### 1946, March 10

**INDEPENDENCE** was proclaimed, and the last French troops departed from Lebanese soil. 2

### 1948, May 27

Reelection of **Bishara al-Khuri** as president. 3

### 1949

Execution of **Antun al-Sa'ada**, the Greek Orthodox radical, for fomenting a rebellion to overthrow the Lebanese state. 4

**Formation of the Progressive Socialist Party** by **KAMAL JANBULAT**, a Druze chieftain. The party espoused leftist ideology, but functioned essentially as a **Druze organization**. 5

## 1952, Sept. 23

Election of **KAMIL SHAM'UN (Camille Chamoun)** as president. He replaced outgoing president **Khuri**, who resigned (Sept. 18) in the face of a general strike.

6

## 1953

**Women won the right to vote.** Lebanon became the first Arab country to grant women this privilege.

7

## 1958, July 15–19

**LANDING OF U.S. MARINES.** The **National Front**, a broad antigovernment coalition that wished to unseat Pres. Sham'un, fared badly in earlier **parliamentary elections**. Frustrated at the polls, they resorted to **street violence and strikes**. The **Lebanese Army**, under the command of **FU'AD SHIHAB**, refused to intercede. Sham'un thereupon turned to the U.S. for help. The **American government** immediately dispatched 10,000 marines as an application of the so-called **Eisenhower Doctrine**. The crisis was defused by the selection (July 31) of **Shihab** as the new president. **Rashid Karami**, a Sunni Muslim leader of the National Front, was installed as prime minister. No changes were made in the sectarian structure of the national political system.

8

## 1964, Aug. 18

Election of **Charles Hilu** as president.

9

## 1969, Nov

**THE CAIRO AGREEMENT.** After meeting with **PLO officials** in Cairo, the **Lebanese government** pledged not to harass Palestinian guerrillas operating out of southern Lebanon. In return, the Palestinians were to keep out of Lebanese affairs. The settlement was an **uneasy compromise** between Christian politicians, who wanted strict controls on the Palestinians, and Muslim representatives, who fully backed the guerrilla activities. The problem became even more acute with the influx of additional **Palestinian refugees** after the Jordanian expulsion of the PLO (Sept. 1970). The number

10



of Palestinians living in Lebanon at this time stood roughly at 300,000.

### 1970, Aug. 17

Election of **Sulayman Faranjiyya** as president.

11

### 1972, July 8

Assassination in Beirut of **Ghassan Kanafani**, renowned Palestinian author and journalist, and leader of the Popular Front for the Liberation of Palestine.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1942, May](#))

## **g. Palestine and Israel**

### **1946, May 1**

Report of the **Anglo-American Commission**. The committee called for the admission of 100,000 Jewish refugees and the creation of a single Arab-Jewish state under the trusteeship of the UN. <sup>1</sup>

### **July 22**

**Zionist terrorists blew up the King David Hotel** in Jerusalem, which housed British headquarters. <sup>2</sup>

### **Oct. 4**

U.S. president Harry S. Truman announced **American support for the partition of Palestine**. The American position doomed all attempts to construct a binational state. <sup>3</sup>

(See [1931–32](#))

## **[h. Jordan](#)**

### **1946, March 22**

**A treaty between Britain and Transjordan** ensured the continued dependence of Transjordan on Britain. The terms of the pact guaranteed **British command of the Arab Legion** and the maintenance of **bases for British forces**. In return, the British agreed to pay **financial subsidies** to the Transjordanian government. <sup>1</sup>

### **May 25**

Proclamation of the kingdom of Transjordan. It was renamed **THE HASHEMITE KINGDOM OF JORDAN** on June 2, 1949. <sup>2</sup>

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(See [June 1–2](#))

## **i. [Iraq](#)**

### **1945–46**

An attempt at **political liberalization**. The government tolerated the **formation of opposition parties**, the most notable of which were **the Istiqlal Party and the National Democratic Party**. Both parties were left-wing organizations whose constituencies, confined to urban and educated classes, left them with a narrow base of support. Labor unrest and, above all, the wariness and insecurity of the political establishment led ultimately to the **failure of the liberalization policy**. <sup>1</sup>

### **1948, Jan**

**Widespread popular demonstrations**, known as the *wathba* (uprising). The protests were sparked by the announcement of **the Portsmouth Treaty** with Britain (Jan. 15), a renegotiated version of the 1930 treaty. **The British agreed to remove their troops** from Iraq and **gave up** sovereignty over their **two air bases** in Iraq, but they still retained a voice in Iraqi military planning and remained as the sole supplier of training and equipment to the Iraqi army. Together with Britain's role in the escalating Palestine crisis, **the treaty roused nationalist opposition** in Iraq and failed to win popular approval. The political crisis was compounded by **economic difficulties** in the wake of a bad harvest, bread shortages, and accelerating inflation. In the end, the cabinet fell, and **the treaty was never ratified**. <sup>2</sup>

### **1949**

Failure of negotiations to unify Iraq and Syria. The attempt was largely inspired by the ambitions of the regent, Abd al-Ilah. An attempt to revive the project in 1953 came to nothing. 3

## 1950

Establishment of the **Development Board**, made possible by the recent increase in oil revenues. Most projects were devoted to **agricultural improvements**. Communications and transportation were of secondary priority, and industry received the least amount of funding. 4

## 1950–52

New agreements with the **Iraq Petroleum Company**. The first (1950) substantially raised Iraqi royalties, and the second (1952) gave Iraq half the profits. 5

## 1951

**Flight of nearly the entire Jewish community** (over 130,000) **to Israel**. The emigrés were forced to leave their assets behind (estimated at over \$150 million). 6

## 1952

**Formation of THE BA`TH PARTY**, which was committed to the cause of **pan-Arabism**. Before 1958 the party attracted only a handful of political activists. 7

## Nov. 23

Appointment of a **military government** and the outlawing of all political parties. A series of strikes and riots earlier in the year had led to the breakdown of order. The military regime organized **new elections** and stepped down on Jan. 22, 1953. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944](#))

## **j. [Saudi Arabia](#)**

### **1953, Nov. 9**

**Death of ABD AL-AZIZ IBN SA`UD.** His oldest son, **Sa`ud**, ascended the throne. 1

Creation of a full-fledged **cabinet**. Before World War II, there had been only two 2  
government ministers, one for foreign affairs and the other for finance. Posts for defense  
(1944) and the interior (1952) later appeared, and in 1953 the number of ministers was  
expanded to ten. Princes from the **royal family** assumed nearly all the positions,  
confirming **Saudi dominance** over the central government.

### **1958–64**

**STRUGGLE FOR POWER between KING SA`UD and his brother, FAYSAL.** The 3  
latter held effective power for most of this period (1958–60 and 1962–64) as the prime  
minister. The rivalry centered on the **future direction of the Saudi government**. Sa`ud  
believed that a loose confederation of tribes, as in the past, was the best system. Faysal,  
on the other hand, argued that the Saudi government had to be radically reorganized into  
a modern state, which would be better able to manage the economy and society in an era  
of abundant oil wealth.

### **1964–86**

**Expansion of the armed forces.** The army grew from 12,000 to 40,000 and was complemented by the National Guard, primarily recruited from among tribesmen and standing at around 23,000 in 1982. The government also built a highly trained **air force** whose membership reached 14,000.

4

## 1964–89

**Expansion of the educational system.** The total number of students increased from a little over 200,000 to about 2.2 million.

5

## 1964, Nov

**ABDICATION OF SA`UD.** After a palace revolution, his brother, **FAYSAL**, became the new Saudi king. Faysal embarked on policies that transformed the Saudi government into a **modern state**. One of the peculiar features of the Saudi state was the overwhelming presence of the **Saudi royal family**, which numbered some 20,000 individuals by the 1980s. Saudi princes and their relatives filled the central and provincial governments, the upper echelons of the bureaucracy, and the armed forces.

6

## 1975, March 25

**ASSASSINATION OF KING FAYSAL** by his nephew. He was succeeded by his half brother **KHALID IBN ABD AL-AZIZ**.

7

## 1979, Nov. 20

**Occupation of the Great Mosque in Mecca** by religious militants and Utayba tribesmen. The protesters wanted an Islamic state on the Iranian model and objected to the loose and ostentatious lifestyle of the royal family. **Rioting** broke out concurrently in the Province of **Hasa**, which held a large portion of Saudi oil reserves and a substantial population of Shi'ites. These disturbances were quelled with little violence. In Mecca, **security forces** besieged the Great Mosque for over two weeks before the surviving insurgents finally surrendered (Dec. 5).

8

## 1982



Death of King Khalid, who was succeeded by his half brother **FAHD**.

9

### 1987, July 30

Death in Mecca of over 400 Muslim pilgrims, most of them Iranian. The pilgrims lost their lives in political demonstrations that degenerated into violent clashes with Saudi security forces.

10

### 1989, Dec. 23

**An agreement between Saudi Arabia and Oman** formally fixed the border between the two countries. The settlement followed armed clashes along the border in October.

11

### 1993, Aug. 20

A royal decree established a **consultative council**, the first legislative institution in the history of the Saudi kingdom. The 60-seat council, whose members were appointed by the king, was granted no real power and could not pass legislation.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1944](#))

## k. [North and South Yemen](#)

### 1948

**ASSASSINATION OF THE IMAM YAHYA** in North Yemen, as part of an attempted <sup>1</sup> coup. The insurgents failed to seize power after about a month of fighting. Afterward, the shaken government, led by Yahya's son **AHMAD**, promulgated a **constitution**.

### 1950

Founding of the **Aden Association**. The leaders of this movement called for a transition <sup>2</sup> to self-government within the **Aden Colony**. The leadership was drawn mainly from the prosperous merchant class of the port of Aden, which was flourishing because of greatly increased commercial traffic.

### 1952

Founding of the **South Arabian League**, consisting of notables from South Yemen who <sup>3</sup> desired a greater measure of autonomy from the British.

### 1955

**Attempted coup** in North Yemen. A **coalition of opposition factions** drawn from sections of the military, the sayyids (descendants of the prophet Muhammad), and radical dissidents tried to take power. Their defeat was largely a result of a **military alliance** between the tribes and the imam. 4

## 1956

Creation of the **Aden Trades Union Congress**. This organization had its roots among the middle and working classes of the colony of Aden. Its program demanded the independence of South Yemen and its unification with North Yemen. 5

## 1959

Introduction of a **legislative council** in Aden. Membership was dominated by the great merchant families. 6

Creation of an **11-state federation of local tribal rulers** in the western portion of South Yemen. Aden itself joined the union (1962), which was named the Protectorate of Southern Arabia. 7

## 1959–60

**Suppression of tribal rebellion** among northern tribes in North Yemen. Several leaders were executed, permanently antagonizing the vanquished tribes. 8

## 1962

Appearance in South Yemen of the **People's Socialist Party**, which drew its strength from trade union activism. In 1965, this party lost its leading role among workers to the **Organization for the Liberation of the Occupied South**. 9

## Sept

**CIVIL WAR and the end of the Imamate.** Imam Ahmad died (Sept. 18), and several days later (Sept. 26) a **MILITARY COUP** took place. The leaders, who had belonged to the **Free Officers' Association**, overthrew Ahmad's successor, **Imam Muhammad al-Badr**, and announced the establishment of a republic. 10

**The civil war** was fought by **two main factions**, both of which received outside assistance. The **republican side** consisted primarily of army officers, intellectuals, townsmen, and the majority of the Shafi'i population. Arrayed against them were the **royalists**: the Hamid al-Din family under Imam Muhammad al-Badr, a large number of sayyids, and most of the Zaydi tribes. Royalist forces were able to rely on large amounts of **Saudi financial assistance** and the expertise of **military advisers sent from Jordan**. The republicans countered with **Egyptian troops**, which first arrived in Nov. 1964 (later peaking at 60,000). The war lasted over six years during which the royalists held the advantage, particularly after the **Egyptian withdrawal** (completed in Dec. 1967). But the tide turned at the very end when San'a, the capital, survived a protracted siege (1968) from royalist tribes. The republican government then negotiated a **settlement** with tribal leaders (1970). 11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1944](#))

## 1. [The Gulf States](#)

### 1946

Beginning of **oil exports from Kuwait**. **Qatar** followed in 1949, **Abu Dhabi** in 1962, and **Dubayy** in 1969. 1

### 1950

Death of **Sheik Ahmad**, ruler of Kuwait. His cousin, **Sheik Abdallah**, succeeded him as emir. 2

### 1955

Establishment of the **Muscat and Oman Field Force**, an expanded version (approximately 400 men) of the existing military unit in Oman. 3

### 1959

**The sultan of Oman suppressed a tribal uprising** in Jabal al-Akhdar and for the first time enjoyed direct rule over the district. 4

### 1960

**Ahmad ibn Ali** became ruler of Qatar. His government began a broad **program of modernization** under the direction of Prime Minister **Khalifa ibn Ahmad**. 5

## 1961–85

**Growth in the Kuwaiti population** from 250,000 to about 1.7 million. In 1985, **native Kuwaitis** made up approximately 43 percent of the population (but only one-seventh of them qualified for full political rights as male descendants of Kuwaitis who resided in the country prior to 1920). The next largest group was the **Palestinians**, at about 25 percent of the total. 6

## 1961, June 19

**INDEPENDENCE OF KUWAIT.** The government published a **constitution** in 1962 providing for a **national legislature and a council of ministers**, but the effective functioning of this system soon broke down due to persistent conflicts between the legislature and the council. 7

## June 25

**Iraq asserted that Kuwait** was historically part of the Ottoman province of Basra and that it therefore **ought to be ceded to Iraq**. In accordance with a Kuwaiti-British defense pact, **British troops** arrived in Kuwait to deter a possible Iraqi attack. The Iraqi government finally relinquished its claims and recognized Kuwaiti independence on Oct. 4, 1963. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [1945, Feb. 24](#))

## **m. [Egypt](#)**

### **1946**

**Reform of religious endowments (*waqfs*).** Though charitable (*khayri*) endowments dedicated to public causes could still be funded in perpetuity, private (*ahli*) endowments that served as family trusts had to be designated for a specific period. After the revolution of 1952, private endowments were abolished altogether. In 1957, **all *waqfs* came under state administration.** 1

### **Jan**

**Failure of negotiations between Britain and Egypt** to revise the Treaty of 1936. In response, violent street demonstrations organized by students shook Cairo over the next two months. 2

(See [1940, Nov. 9](#))

#### **4. North Africa, 1945–2000**

##### **a. Morocco**

### **1946**

**Erik Labonne** became French resident-general, replacing **Gen. Gabriel Puaux**.<sup>1</sup>  
Labonne's conciliatory policies attracted little support from the Moroccan leadership.  
Consequently, Labonne lost his position to **Gen. Alphonse Juin** the next year.

### **1951**

Formation of the **National Front**, combining the Maghrib Unity and Islah Parties in Spanish Morocco, and the Istiqlal and Democratic Parties in the French zone.<sup>2</sup>

### **1952, Dec. 7–8**

**Rioting in Casablanca** (38 dead) in protest over the murder of Tunisian labor activist **Ferhat Hached**.<sup>3</sup>

### **1953, Aug**

**French authorities deposed King Muhammad Ben Yusuf and installed Muhammad Ben Arafa** as the new monarch. The former king was exiled to Madagascar. Over the next two years, French authorities had to contend with a campaign of **urban guerrilla warfare**. In Casablanca alone, attacks took the lives of 406 Moroccans and Europeans up<sup>4</sup>



to the autumn of 1955.

## 1955

Founding of the **Union Marocaine du Travail**, the first Moroccan trade union, by the labor activists **Tayyib Bouazza** and **Mahjoub Ben Seddiq**. 5

## Aug

At the **conference of Aix-les-Bains**, French officials and Moroccan representatives concluded an agreement that paved the way for Moroccan independence. The French promised to remove Ben Arafa as king before withdrawing. **Muhammad Ben Yusuf (Muhammad V) officially returned** to the throne on Oct. 29, 1955. 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1945, May 8](#))

## **b. [Algeria](#)**

### **1945, Aug**

**Muslim Algerians received the right to elect 13 members to the French constituent assembly** (the same number of seats granted to the colonists). <sup>1</sup>

### **1946, June**

Formation of the **Mouvement pour le Triomphe des Libertés Democratiques (MTLD)** <sup>2</sup> under the leadership of **Messali al-Hajj**. Before the war for independence, Hajj's party had been the most extreme Muslim party that the colonial regime tolerated. It split up in 1955 over the question of violent resistance, which Messali originally denounced. He then formed a new party, the **Mouvement National Algérien (MNA)**.

### **1947, Sept. 20**

**The Algerian Statute**, passed in France by the first National Assembly of the Fourth Republic. The act provided for an **Algerian assembly in which power was unequally distributed between the colonists** (60 seats for 60,000 electors) **and Muslims** (60 seats for 1.3 million electors). The Algerian administration remained under the control of the governor-general, who was responsible to the French ministry of the interior and not to the Algerian assembly. <sup>3</sup>

Unhappiness with the Algerian Statute, combined with the rigging of elections for the Algerian assembly, once and for all turned the Muslim political parties away from compromise and toward a policy of armed struggle. <sup>4</sup>

## 1954, Oct

Formation of the **FRONT DE LIBÉRATION NATIONALE (FLN)**, which became the leading party in the armed struggle against the French authorities. 5

## 1954–62

**THE ALGERIAN WAR FOR INDEPENDENCE** (See [1954–69](#)) started (Oct. 31, 1954) with a series of raids organized by the FLN. The war exacted a **heavy toll in casualties**. The Algerian government later estimated that over 1 million Algerians perished during the conflict. French authorities listed their own casualties at 26,000. **The Algerian countryside was particularly scarred** by the war. The French uprooted about one-third of the rural population (2.3 million peasants) and transferred them to “regroupment villages” where they lived under close supervision. 6

## 1956, June 13

**Rejection by Ferhat Abbas of a French offer for a cease-fire** unless France conceded Algerian sovereignty and independence beforehand. 7

## Oct. 22

**French operatives kidnapped Ben Bella, Ait Ahmad, Muhammad Khidar, and Muhammad Boudiaf**, four of the most important leaders in the FLN. They had boarded a plane in Rabat that, in midflight, was forced to land in Algiers, where they were arrested. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

(See [1943, May 14](#))

## c. [Tunisia](#)

### 1946, Jan

Founding of the **Union Générale des Travailleurs Tunisiens (UGTT)**, under the direction of **FERHAT HACHED**. It was the first major trade union in Tunisian history. Membership soon reached over 150,000 workers. <sup>1</sup>

### 1951, Oct

Tunisian prime minister **Muhammad Shanniq** traveled to Paris to demand independence tempered by close economic, cultural, and military ties with France. **The French officially rejected his proposal** on Dec. 15. <sup>2</sup>

### 1952

Formation of **Tunisian guerrilla bands** in the mountains. In response, the settlers organized **the Red Hand**, their own terrorist organization, which attacked Tunisian political leaders. The most famous victim of the settlers was **Ferhat Hached** (assassinated on Dec. 12, 1954), leader of the UGTT. <sup>3</sup>

### Jan. 18

**Arrest of neo-Destour leaders, including Habib Bourguiba**, after extensive rioting (Jan. 15). The French resident-general had provoked demonstrations by ordering **al-Amin Bey** to dismiss the Tunisian government. When the bey refused, **French authorities arrested Prime Minister Shanniq** (March 25).

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1942, Jan 8](#))

## **d. [Libya](#)**

### **1947, March**

Formation of the **Libyan Liberation Committee** in Cairo under the leadership of **Bashir al-Sa`dawi**. The organization proposed a union between Tripolitania and Cyrenaica under Sanusi rule. 1

### **1949, May 17**

**Defeat of the Bevin-Sforza Plan** in the UN. The British-Italian scheme would have split 2  
Libya into three trusteeships: Cyrenaica for the British, Tripolitania for the Italians, and Fezzan for the French. **The UN** instead adopted a **resolution calling for Libyan independence** by 1952 (Nov. 21, 1949).

### **1950, Dec. 2**

The Libyan National Assembly recognized **IDRIS** as king of Libya. 3

### **1952, Jan. 1**

Official **INDEPENDENCE OF LIBYA**. The country emerged as a federal monarchy 4  
dominated by a clique of conservative notables. It essentially retained the administrative divisions (Tripolitania, Cyrenaica, and Fezzan) inherited from the colonial period.

## 1953, Feb

Libya became a member of **the Arab League**.

5

## 1955, Nov

Granting of the **first oil concessions**. The first strike was at Bir Zelten in 1959. **The oil industry** was primarily developed during 1961–69 as foreign firms, especially independent companies, moved into the country to conduct intensive exploration.

6

## 1962, June

Libyan entry into **OPEC**.

7

## 1967, June 15

The government requested that the U.S. and Britain withdraw their remaining forces at the earliest possible date.

8

## 1969, Sept 1

**MILITARY COUP** against the monarchy. The plot was organized by a group of army officers directed by **MU`AMMAR AL-QADHAFI**. One of the first acts of the new regime was to **abolish the monarchy**. In its place emerged **the Libyan Arab Republic**. Effective authority was vested in a **Revolutionary Command Council** headed by Qadhafi, who officially became prime minister on Jan. 16, 1970.

9

## 1970, March 28

**Completion of the British military withdrawal**, as demanded by the Libyan government. **The U.S. pulled out** the last of its troops less than three months later (June 11).

10

## July 21

Confiscation of all Italian and Jewish property.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Dec. 27](#))

## **F. South and Southeast Asia, 1945–2000**



[INDIA AND PAKISTAN, 1970 \(MAP\)](#)



[INDIA, PAKISTAN, AND BANGLADESH, 2000 \(MAP\)](#)

### **1. South Asia, 1945–2000**

#### **a. Overview**

This period witnessed the **independence of South Asia from direct imperial control** and the struggle by the resulting nation-states of the subcontinent to create viable civil societies and to find appropriate places in a world becoming increasingly interdependent economically, geopolitically, and culturally. Britain's withdrawal marked not only independence but also **partition**, as it handed over power in 1947 to the new, separate nation-states of **India and Pakistan**. (Sri Lanka and Maldives achieved independence later.) This decision to divide the subcontinent conceded the impossibility of devising a federal system sufficiently loose in nature to reassure Muslim activists who felt their voices and interests would be brushed aside by the nationalist Congress Party, which was often incapable of recognizing the extent to which it conflated the terms *Hindu* and *nationalist* in its rhetoric and policies. The new states' boundary lines did not bode well for the future, however, as they demarcated a “moth-eaten” Pakistan (as Mohammed Ali Jinnah put it) carved out of two distinct pieces of territory in the east and west, with India

in between. (Significantly, the dividing line in the east followed virtually the identical line drawn during the partition of Bengal in 1905 ( (See [Southeast Asia, 1753–1914](#)))—a boundary protested at the time as “unnatural.”)

Although at first the two nations mainly strove to find appropriate roles in a world sharply bifurcated by the cold war, more recent events have underscored their continuing struggle to resolve a much larger conundrum that has long affected the region: how to create shared understandings on which to build a civil society and how to determine the role of the state within it, in a way that makes room for the diverse groups that make up pluralistic societies. In part, this conundrum resulted from the legacy of imperialism, particularly the British Indian state's predilection to deal with groups rather than individuals. (The tension between the nation's need to deal directly with individuals, a basic foundation stone of national integration, and the state's desire to prove to different groups its ability to protect group interests, is the most pronounced characteristic of contemporary society in South Asia.) The conundrum also reflected a fundamental challenge faced by all modern nation-states: the need to create viable political systems that do not depend on cultural and ethnic homogeneity to succeed. Dealing with this problem has been exacerbated in postcolonial states by the accompanying need to create economic development strategies that minimize dependence on the industrialized world while achieving as much financial self-sufficiency as possible. These issues influenced the debate concerning the formation of an independent, postcolonial society and the role the state should play in directing it.

Certainly the implications of **demographic growth** have complicated these attempts to gain self-sufficiency; from a population base in 1941 of 389 million, numbers had increased by 1961 to 439.2 million in India and an additional 93.8 million in Pakistan. But the **population growth rate** for the region, after peaking in 1971–81 (at a decade rate of 26.4 percent) **seems to be slowly decreasing** now; for the decade 1981–91, the rate of growth has been 25.2 percent.

The position of **women** in independent India, if measured by standards such as **literacy** rates, has improved. The female workforce in the independent sector, for instance, has also been organized to exercise some political clout (through **SEWA, the Self-Employed Women's Association**). But issues such as the spate of **dowry deaths** (the murder of young wives for their dowries) in urban areas—especially in Delhi in the late 1980s and early 1990s—serve as symbols for the continuing disadvantages experienced by women in middle-class and extended family contexts.



## b. British India, to Independence and Partition

From independence into the 1970s, Pandit Nehru's vision of a secular Indian state with strong central planning processes still left room for the influence of business leaders who dominated and shaped the relationship among the state, communities, and individuals. But the increasing acrimony among those making demands on the state (especially communities invoking regional, religious, or ethnic identities, such as the Kashmiris or the Sikhs); Congress's growing reliance on ethnic, religious, and class-defined communities of “vote banks”; and the shift toward **economic liberalization policies** (which downplayed central planning and opened up new opportunities for Indian entrepreneurs as well as multinational corporations) have created in the 1980s and 1990s an increasingly unstable and doubt-riven civil society. For instance, the number of deaths in **communal (religious) riots** in the 1980s quadrupled those of the 1970s. Although supporters of partition had asserted that a shared Islamic identity would unite Pakistan, from its earliest days the state has been unable to resolve the tension between the attempt to use Islam to integrate very different regional cultures and the need to accede countering identities constructed around regional and ethnic identities. The fact that Pakistan began with a truncated institutional infrastructure (since most of the integrative institutions, such as the civil service and communication networks, went to India) has exacerbated the problem, at times leading the military to intervene in governance in order to maintain stability and efficiency. <sup>1</sup>

### 1945, June 29

**The All-India Congress** failed to agree on a common list of ministers for the new government, and the **deadlock between Muslim leaders and Congress leaders** continued. <sup>2</sup>

### Sept. 19

The new British Labour government proposed to discuss with Indian representatives the offer for Indian autonomy made in 1942. 3

### Sept. 20–23

**The All-India Congress**, meeting in Bombay, declared this plan to be unsatisfactory and called on Great Britain to “quit India.” 4

### Dec. 27

Elections to the **central legislative assembly** gave the largest number of seats to the **Congress Party and the Muslim League.** 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### c. [The Republic of India](#)

1947, Aug. 15

**The Dominion of India** was inaugurated in Delhi, with **Pandit Jawaharlal Nehru** as prime minister and **Lord Mountbatten** as governor-general. Most of the **Indian states** (princely and chiefly), notably excepting Hyderabad, Kashmir, and Junagadh, acceded to the new dominion for defense, external affairs, and communications, while retaining their internal sovereignties. 1

Oct. 26

The government of India admitted **Kashmir** into the Indian Union, thus precipitating a crisis with Pakistan, since Kashmir contained a majority of Muslims. 2

Nov. 9

The Indian government assumed control over the administration of the state of **Junagadh**. 3

Dec. 30

After vain attempts to solve the conflict over **Kashmir**, the dispute was referred to the **UN**. Sporadic fighting continued in Kashmir between Indian and Muslim forces. 4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## d. [Pakistan](#)

Many of the issues facing independent India loomed large for the new state of Pakistan as well. The legacy of a state that often preferred to deal with groups rather than individuals became exacerbated in Pakistan, where the need to explain the **place of Islam** in the state tempted policy makers to talk about the *'umma* (community) rather than citizenry. This tension further confused the newly forged relationship of the five separate regional cultures (ranging from the Balochi and Sindhi-based communities in the west to that of the Bengalis in the east) that existed just beneath the surface of this new nation. In addition, Pakistan inherited considerably less of the infrastructure of a working state than did India; it therefore faced much larger problems in terms of communication networks and national integration, intensified by the fact that its two very distinct wings were separated by an often-hostile India. <sup>1</sup>

The continuing power of large landlords also made the formation of economic policy and central planning much more problematic in Pakistan. No significant shift in the distribution of resources was achieved in Pakistan, nor did an overarching vision of socioeconomic change guide the use of development aid. Stagnant economic policies and irresolute ideological vision made the state vulnerable to control by the military, which aimed simply for efficient government and political stability. This, in turn, made the development of an independent civil society much more difficult to achieve. <sup>2</sup>

### 1947, Aug. 15

**The Dominion of Pakistan was inaugurated**, with **Liaqat Ali Khan** as prime minister and **Mohammed Ali Jinnah** as governor-general. Pakistan, the Islamic provinces of India, consisted of West Pakistan (formerly the western part of Punjab with Sind, the Northwest Frontier Province (NWFP), and other muslim-majority areas) on the northwest side of India, and East Pakistan (formerly the eastern part of Bengal). The East wing had only 15 percent of the territory, but 55 percent of the population. <sup>3</sup>



## 1948, Sept. 11

Mohammed Ali Jinnah died and was succeeded by **Khwaja Nazimuddin** as governor-general. 4

## 1949, June 4

**The Awami League** was formed in Dhaka. 5

## 1950, April 8

**The Delhi Pact** between India and Pakistan substantially reduced friction between the two dominions. 6

## June–Dec

Pakistan supported the UN cause in the **Korean War**, profiting economically from the sudden demand for its raw materials brought on by the war. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## e. [Bangladesh](#)

Bangladesh, literally meaning “land of the Bangla (Bengali) speakers,” was born out of the civil war in Pakistan in 1971–72 (See [1971, March 1](#)). Pakistan's very creation had been rooted in its claim to serve as a homeland for Muslim South Asians, but it proved unable to incorporate Muslim Bengalis into the polity. The major sources of conflict included language—Bangla bore little resemblance to the ideological, conceptual frameworks created for Urdu and Punjabi, the main languages used in the West wing—and rather different cultural understandings of the practice of Islam. Muslim reformists had acquired significant influence in the West wing, whereas the East still revolved around certain shared Bengali assumptions about devotionism and related emphases on saints and goddesses. As the Muslim League of Pakistan and the state itself (dominated especially by Urdu-speaking, reformist Muhajirs) pushed the Urdu language and strove for a purist definition of Islam as the basis of the Pakistani state, Bengali speakers turned to their own language and regional identity as the foundation for a separate nation. 1

These cultural and linguistic conflicts were aggravated by severe economic inequality between East and West Pakistan. Development policies, framed by leaders in the West wing, generally favored the West. Moreover, although significant support for the state of Pakistan resulted from exports cultivated in the East, almost none of these remittances were devoted to economic development of that wing. 2

As a result of the civil war, in which India intervened decisively on the side of Bangladesh, the new state faced overwhelming needs in rebuilding itself and creating a new infrastructure to support an independent nation-state. 3

**1971, March 26**

**Declaration of Bangladeshi independence**, in direct response to a fierce army crackdown on the previous day. Large numbers of Bengalis were massacred. Mujibur Rahman was arrested and taken to West Pakistan. Many of his colleagues fled to India and established a government in exile. Millions of refugees flooded into India.

4

## Dec. 4

**India invaded** in support of the **Mukti Bahini** (“freedom fighters”) and other irregular Bengali groups operating inside East Pakistan (See [March 31](#)). The successful campaign led Pakistan's military and civilian authorities to surrender on Dec. 16.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## f. [Sri Lanka \(Ceylon\)](#)

After gaining **independence from Great Britain in 1948**, Sri Lanka experienced escalating ethnic conflict between the majority Sinhalese and the Tamil minority. The antagonism dated to the struggle to choose a national language. Two propositions were considered: “Sinhala only” or “parity of status for Sinhala and Tamil.” As the majority language (nearly 70 percent of Sri Lankans speak Sinhala), Sinhala could also be used to stand in for a range of related identities that emphasize the uniqueness of Sinhalese Buddhist culture—particularly to differentiate it from Tamil Hindu culture with its uncomfortably close connections to South India, which loomed large above the island.

Language thus became interpreted as a test of national loyalty. Nevertheless, Tamils rejected the victory of the “Sinhala only” proposition in the general election of 1956; they feared that that policy would place them in a disadvantageous position with respect to employment and higher education. Although the extent of protections for the use of Tamil has varied from 1956 to the present, the contentiousness of the debate has only escalated.

By 1975, the language question had evolved to include the complex issue of national and territorial rights; a powerful Tamil secessionist movement had emerged. Both sides in the developing civil war have grown increasingly intransigent, and the conflict has drawn in Sri Lanka's large neighbor to the north (it is likely that Rajiv Gandhi's assassination ( (See [1991, May 21](#))) was directly connected to this conflict).

### 1946, May 15

**Ceylon** was granted a **new constitution**, which gave it almost complete self-government in domestic affairs.

### 1947, Sept. 26

The first cabinet under the new constitution took office, with **Stephen Senanayaki** as prime minister. The new Parliament opened on Nov. 24. A series of agreements with the U.K. (Nov. 11) further reduced British influence in Ceylon.

5

**1948, Feb. 4**

**CEYLON BECAME A SELF-GOVERNING DOMINION** in the British Commonwealth, the first non-European colony to achieve this status.

6

**1950, Nov. 7**

Ceylon was the second to sign **an agreement with the U.S.**, providing assistance under the Point Four Program.

7

**1952, May 24**

Despite vigorous Marxist efforts to win control, the Conservative government won a majority in parliamentary elections.

8

**1956, April 12**

After the neutralist **People's United Front** was victorious in parliamentary elections, **Sirimavo Bandaranaike** was appointed to head a leftist coalition cabinet made up of Democratic Socialists, Trotsky-Marxists, and orthodox Buddhists.

9

**June 15**

Parliament approved the **Sinhalese Language Bill** to make Sinhalese the sole official language of Ceylon, despite rioting by the Tamil-speaking minority. The Senate, on July 6, approved the language bill. Language became the basis of nationalism; Sinhala nationalism became equated with Sri Lankan nationalism, which Tamils rejected.

10

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

**g. [Maldives](#)**

**1953–54**

The islands, a British protectorate, temporarily replaced the sultanate with a **republican form of government**. 1

**1954–68**

**The sultanate was restored.** 2

**1960**

The islands were granted **local self-government**. 3

**1965, July 26**

The British government accorded the islands **complete independence**, on condition of retaining an air base on Gan Island until 1986. 4

**Sept. 21**

**Maldives was admitted to the UN.** 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

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## **h. Nepal**

**1994, Nov. 15**

Nepalese parliamentary elections were won by the Communist Party, defeating the ruling party, which had lately faced charges of corruption. <sup>1</sup>

**1995, Sept. 10**

The Nepalese **Parliament passes a no-confidence vote, ousting the ruling Communist Party.** <sup>2</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

(See [Southeast Asia](#))

## **2. Southeast Asia, 1941–2000**



[SOUTHEAST ASIA, 1970 \(MAP\)](#)



[SOUTHEAST ASIA, 2000 \(MAP\)](#)

### **a. Overview**

In Southeast Asia, the **struggle for independence** from the European colonial powers held center stage during the period immediately following World War II. Most of these struggles were completed by 1954, except for those of Malaysia (1957), Singapore (1965), and Brunei (which did not occur until 1984, largely because of the lack of strong internal pressure for independence). During the period 1954–67, the Western powers and many Southeast Asians experienced fears of Communism that were directly related to the worldwide implications of the cold war. These concerns led to **fresh intrusions by the West into Southeast Asian life and politics**. During 1965–75, American involvement in the Vietnam War (Second Indochina War) dramatically affected mainland Southeast Asia. After the Americans withdrew, the Communists triumphed in Vietnam, Cambodia, and Laos. **The Association of Southeast Asian Nations (ASEAN)** was formed (Aug. 6, 1967) by the non-Communist Southeast Asian countries (Malaysia, the Philippines, Indonesia, Thailand, and Singapore) to deal with the threat of further Communist encroachments, especially in the face of China's increasing power. Informal neocolonial influences, in the form of multinational involvement in local economies, continued in this period. One of the most significant ongoing tensions during this recent phase of Southeast

Asian history concerns the place of immigrant groups, primarily Chinese, who dominate economic activities in many Southeast Asian countries.

In the 1950s and 1960s, all the governments in the region, excepting that of Laos, launched **ambitious industrialization programs** to lessen their dependencies on the export of primary commodities and the import of manufactured goods. **By the 1970s, the initial focus on import substitution industries shifted to export-oriented industrialization in the ASEAN countries, with Singapore leading the way.**

In Thailand, economic growth has been consistently high. In Malaysia, the economy has prospered, in large measure because of the abundance of natural resources and the ability to take advantage of foreign investments to advance industrialization. In Indonesia, oil export earnings and political stability have provided for stable, unprecedented, and, by world standards, remarkable economic growth; but the benefits have not been equally shared. The lower classes' exclusion from these economic advances and the uneven levels of development on Java and the outer islands have led to labor unrest.

Burma (Myanmar) experienced a slower rate of economic expansion than the ASEAN states. The structure of its economy has changed little because, after 1962, the government followed a strict policy of autarky in order to maintain economic independence and increase equality among all classes. Laos remained one of the world's poorest countries, but in the early 1990s it instituted reforms to establish a more market-driven economy in an effort to attract potential foreign investors. Cambodia's economic development was devastated by the chaos the nation experienced until a new political structure was introduced in 1993.

Demographically, at the end of World War II, the **population** in Southeast Asia just surpassed **150 million**. By 1990, well over **400 million** people lived in the region. From 1950 to the 1980s, the population doubled in the urban centers, and one out of four people resided in a city.

The reactions of leaders to the population explosion varied. Indonesia's Sukarno initially boasted that his country would welcome a population of 250 million. After 1970, resultant economic problems changed this attitude; although Indonesia's family-planning program gained much international acclaim, by 1992 some 2.5 million new job seekers every year joined a labor force that already suffered from serious rates of unemployment and underemployment. In the early 1980s, the Malaysian leader Mahatir announced an ultimate target population of 70 million people in the hope of expanding the internal economic market and also for political reasons—as he wanted to capitalize on the fact that the Malays were reproducing faster than other Malaysian ethnic groups. At the time, the Malaysian population had reached 15 million, and by 1992 it stood at about 18.5 million. Although the Burman (Myanmar) government introduced population control programs, they floundered because of the government's contradictory and confusing policies. Because of its unique situation, Singapore adopted the most draconian state intervention in family planning, and in the 1980s fertility actually fell below replacement

levels. After 1970, Thailand was unambiguously committed to population control, which did reduce birthrates by the late 1980s. Throughout Southeast Asia, fertility fell substantially after 1960; but because of declining mortality rates, Southeast Asia still faced the problems of rising population rates in the 1990s.

On Dec. 15, 1995 the Association of Southeast Asian Nations signed a **nuclear-free-zone pact** for their region, including Brunei, Indonesia, Malaysia, the Philippines, Singapore, Thailand, and Vietnam. <sup>7</sup>

### 1996, Nov. 25

The Asian-Pacific Economic Cooperation (APEC) leaders endorsed a declaration to eliminate tariffs on computers and other high-technology products by the year 2000. <sup>8</sup>

### 1997, Nov. 24–25

APEC convened in Vancouver, Canada, to discuss the economic turmoil brewing in Southeast Asia. <sup>9</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1942, March 8](#))

## **b. Mainland Southeast Asia**

### **1. Myanmar (Burma)**

**1946, Dec. 20**

The British government invited a Burmese delegation to meet in **London** and discuss the early achievement of **self-government** for Burma. <sup>1</sup>

**1947, Jan. 28**

An agreement between British and Burmese leaders called for a constituent assembly. <sup>2</sup>

**April 9**

**Election of constituent assembly. The Anti-Fascist People's Freedom League (AFPFL)**, founded in World War II in opposition to cooperation with the Japanese, was headed by **U Aung San** and received an overwhelming majority. <sup>3</sup>

**June 17**

The constituent assembly unanimously adopted a resolution calling for an “**independent sovereign republic to be known as the Union of Burma.**” <sup>4</sup>

**July 19**

**U Aung San** and several members of his provisional government **were assassinated** by political opponents under the direction of former premier **U Saw**. 5

U Aung San had been the single political figure capable of bridging differences between the various warring political factions: he had the allegiance of the army, the trust of the Communists, and the support of the various ethnolinguistic communities, who in the preindependence “excluded areas” had remained relatively unaffected by colonial Burma's nationalist politics and modern economy. The assassins were tried and executed (May 8, 1948). 6

### July, 20

**Thakin Nu**, vice president of the AFPFL, formed a new government. 7

### Sept. 24–25

**The new constitution was adopted by the constituent assembly, and Sao Shwe Thaik**, the sawbwa (ruler) of **Yawnghwe** (one of the largest of the Shan states), was elected provisional president. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1943, July](#))

## c. [The Malay Archipelago and Peninsular Malaysia](#)

### 1. Malaysia and Singapore

**The Malay States** had come under British rule or control in the 19th and early 20th centuries (See [1914, May 12](#)). **Singapore**, founded in 1819, was a British crown colony and one of Britain's most important naval bases. As elsewhere in the region, the development of a nationalist movement was greatly accelerated by World War II (See [1954–69](#)). In order to gain independence, an alliance was formed between the leaders of two groups: the **Western-educated Malay leadership**, drawn from the traditional elite and its fringes, and the leaders of a small group of **Western-educated Chinese**, who were primarily wealthy, Malaya-born businesspeople. An agreement was made between these two factions that, until the late 1960s, seemed to serve both of their interests: in exchange for the initial acceptance of Malay domination of political and administrative authority after independence, there would be noninterference in Chinese domination of economic activities. <sup>1</sup>

**By the late 1960s, racial riots** erupted, stemming from tensions created by the Malays' lack of access to economic power; the Chinese had in fact accrued political power over time and now dominated both spheres. <sup>2</sup>

#### 1955, July 27

The first **national elections in Malaya** resulted in victory for the **Alliance Party**. <sup>3</sup>

#### 1956, Feb. 8

**A British-Malayan agreement** was signed in London, transferring to Malaya control of internal security and defense. 4

### 1957, Aug. 3

In preparation for Malayan independence, a conference of rulers elected **Sir Abdul Rahman**, ruler of the Negri Sembilan state, to be the first supreme head of the federation for a five-year term. 5

### Aug. 15

The federal legislative council ratified the constitution of the **federation of Malaya**. 6

### Aug. 31

The British protectorate ended, and **Malaya became an independent member of the Commonwealth**. 7

### Oct. 7

Malaya became **a member of the Colombo Plan** (See [Nov. 28](#)). 8

### Oct. 12

**A British-Malayan treaty** of mutual assistance and external defense was signed. 9

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [Aug.–Sept](#))

## **G. [East Asia, 1945–2000](#)**

### **1. [China, 1945–2000](#)**

#### **a. [The Civil War](#)**

The immediate postwar years witnessed various efforts to keep the Guomindang (GMD) and the Chinese Communist Party (CCP) from returning to the bloody civil war that had preceded the anti-Japanese united front. Within a year, however, those efforts had gone for naught, and the second civil war broke out. The Communists' victory came with stunning rapidity, and by 1949 there were two Chinas. <sup>1</sup>

#### **1945, Aug. 26–Oct. 10**

Negotiations between **JIANG JIESHI** (Chiang Kai-shek) (1888–1975) and **MAO ZEDONG** (Mao Tse-tung) (1893–1976) failed to settle their differences, and before the end of October, heavy fighting was in progress between Nationalists and Communists in northern China. Each side aimed at the control of Manchuria, which was being evacuated by Soviet forces. <sup>2</sup>

#### **Nov**

Jiang sent a large force north of the Great Wall against the Communist forces in Manchuria. Late in the month, Patrick Hurley, U.S. ambassador to China, resigned. <sup>3</sup>

#### **Dec. 14**

The U.S. sent **Gen. George Marshall** (1880–1959) as mediator.

4

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## **b. The People's Republic of China (PRC)**

### **1950**

The unification of the country, together with a program of reconstruction and deflation, brought considerable **economic improvement** to the PRC. Although some changes were introduced in agriculture as land reform went into effect, no radical innovations were set in motion, other than overall state planning in industry. Landlords were publicly condemned in mass denunciations; many perished. Land was redistributed to those who had had the least; private property in land disappeared. A new **marriage law** accorded women equal rights in marriage and divorce, and enabled women of any marital status to hold land in their own names. **The People's Liberation Army (PLA)** carried on continued warfare against anti-Communist guerrillas. Party membership topped 5 million. <sup>1</sup>

### **Feb. 14**

Mao Zedong traveled to Moscow, his first trip beyond China's borders, and signed the 30-year **Treaty of Friendship, Alliance, and Mutual Assistance with the Soviet Union**. It was followed by a series of economic agreements for joint exploitation of Chinese resources. <sup>2</sup>

### **May 2**

Communist forces completed the occupation of Hainan Island. <sup>3</sup>

### **Oct**

**Chinese Communist “volunteers” intervened in the Korean War** (See [Nov. 1](#)) on the North Korean side. Ultimately, over 700,000 Chinese troops would be involved. Over the course of the war, China suffered between 700,000 and 900,000 casualties. 4

## Nov. 10

Following a **Chinese invasion**, **Tibet** appealed to the UN to bring about a peaceful settlement of Chinese-Tibetan relations. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Dec. 8](#))

### c. [The Republic of China \(Taiwan, Nationalist China\)](#)

#### 1950

**The Nationalist government** in Taiwan at last began to introduce some of the **reforms** it had promised while still in control of the mainland. It had wiped out a major sector of the local elite in the repressions of 1947. Some 2 million GMD leaders, their families, and their supporters had flocked to Taiwan in 1948–49 and soon dominated politics completely. <sup>1</sup>

#### March 1

**Jiang Jieshi (Chiang Kai-shek) resumed the presidency.**

2

(See [1925, Oct](#))

## **2. The Republic of Mongolia (The Mongolian People's Republic), 1945–2000**

**Alliance with the Soviet Union.** The Mongolian People's Republic entered into formal alliance with the Soviet Union with the signing of a ten-year assistance treaty in 1936 and its renewal in 1946. It supported the Soviet Union in its ideological conflict with China in the 1960s. A 20-year treaty of friendship, cooperation, and mutual assistance was signed in 1964, and an agreement eliciting Soviet economic aid was completed in 1970. <sup>1</sup>

### **1945**

**Independence of Mongolia.** A national plebiscite on Oct. 20 voted for independence, and China thereafter recognized the Mongolian People's Republic (MPR) as an independent state. On Feb. 14, 1950, China and the Soviet Union signed a treaty that guaranteed the MPR's independence. A new boundary agreement with China was signed in 1987. <sup>2</sup>

### **1960**

A new constitution stated that the construction of socialism was the country's basic task. <sup>3</sup>

### **1961, Oct. 27**

Admission to UN membership. <sup>4</sup>

### **1980s–1990s**

Some reforms were initiated to parallel glasnost and perestroika in the Soviet Union in the late 1980s. In July 1990, the first multiparty elections were held, in which the Mongolian People's Revolutionary Party (MPRP) won 85 percent of the vote. Economic reforms moved toward privatization and market economy in the 1990s. Trade with China increased by over 40 percent in the early 1990s. 5

### 1991, Nov

The Grand People's Hural voted to change the country's name from the Mongolian People's Republic to the **Republic of Mongolia**. It has been a multiparty democracy since July 1990. 6

### 1998, April 23

Discord over proposed market reforms spread within Mongolia's ruling coalition. As a result, Tsakhiagiyn Elbegdorj was suddenly given the position of prime minister. However, further parliamentary disagreement led to his resignation on July 24. 7

### Oct. 2

A political crisis spread following the murder of cabinet member and potential prime minister Sanjaasuregiyn Zorig. 8

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

(See [1943, Dec](#))

### 3. [Korea \(North and South\), 1945–2000](#)

#### 1945

Japan's defeat in World War II led to the dismantling of its colonial regime in Korea. Koreans quickly began imagining what their new liberty would entail, and the issue of earlier collaboration with the Japanese loomed large. In the last days of the war, the Japanese turned to **Song Chin-u** (1890–1945) to form a transition regime and keep order until the Allies arrived; he turned them down. On Aug. 15, the Japanese asked **Yun** **Un-hyung** (1886–1947), and he accepted with the proviso that all political prisoners be freed, that food be provided for the next three months, and that there be no Japanese interference of any kind. **Yun** next set up the **Committee for the Preparation of Korean Independence**, and soon numerous “**people's committees**” emerged nationwide, 145 of them by late August. By the end of the year, every village throughout the country had one. A representative council met (Sept. 6) in Seoul to create the **Korean People's Republic (KPR)**, which was leftist-controlled but not necessarily a Communist front. **SYNGMAN RHEE (YI SUNG-MAN)** (1875–1965) became chairman. Famed for his fidelity to the cause of Korean independence, Rhee, upon his return to Korea in the fall of 1945, attacked both the Soviets and the KPR for willingness to cooperate with Korean Communists. <sup>1</sup>

#### Sept. 14

A platform of the KPR called for confiscation of all lands owned by the Japanese and collaborators for redistribution and the nationalization of major industries. All Koreans were to get the vote. <sup>2</sup>



Having arrived on Sept. 8, the U.S. forces under the command of Gen. John Hodge refused to recognize the KPR and soon banned it. In its stead, they established the **U.S. Army Military Government in Korea (USAMGIK)**, using the much-hated colonial bureaucratic structure.

3

### Sept. 16

The **Korean Democratic Party** was founded by **Kim Song-su** (1891–1955) and **Song Chin-u**; it was a moderate-to-conservative group that sharply criticized the KPR.

4

### Dec. 27

The **Moscow Conference**, held by Great Britain, the U.S., and the Soviet Union, called for a **provisional Korean democratic government** under a five-year trusteeship of the three powers and of China. A joint Soviet-U.S. commission subsequently attempted to put this agreement into force but failed because of basic differences between the two parties concerning the definition of democracy. **Korea thus remained divided** into a largely agricultural south and a largely industrial north, with disastrous consequences to its economy.

5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)



[NEXT](#)

---

(See [Aug. 28–Sept. 2](#))

#### 4. [Japan, 1946–2000](#)

With the formal surrender of Japan at the end of World War II, supreme authority passed <sup>1</sup> into the hands of **Gen. Douglas MacArthur** as supreme commander for the Allied powers (**SCAP**). Though aided by an Allied control council and subject to the general directions of the 11-nation Far Eastern Commission with headquarters in Washington, D.C., MacArthur pursued an independent policy. To facilitate his task, Japan's governmental structure was left intact and put under the direction of **Prime Minister**

**Shidehara Kijūrō**   (1872–1951) and a nonpartisan cabinet. The most immediate task of the occupation authorities was to rid Japan of its imperialist customs, institutions, and mind-set. In a series of decrees, Gen. MacArthur restored civil liberties, liberated political prisoners, liberalized the educational curriculum, granted the franchise to all adults, encouraged the formation of labor unions and the abolition of older land tenure systems, and ended the compulsory adherence to state Shinto. The climax of these moves to break with the past came on Jan. 1, 1946, when **Emperor Hirohito**, in a New Year's message, disclaimed the divinity that was traditionally accredited to him by the Japanese people.

Among the most important initiatives of the occupation was land reform. <sup>2</sup> Absentee landlordism was eliminated, as were large landholdings. The amount of land worked by tenants dropped from 46 percent to 10 percent; rents were regulated. Japan thus rapidly changed to a country of small farmers who owned their own land.

#### 1946, April 10

The first general election favored the moderate parties. Communist returns were <sup>3</sup> negligible. A new government under **Yoshida Shigeru** (1878–1967) took office on May 16.

A series of **purges**, initiated by SCAP, was directed against all “active exponents” of <sup>4</sup> aggressive nationalism, including intellectuals and businessmen, and ultimately involved more than 1.5 million people. In addition, an **international military tribunal** in Tokyo

began the trials of major war criminals, while separate British and Australian tribunals were set up in Southeast Asia and the South Pacific, respectively.

### Nov. 3

**A new constitution** provided for an elected upper house, transferred sovereignty from the emperor to the people, **safeguarded individual rights and equal rights for women**, and introduced a broad measure of local self-government. It also renounced war for all time and became effective on May 3, 1947. <sup>5</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Aug. 2](#))

## 5. [Vietnam, 1945–2000](#)

### 1945, Sept. 2

With U.S. support, **HÔ CHI MINH** (1890–1969) **proclaimed an independent Democratic Republic of Vietnam** in Hanoi. 1

The surrender of Japanese forces was taken north of the 16th parallel by the Chinese and south of it by the British. In the north the Việt Minh, under Nationalist Chinese auspices, continued to operate with Chinese support, in spite of usually tacit French desires to the contrary. The British in the south supported the Free French, with some 20,000 French civilians still in Saigon concerned that French imperial glory not be completely undone. With British help, **the French militarily recaptured Saigon** (Sept. 23) and by Jan. 1946 had retaken much of Cochin China. The British withdrew in Jan. 1946, the Chinese in the spring. 2

### Nov

To gain wider support domestically from the educated elite and also internationally (especially from the Nationalists in China), the Việt Minh claimed to disband the Indochinese Communist Party. Elections were held, and many non-Communist nationalists were brought into the government under the banner of the **Lien Việt** popular front group. 3



(See [1944, Feb. 2](#))

## **H. The Pacific Region, 1944–2000**

### **1. The Islands, 1946–2000**

The postwar years brought a period of significant change to the islands. They saw the dismantling of colonial rule through peaceful negotiation, except in Vanuatu; by the 1990s, only France and the U.S. remained “colonial powers” in the Pacific. They saw generally successful attempts at regional cooperation among independent island states, but they also witnessed the steadily growing dependence of the small, resource-poor, isolated islands on metropolitan countries. At the close of the 20th century, real political or economic independence appears to be a vanishing dream for most island communities. 1

#### **1946, July 1, 25**

The U.S., under **Operation Crossroads**, carried out the first of its atomic tests at **Bikini Atoll** in the Marshall Islands. 2

#### **1947**

Former (Japanese) mandated territories of the Marianas and the Marshall and Caroline Islands were given by the UN to the U.S. as the **Trust Territory of the Pacific Islands (TTPI)**. The TTPI was designated a **strategic trusteeship**, which meant (1) that its political status could not be altered without the agreement of the governing power; (2) its affairs were to be supervised by the UN Security Council, where the U.S. (not the Trusteeship Council) had veto powers; and (3) the U.S. could close off any part of it for strategic purposes. Initially under the U.S. Navy, the administration of the TTPI was assumed by the Department of the Interior in 1951. 3

The creation of the **South Pacific Commission (SPC)** resulted at the signing of the Canberra Agreement by six colonial powers: Australia, France, the Netherlands, New Zealand, the U.K., and the U.S. The first regional body of its kind, the SPC was intended primarily to secure Western political and military interests in the postwar Pacific. 4

### 1949

The territories of **Papua and New Guinea** were merged into one administrative unit by Australia. 5

### 1954, March 1

The U.S. exploded its first **hydrogen bomb**, code-named **Bravo**, at Bikini Atoll, with long-term environmental and political consequences. 6

### 1958

An independence referendum in the French territories was ordered by **Pres. Charles de Gaulle**. It returned majority support for the continuing presence of France in the islands. 7

### 1959

**The Hawaiian Islands**, a territory of the U.S. since the turn of the century, became the 50th state of the U.S.A. 8

### 1962, Nov. 4

The U.S. carried out its last **nuclear test (Tightrope)** in the Pacific. 9

**Western Samoa** became the first Pacific island to gain independence. 10

### 1963

**The first South Pacific Games** were held at Backhurst Park in Suva. 11

**Dutch New Guinea (Iriyan Jaya)** became a part of Indonesia. 12

**Anthony Solomon**, a Harvard economics professor appointed by Pres. John F. Kennedy to carry out a survey of political, social, and economic problems in Micronesia, recommended an “integrated plan of action” to increase the islands' dependence on the U.S. 13

## 1964

**The Cook Islands** gained self-government from New Zealand; a constitutional conference in London moved **Fiji** further along the path of internal self-government. 14

## 1966, March

**The University of Papua New Guinea opened** and rapidly became the center for debating national issues by an emerging Papua New Guinean elite. 15

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1942, Jan. 2](#))

## **2. The Philippines, 1945–2000**

The history of the postindependence Philippines has been characterized by complex social, economic, and political problems. Population increases led to internal migration, most notably to Manila and to Mindanao, creating serious urban problems in the former and exacerbating tensions between Muslims and non-Muslims in the latter. In addition, many Filipinos left the country to work overseas during this period. 1

Initial economic growth gave way to stagnation in the 1980s. Rural poverty has been a persistent problem; all attempts at land reform have proved ineffective. Bureaucratic inefficiency, political corruption, and the dominance of the elite in almost all areas of national life contributed to popular discontent. Guerrilla insurgencies, involving leftist groups and also Muslim separatists, have continued with varying intensity from the time of independence to the 1990s. Political life has been volatile, marked by a long period of dictatorship under Ferdinand Marcos in the 1970s and 1980s. Military interference in politics has been a further complicating factor. Relations with the U.S. have also been problematic, especially over the question of military bases: nationalistic Filipinos often categorized the relationship as neocolonial. 2

### **1945**

The commonwealth government was officially restored under Osmena. Manila was liberated in March. The war had seriously damaged the Philippine economy, and disillusionment with the elites who had collaborated with the Japanese was prevalent. Antagonism between landlords and tenants also increased during the war. 3

### **1946, April 23**

**Manuel Roxas** became president, against the background of the **Hukbalahap (Huk) insurrection**, a Marxist guerrilla movement that had been active during the war and sought redress of social inequalities. 4

**The Bell Trade Relations Act** gave the Philippines free trade access to U.S. markets until 1954. This measure was designed to help economic recovery after the war. 5

## July 4

**The Philippines was formally declared an independent republic.** 6

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1940–45](#))

### 3. [Australia, 1944–2000](#)

Large-scale immigration—until the 1970s chiefly from Europe, thereafter increasingly from Asia—transformed British Australia. New and old migrants shared expectations of material prosperity, but after the very prosperous 1950s and 1960s, living standards declined. In the 1990s, the challenges of multiculturalism, unemployment, environmental degradation, and an aging population have raised for Australians new questions about their future. U.S. investments in Australia have increased and, during the cold war alliance with the U.S., reduced traditional ties with Britain. Agricultural and mineral exports to Japan increasingly defined Australia as a major supplier of the Pacific Rim. 1

#### 1944, Dec

The Liberal Party was formed, with R.G. Menzies as leader. 2

#### 1945, July 5

**Prime Minister John Curtin died**, after holding office since Oct. 1941. **Joseph B. Chifley** was elected leader of the Federal Labour Party and became **prime minister on July 12**. 3

#### Sept. 23–Dec. 12

**A strike of coal workers in New South Wales** seriously crippled Australian industry before it was settled by arbitration. To counteract absenteeism and strikes, and to improve coal production in general, Parliament, in Aug. 1946, adopted the **Coal Industry Act**, setting up a coal board with wide powers of control over every aspect of the coal 4

industry.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1939, Sept. 3](#))

#### **4. New Zealand, 1945–2000**

New Zealand enjoyed relative prosperity and security in the decades following World War II, bolstered by high prices for its agricultural exports and shielded by economic protectionism. The political landscape was dominated by the National Party (See [1937, May 12](#)). Socially, the country tended to be conservative, with the nuclear family being the main unit of social identification for most Pakeha people. A fondness for sport and other outdoor activities was a distinctive feature of the country's culture. In the 1970s the economy began to falter, as the world market for agricultural products declined and Britain consumed less of New Zealand's exports. Social and political movements, in particular feminism, questioned the existing order. Immigration, from the Pacific islands and later from East Asia, contributed to social diversification. Maori, whose population had grown considerably since the 1950s and had become urbanized, displayed greater cultural and political assertiveness. From the middle 1980s, economic problems led governments to dismantle the earlier protectionist and interventionist economic structure in a bid to make the country more internationally competitive. Social welfare programs and the civil service also underwent radical changes. Maori social and economic problems, in particular the question of redressing historical injustices in the alienation of land and other resources, were also major issues in national politics during the 1980s and 1990s. In foreign policy, New Zealand's ties to Britain weakened after World War II, leading at first to closer links with the U.S. and later to an attempt to strengthen New Zealand's identification with the South Pacific. New Zealand's opposition to nuclear weapons led to conflict with the U.S. and France.

### **1945**

**The Maori Social and Economic Advancement Act** established tribal executives and committees.

The Bank of New Zealand was nationalized, along with other enterprises. Self-government was granted to Samoa. 3

## 1946

The government began to provide universal child subsidies. 4

## Nov. 26

Labour was reelected under Fraser. 5

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Overview](#))

## I. [Africa, 1941–2000](#)



[AFRICA, 2000 \(MAP\)](#)

### 1. [Overview](#)

World War II reinforced the importance of colonies to metropolitan economies. Even more than during the previous world war, **Africa's reserves of essential minerals**—including uranium, magnesium, cobalt, gold, and copper—as well as its agricultural resources, made the colonies crucial to the war effort. **The war raised world commodity prices**, and Africans actively participated in the expanding colonial economies. After the war, metropolitan governments coveted the huge cash reserves controlled by the colonial commodity marketing boards, which were drawn on for postwar reconstruction in Europe. 1

World War II also spawned the new **geopolitical realities of the cold war**. Both the U.S. and the Soviet Union employed anticolonial rhetoric even as they sought to create informal empires of their own. The Atlantic Charter of 1941 underscored the Allies' commitment to national self-determination. Like Woodrow Wilson's Fourteen Points following World War I, the Atlantic Charter was not intended for colonial Africans. However, the Chinese revolution, the Malaysian peasant rebellion, and the independence of India provided Africans with important examples of **anticolonial and liberation movements**. 2

After the war, the British and the French, if not yet the Belgians and the Portuguese, began to think of the **eventual decolonization of Africa**. Their time horizon was long. Few officials thought of independence for any but the most “advanced” colonies in less 3

than 50 years. As a result, European governments made some important concessions to Africans in terms of representation in the advisory legislative councils, but planning for decolonization was lackadaisical. Central to the European timetable for decolonization was the recognition that colonial powers had not nurtured a managerial middle class prepared to run a modern nation-state. Until the 1940s and 1950s, only a tiny handful of institutions of higher education existed on the African continent. Up to the end of World War II, most primary education and nearly all secondary education was in the hands of missionaries. Whenever they could afford it, Africans sent their children to universities in Europe and the U.S. Thus, the first tangible step on the route of gradual independence was to **establish universities in Africa and expand primary education.**

Planned decolonization hinged on the assumption that European colonial powers would determine the pace of change in Africa; it took no account of the actions of Africans. <sup>4</sup> Instead, **the Africans determined the pace of decolonization in Africa.** By 1948, **waves of strikes** by dockworkers, railway workers, and miners swept through Africa. Protests by African veterans and soldiers, who had served the mother country faithfully during the war, shocked colonial administrations. Kwame Nkrumah, a student activist and later an organizer for the Pan-African Congress who had spent half of his life in the U.S. and England, returned home as a political organizer for the United Gold Coast Convention, a moderate nationalist party. In 1949, he led his followers to form a mass political party, Convention People's Party, which agitated for immediate self-government (although not yet for independence). **Mass political parties** had also emerged in the postwar period in French West Africa, following the Brazzaville reforms, and in Nigeria, following the Richards Constitution. Mass political parties were slower to emerge in East and Central Africa.

Not all African protest and resistance to colonial rule took the form of strikes and mobilization through political parties. <sup>5</sup> The Mau Mau rebellion in Kenya, which broke out in 1952 and persisted until 1956, reflected the specific outcomes of the economic and political deprivation of Africans within a white settler colony. With economic and political avenues barred to them, Kikuyu took to the forests and launched a **peasant revolution** informed by ethnic nationalism. The British responded ambivalently at first, then with crushing force. More than 50,000 British troops were needed to contain the small bands of African freedom fighters. The scale of British military involvement worried British strategic planners, who began to understand the high costs of protecting the interests of a handful of white settlers.

White settlers were not quiescent during this time of emergent African nationalism. <sup>6</sup> In 1948, **the whites of South Africa staged a counterrevolution** by electing to power the Afrikaner-dominated Nationalist Party, with a mandate to establish **apartheid** as a political and economic strategy. The Nationalist victory in South Africa stood in sharp contrast to the postwar imperial policy of gradual implementation of majority rule. The Nationalist victory, however, strengthened the resolve of white settlers in East and



Central Africa, in the Belgian Congo, and in Portuguese Africa. Indeed, white immigration to settler colonies actually increased during the years immediately following the war.

Black South Africans responded to the Nationalist victory by **reviving the African National Congress (ANC)**. Already in 1944, a number of young intellectuals, including Nelson Mandela, Oliver Tambo, Walter Sisulu, and Anton Lemebede formed the youth wing of the ANC in an effort to promote more direct action. In 1949, this group had seized control of the ANC and launched it firmly in the direction of civil disobedience, noncooperation, and strikes. The ANC's main tactic was nonviolent direct action, and by 1952 its campaigns had resulted in over 8,000 arrests. By 1955, the leaders were either under arrest and facing a long treason trial, or in exile.

In 1956, Sudan, which had been increasing the numbers of Sudanese in the colonial administration, became independent. In 1957, Nkrumah led Ghana to independence (See [1957, March 6](#)). Precisely because Ghana's independence was based on mass political mobilization, it became a **model for nationalists across the continent**.

The 25 years from 1955 to 1980 witnessed the rapid end of European empires in Africa. Only Namibia remained a “trust territory” of South Africa and would become independent only in 1990. Angola, Guinea-Bissau, and Mozambique became independent in 1975, following 20-year guerrilla wars. Zimbabwe became independent in 1980 in the face of guerrilla advances, the crumbling of white regimes in neighboring colonies, and the economic collapse of Ian Smith's white settler regime, which had unilaterally declared itself independent of Britain in 1965 in an attempt to implement a South African model.

**Most African nations became independent in the 1960s.** Despite the persistence of the recalcitrant white settler colonies still remaining, this was a **decade of great enthusiasm and promise**. Africans were freed from the shackles of nearly a century of colonialism. They believed that their economies and their cultures would blossom. World commodity prices continued to favor African producers of primary products in the early 1960s. But by the end of the decade, world demand was slowing, and by the 1970s, commodity prices began a gradual descent. The rapid escalation of oil prices drained the little cash reserves remaining in African economies.

Independence also ushered in a **flourishing of arts and culture**. Most dramatic were changes in **African music**. Of all the arts, music was the most “democratic,” since it was the cheapest and most easily available. **The revolution in consumer electronics** largely coincided with the independence decades of the 1960s and 1970s and provided African musicians with unique opportunities. Since World War II, West Africa had been the site of important **musical innovations involving syntheses of traditional African instruments and idioms with Western ensemble structures and beats**. **West African Highlife** originated in the Gold Coast out of a marriage between local African music and American and British big band sounds. Highlife spread rapidly through the

**mushrooming cities** of the continent. In the 1950s, **Nigerian juju music** emerged out of a local response to rock 'n' roll. Wide varieties of traditional, history-telling (the art of the West African griot), neotraditional, and modern African music can be heard from the windows or courtyards of houses everywhere.

Besides cassette recordings, **national radio broadcasting** has contributed to the diffusion of both traditional and new forms of African music. Many countries also have **annual cultural festivals**, which promote both neotraditional and innovative music and dance. Nightlife is often lively in urban Africa, with nightclubs providing opportunities for aspiring musicians.

In the nearly complete absence of public transportation in most of Africa, privately owned taxis and vans are the premier form of urban transportation. **Elaborate decorations of these taxis** are an important popular art form. The exterior walls of shops and kiosks became the canvases of popular representational art, also providing inexpensive commercial advertising. Urban and rural Africans are also consumers of **neotraditional African arts**. Craftworkers produce objects using traditional tools and techniques, but such art is often used in new ways. Instead of functioning primarily within religious ceremonies, this neotraditional African sculpture is used more widely as decoration. Larger even than the market for neotraditional sculpture is the demand for cloth and clothing. African tailors use locally produced or imported textiles to meet a nearly **inexhaustible demand for fashion**. Often based on local traditions, these tailors produce couture for the rapidly changing fashion worlds of urban Africa. Weavers, using traditional looms and machine-made yarns, produce cloth for ordinary use and festive occasions. Particularly when incomes are low, cloth provides an inexpensive luxury.

The period after World War II also witnessed the **flowering of African literature**. Most African literature is written in **European languages**, and the literature in these languages has become widely known throughout Africa and abroad. Written in French, Camara Laye's *The Dark Child* (1953) fit within the wider **négritude** traditions celebrating traditional Africa. Some years later, Ousmane Sembene's *The Black Docker* (1956) and his more widely acclaimed *God's Bits of Wood* (1960) challenged the romanticism of négritude by depicting the gritty world of urban work. *God's Bits of Wood* is a historical novel set against the 1947–48 railway strike along the Dakar-Bamako rail line. Sembene also turned to filmmaking as a means of capturing the bitter satires of modern urban life. His early film, *Barom Sarett*, won a prize at the Tours Film Festival in 1961. Filmmaking in former French West Africa remains a vital form of artistic creativity, and Burkinabe (Burkina Faso) filmmakers are among the avant-garde.

A somewhat analogous pattern is discernible among **West African anglophone writers**. Written on the eve of independence, **Chinua Achebe's** *Things Fall Apart* (1957) reflected on colonialism's rupture of traditional Igbo society. Very quickly, however, the glow of independence faded in the face of the very real difficulties of the 1960s and 1970s. Achebe's satirical *A Man of the People* (1967) showed politics to be a means of

accumulation of personal wealth and a tool for personal vendettas. The Ghanaian Ayi Kwei Armah's hero in *The Beautiful Ones Are Not Yet Born* (1968) represented the impotent rage of independent Africans thrust into a world of sudden, deep decay.

South African writers, particularly black writers, could not escape the realities of **apartheid**. The poet Dennis Brutus wrote lyrical verse juxtaposed with themes of apartheid's oppressiveness. Peter Abrahams and Alex La Guma reflect the thematic shifts over the late 1940s to the 1960s as apartheid more deeply penetrated daily life. Abrahams's *Mine Boy* (1946) dramatized the harsh world of the South African mines, but closed with an optimistic expectation of nonracial worker solidarity. In the mid-1950s, Abrahams's *A Wreath for Udomo* (1956) extolled revolutionary struggles. By the time of Alex La Guma's *A Walk in the Night* (1962), a deep despair had set in. La Guma's South Africa was an urban world of vagabonds, beggars, prostitutes, and delinquents. Even white South Africans could not escape the negative realities of apartheid. Nadine Gordimer's *July's People* (1981) captured the very real dependency of privileged white society upon impoverished black South Africa.

In this world of Europhone literature, the Kenyan writer Ngugi wa Thiong'o, who had produced major novels in English in the 1970s, made a **dramatic anti-neocolonial gesture** in the 1980s by writing in Kikuyu, his native language. Claiming that writing in Kikuyu reached a wider audience in Kenya than writing in English, Ngugi wrote both a play and a novel in Kikuyu. Literature in Swahili and in Hausa, for example, have deep precolonial roots. Particularly after independence, significant efforts have been made to produce phonetic alphabets for many African languages. A **considerable literature in African languages**—including newspapers, magazines, poetry, and school primers—now exists. Plays and local television shows are often produced in local languages as well as in the national European language. Aspiring novelists, however, will continue to grapple with the choice about the language in which they write and the audience they wish to address. In independent Africa, language has a politics of its own.

Independent Africans emerged into a world where **managed political economies** were favored and most initiated ambitious economic development programs designed to modernize their economies as rapidly as possible. Declining world commodity prices played havoc with these plans. Economic mismanagement and ill-advised international loans led to profound balance-of-payments problems. Even for oil-rich Nigeria, mismanagement, corruption, and overly ambitious and poorly designed economic and social development led to the squandering of national wealth. Through much of the West African Sahel, ecological crises in the late 1960s and early 1970s yielded a massive refugee problem, devastated the livestock economies, and added to the general economic woes of the new states.

Newly independent African states also proved remarkably prone to **political instability**. Between 1966 and 1970, waves of **military coups** and the emergence of one-party political systems firmly ended the early experiments in political democracy. Political

instability in Africa owed much to the legacy of the colonial period. Under colonial rule, Africans had few opportunities for training in democratic political processes; they had limited opportunities to pursue higher education; and few had well-developed commitments to the idea of a “nation.”

Other factors contributed to Africa's political and economic troubles. Many African politicians saw state institutions as a means for accumulation of personal wealth, which had been closed to most of them under colonial rule. It is not surprising, then, that the military emerged as the most stable “national” institution during this period. Military regimes are rarely noted for their commitment to democratic processes. 20

**The Nigerian Civil War** of 1967–70 (See [1967–70](#)) represented the **prominence of the military** in the independence period, the legacy of the ethnic politics of the colonial era, and the remarkable efforts to forge a new federal community in the aftermath of the war. 21  
Nigeria, the most populous country of sub-Saharan Africa, came to independence in 1960, administered by an awkward system of federal and regional governments. The three regional governments reflected the most important ethnic groups: the **Hausa** in the north, the **Yoruba** in the west, and the **Igbo** in the southeast. The system was unstable, and federal leadership weak and corrupt. In 1966, a coup instituted a military regime, which appeared to be dominated by Igbo officers. Another coup sought to balance the ethnic composition of the military regime and to divide the three regions into 12 states. These actions infuriated the Igbo of the eastern region, who began a movement for secession. The region's leader, Col. Chukwuemeka Odumegwu-Ojukwu, was motivated to secede by the presence of offshore oil reserves in the eastern region. The secessionists called their new state Biafra. When war broke out in May 1967, it pitted two factions of the best-trained military in Africa against each other.

The war lasted for two and a half years, perhaps longer than militarily justified because of the role of various competing international groups, including international aid charities, supporting one or the other side. 22  
By 1970, about 1 million Biafrans had died, and the Biafran secession was over. The reintegration of the Igbo back into the federal fold of Nigeria was the one shining success of this story. Although Nigeria survived this secession intact, its future as a unified country remains doubtful in the context of growing religious intolerance, persistent economic decline, and the military's refusal to yield to popular democratic sentiments.

**Civil wars and attendant ecological crises** stalked the continent in the decade of the 1980s and continue into the 1990s. 23  
Old enmities, fostered by colonial policies, were fueled by mendacious African rulers of independent states. Regional aspirations of neighboring countries and rival superpowers seeking narrowly conceived geopolitical advantages fed civil wars in Ethiopia, Uganda, Sudan, Somalia, Angola, Mozambique, Chad, Liberia, and the Western Sahara. Civil wars yielded both refugees and declining agricultural and livestock production, thus creating a huge need for international humanitarian assistance and contributing to the crisis of state power.

The 1980s and 1990s witnessed the sustained crisis of inadequate state institutions in Africa, most of which were inherited from the colonial era. Africans voraciously sought higher education, but universities in Africa were badly overcrowded and underfunded. Yet investment in human capital remains crucial for Africa's future.

24

Despite significant advances in public health since independence, **poverty and inequality** have been on the rise. Increased **public health** has contributed to long-term decline in African infant mortality rates. Contrary to widely accepted assumptions, African birthrates have not declined as rapidly as expected, thus contributing to severe food shortages and poverty. As African populations have increased, **inequalities between classes and between sexes have grown**. The gaps in income between urban and rural areas and between high-level government employees and successful entrepreneurs, and the mass of poorly educated, underemployed urban dwellers has increased over the past two decades. Especially in rural areas of Central and southern Africa where male migration is prevalent, women, children, and the elderly have borne the brunt of increased labor and declining standards of living. Women, who have had fewer educational and employment options than men, have been doubly burdened by having to support larger surviving families and increased labor obligations. In regions where **clitoridectomy** (female circumcision) is practiced, women have significantly increased medical problems.

25

To further complicate the current situation of poverty and inequality, an **epidemic of AIDS** swept through East and Central Africa. There was intense speculation concerning the origins of the virus, and much more research will be required before any definite conclusion can emerge. AIDS was identified in Africa only in the early 1980s, where it was commonly referred to as "slim" because of the general wasting away of the infected person. Spread largely by heterosexual intercourse, **AIDS has spread unevenly throughout the continent**, even in the most seriously affected regions. HIV-1 was concentrated in Central, eastern, and southern Africa; HIV-2 was limited to West Africa. It was largely an urban disease. In Lusaka, Zambia, one in four male and female adults had been infected by the 1990s. However, in certain rural areas, including the Rakai District of southwestern Uganda, even higher rates of infection have been documented. Unlike most other diseases on the continent, which affect mostly the very young or the very old, AIDS struck sexually active young and middle-aged adults. There is no doubt that AIDS will have a significant impact on the human capital of the continent. In the Rakai District, the epidemic left a large pool of orphaned children to the care of aged grandparents and eventually to the state. Although AIDS has been found in all socioeconomic groups, the AIDS infection rate among the Rwandan elite and middle class has been disproportionately high. Most African nations have mounted **energetic public health campaigns** to combat the spread of the infection. Nonetheless, the impact of AIDS on Africa will be felt for generations to come.

26

Despite this bleak situation, Africans have engaged in **exciting experiments in political**

27

**and economic liberalization.** The end of white minority rule in Namibia in 1990 and the transition to majority rule in South Africa held out great promise for equity and opportunity for all Africans. The end of the civil wars in Ethiopia (leading to the creation of the new state of Eritrea) and the promised end of civil wars in Mozambique and in Angola were hopeful signs that Africans might turn to political processes to resolve their grievances and that new investment might flow not to the military, but to economic and social development.

Despite the anemic world economy of the early 1990s, Africans engaged in shedding state-managed policies, and expensive state enterprises embarked on economic liberalization programs. The World Bank and the International Monetary Fund devised programs called “**structural adjustment**,” which promised long-term benefits but called for devastating cuts in social spending in the short term. A poor economic performer for the past two decades, Ghana emerged as an example of the economic benefits of such programs. On the other hand, studies of Africa's **informal economies** showed them to be robust, dynamic sectors. Urban areas, which had grown dramatically since independence, have been crucibles for new, informal, smaller-scale enterprises catering to local and regional demand. **These informal economies were often many times larger than the formal sectors.** Despite the problems caused by lack of services, urban areas also have been sites for experimentation in new forms of community, providing opportunities for changing economic, social, and political processes.

The final years of the 20th century saw additional gains for democracy in several regions, but also a proliferation of civil wars in a number of nations. Concerns about poverty and disease continued, particularly in the regions of the AIDS epidemic. United Nations efforts, often in combination with the **Organization for African Unity (OAU)**, persisted, with mixed results.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1941](#))

## 2. [Regions](#)

The following entries are organized by broad region until around 1960. After 1960, entries are organized country by country for each region. <sup>1</sup>

### a. [West Africa](#)

#### 1944

Toward the end of World War II, the Free French administration under Charles de Gaulle <sup>2</sup> agreed to implement a series of major reforms in its West African colonies. These reforms, announced at the **1944 conference at Brazzaville**, were largely designed to recognize African support for the Free French during World War II. **The accords granted Africans representation in the French National Assembly and outlined a program of economic, social, and legal reforms.** The French never intended the Brazzaville Accords to lead to colonial self-government; rather, the reforms were designed to strengthen the relationship between France and its West African colonies and to reward Africans for siding with the Free French.

#### 1945

**The Richards Constitution for Nigeria led to the development of political parties.** <sup>3</sup> Named after the current governor, the new constitution brought northern Nigeria into the central government, extended Nigerian representation in the legislative and executive councils, and established three subregions with their own representative bodies. African nationalists criticized the constitution because it had been imposed without their consultation and provided for only indirect elections. New African political groups began

to coalesce in the late 1940s, including the National Council of Nigeria and Cameroon, and the Northern People's Congress.

## 1946

**Election of African representation at the French constituent assembly** resulted from the Brazzaville Accords. The most important political reform resulting from the Brazzaville conference was the agreement that the colonies should be represented in the constituent assembly charged with drawing up the constitution of the French Fourth Republic. The first constituent assembly was held in April 1946, but the liberal reforms it proposed for the colonies went down to defeat. The second constituent assembly framed a new French constitution and placed the colonies within the framework of a unitary republic. Africans participated in both constituent assemblies. <sup>4</sup>

The enactment of the *première loi Lamine Gueye*, named after the first Senegalese deputy to the French National Assembly, offered French citizenship to all African subjects within the context of the Fourth Republic. In 1946, forced labor and the hated *indigénat*, a summary code of administrative justice exercised arbitrarily by colonial officials, were abolished. <sup>5</sup>

## March

**New constitution for the Gold Coast, which became the first British colony to have an African majority in its legislature.** <sup>6</sup>

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1942, Jan](#))

## b. [Northeast Africa \(Horn\)](#)

### 1941–52

**Restoration** and rebuilding of central powers of the Ethiopian Empire under **Haile Selassie**. The emperor continued to hold most power, but some bureaucratic reform occurred. Britain remained in control of the Horn outside Ethiopia. 1

### 1945

Senior civil servants in Sudan formed a moderate nationalist group, the **Umma Party**. 2

### 1946

Formation of the **nationalist, modernist Somali Youth League**. 3

### 1948

Umma dominated the national legislature established by British in Sudan; most members of this legislature came from **northern areas**. 4

### 1949, Nov

The UN placed **Somalia** in a ten-year trusteeship under Italy. 5

## 1950

**University College** was founded in Addis Ababa. In **British Somaliland**, clan leaders were made into “local authorities.” 6

## Dec

The UN placed **Eritrea** in federation with Ethiopia, with limited autonomy, under the Ethiopian Empire. 7

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1940](#))

### c. [East Africa](#)

#### 1944–49

**Britain created multiracial legislative councils** in Kenya (1944), Tanganyika and Uganda (1945), Northern Rhodesia (1948), and Nyasaland (1949). They had the opposite of their intended effect, spurring African nationalism as **Africans rejected the colonial concept of multiracialism**. 1

#### 1945–56

**Waves of strikes and urban protest** in East and Central Africa, including Mombassa, Dar, Zanzibar, Southern Rhodesia, and Copperbelt (1956). 2

#### 1946

**Jomo Kenyatta** returned to Kenya after an absence of 15 years. 3

#### 1947

**The Groundnut Scheme**, a colonial development project designed to introduce large-scale mechanized agriculture, began at Kingwa, Tanganyika. 4

**The Zanzibar Legislative Council** was reformed and included two Africans, two Indians, three Arabs, and one European. 5

## 1949–60

**Beginning of university education** in region. The pace of university construction was still too slow. **Makerere University** was founded in 1949. By 1960, many more Africans from the region were seeking higher education abroad. 6

## 1949

**The Groundnut Scheme** harvest proved to be very disappointing. Similar big development projects were being funded throughout the continent, but results were rarely positive. 7

**The Zanzibar Legislative Council** demanded elections as a step toward self-government. 8

## 1951

**The Matthew Commission** reported on constitutional developments in Tanganyika. A legislative council was proposed, to include seven African, seven Asian, and seven European members. 9

## 1952–59

**The Mau Mau rebellion** broke out on Sept. 11, 1952, and a state of emergency in Kenya was declared in 1953. Rebellion was sparked by discontent among the Kikuyu over land lost to Europeans and was heightened by general discontent over government regulation of peasant farming and urban nationalist aspirations. In 1953, **Jomo Kenyatta** and five others were convicted of “managing” the Mau Mau, but the conviction was overturned by the Kenya Supreme Court. Then the East African Court of Appeals upheld the conviction. Political associations were prohibited during the state of emergency. Thousands of Africans died in the rebellion and the British military campaign to crush it. 10

## 1953

**Julius Nyrere** was elected president of the **Tanganyika African Association**. 11

## 1954

**The Tanganyika African National Union (TANU)** was established and became a mass party representing urban and rural grievances. 12

**A state of emergency** was declared in Buganda. 13

## 1955

**The kabaka** (traditional ruler) of Buganda returned from abroad. 14

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [Dec](#))

#### d. West Central Africa

##### 1945–57

**Rapid economic growth** in Congo was especially stimulated by the mining of copper and other minerals. 1

##### 1948

**Colonato**, a form of state encouragement for “progressive” African farmers, was introduced in Angola. 2

##### 1949

**The University of Louvanium** was established by decree. The first students were admitted to only a preuniversity course in 1954. 3

##### 1949–50

Beginning of the Movement of Young Intellectuals in Angola, founded by Viriato da Cruz. This group proclaimed the importance of Angolan culture. 4

##### 1949–57

Belgium began to plan for gradual **decolonization** of Congo through ten-year plans for economic development, aided by the commodity boom. The first plan was introduced in 1949. The pace of reform, however, remained very slow, and was **overtaken by emerging nationalist movements**. 5

## 1950

**The Nationalist Alliance de Bakongo (ABAKO)** was founded. 6

Sixty percent of the doctors in the Cameroon were Africans. The Portuguese program of assimilating “Westernized” Africans into Portuguese citizenship proved a failure. Out of a population of 3 million, only 30,000 fit the Portuguese category of *assimilado*, which entitled them to escape the harsh labor and legal regime for Africans. 7

## 1951, Dec

**Municipal elections** were held in the Belgian Congo; **Joseph Kasavubu's ABAKO** won in Kinshasa. 8

## 1953

**The Kitawala Movement**, originally based on an Africanized version of the apocalyptic doctrine of the American Watch Tower movement, spread in the lower Congo. 9

## 1954

**A university was established** at Elisabethville. 10

## 1954–55

A wave of **strikes** broke out in Cameroon. 11

## 1955

## Oil was discovered near Luanda.

12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



(See [1935–39](#))

## e. [Southern Africa](#)

### 1. North of the Limpopo

#### 1945–60

Economic development led to **large-scale urbanization and wage labor** in Zambia and Rhodesia, leading to the development of a stable urban population of workers and families, accompanied by the rise of bureaucratic and professional elites. 1

#### 1947

**African trade unions** were first formed in Northern Rhodesia. 2

#### 1948

**Seretse Khama** married Ruth Williams in London, but the Ngwato people refused to accept him as their chief because of his marriage to an Englishwoman. 3

**Constitutional reforms** in Northern Rhodesia extended appointments on the legislative council to five years. 4

#### 1950

Out of a population of about 5 million, only **4,353** assimilados lived in Mozambique. 5

## 1950–56

Successful organization by Copperbelt miners in Northern Rhodesia (Zambia) led to a **wave of strikes** in 1956. 6

## 1951

**Six white members of the Southwest Africa House of Assembly** took seats in the South African Parliament. 7

## 1953

**Increased political activity in opposition** to the proposed federation of Central Africa between Nyasaland and the two Rhodesias. Rev. Michael Scott preached nonviolent opposition to the federation. 8

## 1954

**Rhodesian University College** was founded. 9

## 1955

**Africans were admitted to the legislative council** in Nyasaland. 10

## 1956

**A state of emergency** was declared in Northern Rhodesia, following miners' strikes. 11

**Pres. Craveiro Lopes of Portugal** visited Mozambique. Its administrative districts were reorganized. 12

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

(See [1935–39](#))

## f. [Madagascar](#)

### 1943–45

Wartime impositions, including conscription and forced labor, and the 1944 forced sale of the rice crop, led to **widespread discontent** with French rule. 1

### 1956

Several political parties emerged to campaign for independence. 2

### 1958, Aug

**Madagascar voted in favor of the de Gaulle proposal for autonomy within the French sphere.** 3

### 1960, June 26

**Full independence was gained under the leadership of Philibert Tsiranana and his Parti Social Démocrat (PSD).** 4

### 1971–74

A **revolt of Antandroy peasants** led to strikes and demonstrations, followed by the installation of a **military government under Gen. Gabriel Ramanatsoa**, who was initially popular with the Left. 5

### 1975, Feb

Ramanatsoa was forced from power after violent **anti-Merina riots against the political and ethnic elite and spreading popular revolt**; he was replaced by the Conseil Suprême Révolutionnaire (CSR) led by **Capt. Didier Ratsiraka**. The CSR pursued a radical Socialist line, including widespread nationalization of industry. These policies led to economic stagnation, loss of foreign investment, and food shortages. 6

### 1982

By this time Madagascar was heavily reliant on **aid from the Soviet bloc and China**, and was importing 350,000 metric tons of rice per year, which consumed 20 percent of the country's foreign exchange. **Pres. Ratsiraka** was returned to office in fraudulent elections, and the government signed a **structural adjustment** agreement with the International Monetary Fund (IMF). 7

### 1983–89

**Austerity measures** introduced by the IMF agreement led to a resumption of foreign aid and the return of market policies for agriculture. Incomes fell sharply. Poverty and banditry in the countryside led to rapid urbanization. 8

### 1987

**Drought** in the south resulted in **famine**, killing 47,500 and resulting in 200,000 refugees. 9

### 1993, Feb. 10

**Albert Zafy led the opposition to electoral victory** over Pres. Didier Ratsiraka in multiparty elections.

10

### 1999, April 19–23

An interisland conference was held in Madagascar with the Comoros and other surrounding islands in attendance.

11

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

---

## I. Roman Emperors

- 27 B.C.–14 C.E. Augustus (Gaius Julius Caesar Octavianus)
- 14–37 Tiberius (Tiberius Claudius Nero Caesar)
- 37–41 Caligula (Gaius Claudius Nero Caesar Germanicus)
- 41–54 Claudius (Tiberius Claudius Nero Caesar Drusus)
- 54–68 Nero (Lucius Domitius Ahenobarbus Claudius Drusus)
- 68–69 Galba (Servius Sulpicius Galba)
- 69 Otho (Marcus Salvius Otho)
- 69 Vitellius (Aulus Vitellius Germanicus)
- 69–79 Vespasian (Titus Flavius Vespasianus)
- 79–81 Titus (Titus Flavius Vespasianus)
- 81–96 Domitian (Titus Flavius Domitianus)
- 96–98 Nerva (Marcus Cocceius Nerva)
- 98–117 Trajan (Marcus Ulpius Nerva Traianus)
- 117–38 Hadrian (Publius Aelius Traianus Hadrianus)
- 138–61 Antoninus Pius (Titus Aurelius Fulvius Boionius Arrius Antoninus Pius)
- 161 (146)–80 Marcus Aurelius (Marcus Annius Aurelius Verus)
- 161–69 Lucius Aurelius Verus (Lucius Ceionius Commodus Verus)
- 180 (177)–92 Commodus (Lucius Aelius Marcus Aurelius Antoninus Commodus)
- 193 Pertinax (Publius Helvius Pertinax)
- 193 Didius Julian (Marcus Didius Salvius Julianus Severus)
- 193–211 Septimius Severus (Lucius Septimius Severus)
- 211 (198)–17 Caracalla (Marcus Aurelius Antoninus Bassianus Caracallus)
- 209–11 Geta (Publius Septimius Geta)

- 217–18 Macrinus (Marcus Opellius Severus Macrinus)
- 218–22 Elagabalus (Marcus Varius Avitus Bassianus Aurelius Antoninus Heliogabalus)
- 222–35 Alexander Severus (Marcus Alexianus Bassianus Aurelius Severus Alexander)
- 235–38 Maximin (Gaius Julius Verus Maximinus “Thrax”)
  - 238 Gordian I (Marcus Antonius Gordianus)
  - 238 Gordian II
  - 238 Pupienus (Marcus Clodius Pupienus Maximus)
  - 238 Balbinus (Decimus Caelius Balbinus)
- 238–44 Gordian III (Marcus Antonius Gordianus)
- 244–49 Philipp “Arabs” (Marcus Julius Philippus “Arabs”)
- 249–51 Decius (Gaius Messius Quintus Traianus Decius)
  - 251 Hostilian (Gaius Valens Hostilianus Messius Quintus)
- 251–53 Gallus (Gaius Vibius Trebonianus Gallus)
  - 253 Aemilian (Marcus Julius Aemilius Aemilianus)
- 253–59 Valerian (Gaius Publius Licinius Valerianus)
- 259 (253)–68 Gallienus (Publius Licinius Egnatius Gallienus)
  - 268–70 Claudius II (Marcus Aurelius Claudius Gothicus)
  - 270 Quintillus (Marcus Aurelius Claudius Quintillus)
- 270–75 Aurelian (Lucius Domitius Aurelianus)
- 275–76 Tacitus (Marcus Claudius Tacitus)
  - 276 Florian (Marcus Annus Florianus)
- 276–82 Probus (Marcus Aurelius Probus)
- 282–83 Carus (Marcus Aurelius Carus)
- 283–84 Numerian (Marcus Aurelius Numerius Numerianus)
- 283–85 Carinus (Marcus Aurelius Carinus)
- 284–305 Diocletian (Gaius Aurelius Valerius Diocles Jovius)
- 286–305 Maximian (Marcus Aurelius Valerius Maximianus Herculus)
  - 305 Constantius I (Flavius Valerius Constantius Chlorus)
- (293)–306



- 305  
(293)–311 Galerius (Gaius Galerius Valerius Maximianus)
- 306–7 Severus (Flavius Valerius Severus)
- 306–8 Maximian (second reign)
- 306–12 Maxentius (Marcus Aurelius Valerius Maxentius)
- 308–13 Maximinus Daia (Galerius Valerius Maximinus Daia)
- 311 (307)–24 Licinius (Gaius Flavius Valerius Licinianus Licinius)
- 311 (306)–37 Constantine I, the Great (Flavius Valerius Constantinus)
- 337–40 Constantine II (Flavius Valerius Claudius Constantinus)
- 337–61 Constantius II (Flavius Valerius Julius Constantius)
- 337–50 Constans (Flavius Valerius Julius Constans)
- 361–63 Julian, the Apostate (Flavius Claudius Julianus)
- 363–64 Jovian (Flavius Jovianus)
- 364–75 Valentinian I (Flavius Valentinianus, in the West)
- 364–78 Valens (in the East)
- 375 (367)–83 Gratian (Flavius Graatianus Augustus, in the West)
- 375–92 Valentinian II (Flavius Valentinianus, in the West)
- 379–95 Theodosius, the Great (Flavius Theodosius, in the East, and, after 392, in the West)
- 383–88 Maximus (Magnus Clemens Maximus)
- 392–94 Eugenius
- 395  
(383)–408 Arcadius (in the East)
- 395  
(393)–423 Honorius (Flavius Honorius, in the West)
- 421 Constantius III
- 423–25 Johannes
- 408 (402)–50 Theodosius II (in the East)
- 425–55 Valentinian III (Flavius Placidius Valentinianus, in the West)
- 450–57 Marcian (Marcianus, in the East)
- 455 Petronius (Flavius Ancius Petronius Maximus, in the West)
- 455–56 Avitus (Flavius Maecilius Eparchus Avitus, in the West)

- 457–61 Majorian (Julius Valerius Maiorianus, in the West)
- 457–74 Leo I (Leo Thrax, Magnus, in the East)
- 461–65 Severus (Libius Severianus Severus, in the West)
- 467–72 Anthemius (Procopius Anthemius, in the West)
  - 472 Olybrius (Anicius Olybrius, in the West)
  - 473 Glycerius (in the West)
- 473–75 Julius Nepos (in the West)
- 473–74 Leo II (in the East)
- 474–91 Zeno (in the East)
- 475–76 Romulus Augustulus (Flavius Momyllus Romulus Augustus, in the West)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[NEXT](#)

---

## II. Byzantine Emperors

474–91 Zeno

475–76 Basiliscus

491–518 Anastasius I

518–27 Justin I (Flavius Justinus)

527 (518)–65 Justinian the Great (Flavius Justinianus)

565–78 Justin II (Flavius Justinus)

578 (574)–82 Tiberius II (Flavius Constantinus Tiberius)

582–602 Maurice (Maurikios)

602–10 Phocas I

610–41 Heraclius I

641 Constantine III (Constantinus)

641 Heracleon (Heracleonas)

641–68 Constans II

668–85 Constantine IV (Pogonatus)

685–95 Justinian II (Rhinotmetus)

695–98 Leontius

698–705 Tiberius II (Apsimar)

705–11 Justinian II (restored)

711–13 Philippicus

713–15 Anastasius II

715–17 Theodosius III

717–41 Leo III (the Isaurican)

741–75 Constantine V (Kopronymos)

775–80 Leo IV

780–97 Constantine VI (Porphyrogenetos)  
797–802 Irene (empress)  
802–11 Nicephorus I  
    811 Stauracius (Staurakios)  
811–13 Michael I (Rhangabé)  
813–20 Leo V (the Armenian)  
820–29 Michael II (Balbus)  
829 (820)–42 Theophilus I  
    842–67 Michael III  
867 (866)–86 Basil I (the Macedonian)  
886–912 Leo VI (the Wise)  
    912–13 Alexander II  
    912–59 Constantine VII (Porphyrogenetos)  
    920–44 Romanus I (Lekapenus)  
    959–63 Romanus II  
963 (976)–1025 Basil II (Bulgaroktonos)  
    963–69 Nicephorus II (Phocas)  
    969–76 John I (Tzimiskes)  
1025 (976)–28 Constantine VIII  
    1028–50 Zoë (empress)  
    1028–34 Romanus III (Argyropulos)  
    1034–41 Michael IV (the Paphlagonian)  
    1041–42 Michael V (Kalaphates)  
    1042–55 Constantine IX (Monomachus)  
    1055–56 Theodora (empress)  
    1056–57 Michael VI (Stratioticos)  
    1057–59 Isaac I (Komnenos)  
    1059–67 Constantine X (Dukas)  
    1068–71 Romanus IV (Diogenes)  
    1071–78 Michael VII (Parapinakes)  
    1078–81 Nicephorus III (Botaniates)

1081–1118 Alexius I (Comnenus)  
1118–43 John II (Comnenus)  
1143–80 Manuel I (Comnenus)  
1180–83 Alexius II (Comnenus)  
1183–85 Andronicus I (Comnenus)  
1185–95 Isaac II (Angelus)  
1195–1203 Alexius III (Angelus)  
1203–4 Isaac II (restored)  
1203–4 Alexius IV  
1204 Alexius V (Dukas)

#### Latin Emperors

1204–5 Baldwin I  
1205–16 Henry  
1216–17 Peter of Courtenay  
1217–19 Yolande  
1219–28 Robert of Courtenay  
1228–61 Baldwin II  
1231–37 John of Brienne (co-emperor)

#### Nicaean Emperors

1204–22 Theodore I (Lascaris)  
1222–54 John III (Dukas Vatatzes)  
1254–58 Theodore II (Lascaris)  
1258–61 John IV (Lascaris)  
1259–61 (1282) Michael VIII (Paleologos)

#### The Paleologi

1261 (1259)–82 Michael VIII  
1282–1328 Andronicus II (the Elder)  
1295–1320 Michael IX (co-emperor)  
1328–41 Andronicus III (the Younger)  
1341–47 John V (Paleologos)

1347 (1341)–54 John VI (Kantakuzenos)

1355–76 John V (restored)

1376–79 Andronicus IV

1379–91 John V (restored)

1390 John VII

1391–1425 Manuel II

1425–48 John VIII

1448–53 Constantine XI

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

### **III. Caliphs, to 1256**

622 (570)–32 MUHAMMAD IBN ABDALLAH

#### The Orthodox Caliphate

632–34 Abu Bakr

634–44 Umar ibn al-Khattab

644–56 Uthman ibn Affan

656–61 Ali ibn Abi Talib

#### The Umayyad Caliphate

661–80 Mu'awiya I (Mu'awiya ibn Abi Sufyan)

680–82 Yazid I

683 Mu'awiya II

684–85 Marwan I

685–705 Abd al-Malik

705–15 Walid I

715–17 Sulaiman

717–20 Umar ibn Abdul-Aziz

720–24 Yazid II

724–43 Hisham

743–44 Walid II

744 Yazid III

744 Ibrahim

744–50 Marwan II

#### The Abbasid Caliphate

750–54 Abu al Abbas al-Saffah

754–75 Al-Mansur  
775–85 Al-Mahdi  
785–86 Al-Hadi  
786–809 Harun Al-Rashid  
809–13 Al-Amin  
813–33 Al-Ma'mun (Mamun the Great)  
833–42 Al-Mu'tasim  
842–47 Al-Wathiq  
847–61 Al-Mutawakkil  
861–62 Al-Muntasir  
862–66 Al-Musta'in  
866–69 Al-Mu'tazz  
869–70 Al-Muqtadi  
870–92 Al-Mu'tamid  
892–902 Al-Mu'tadid  
902–8 Al-Muqtafi  
908–32 Al-Muqtadir  
932–34 Al-Qahir  
934–40 Al-Radi  
940–44 Al-Muttaqi  
944–46 Al-Mustaqfi  
946–74 Al-Muti  
974–91 Al-Ta'i  
991–1031 Al-Qadir  
1031–75 Al-Qa'im  
1075–94 Al-Muqtadi  
1094–1118 Al-Mustazhir  
1118–35 Al-Mustarshid  
1135–36 Al-Rashid  
1136–60 Al-Muqtafi  
1160–70 Al-Mustanjid



1170–80 Al-Mustadi  
1180–1225 Al-Nasir  
1225–26 Al-Zahir  
1226–42 Al-Mustansir  
1242–56 Al-Musta'sim

#### The Umayyad Caliphate of Córdoba

756–88 Abd ar-Rahman I  
788–96 Hisham I  
796–822 Al-Hakam I  
822–52 Abd ar-Rahman II  
852–86 Muhammad I  
886–88 Al Mundhir  
888–912 Abdallah  
912–61 Abd ar-Rahman III  
961–76 Al-Hakam II al Mustansir  
976–1009 Hisham II al Muayyad  
1009–10 Muhammad II al-Mahdi  
1009–10 Sulaiman al-Mustain  
1010–13 Hisham II (restored)  
1013–16 Sulaiman (restored)  
1016–18 Ali ben Hammud  
1018 Abd ar-Rahman IV  
1018–21 Al-Qasim  
1021–22 Yahya  
1022–23 Al-Qasim (restored)  
1023–24 Abd ar-Rahman V  
1024–25 Muhammad III  
1025–27 Yahya (restored)  
1027–31 Hisham III

#### The Fatimid Caliphate of Egypt

909–34 Al-Mahdi  
934–45 Al-Qaim  
945–52 Al-Mansur  
952–75 Al-Muizz  
975–96 Al-Aziz  
996–1021 Al-Hakim  
1021–36 Az-Zahir  
1036–94 Al-Mustansir  
1094–1101 Al-Mustadi  
1101–30 Al-Amir  
1130–49 Al-Hafiz  
1149–54 Az-Zafir  
1154–60 Al-Faiz  
1160–71 Al-Adid

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## IV. Roman Popes

- 33–?67 \*Peter
- ?67–?76 \*Linus
- ?76–?88 \*Anacletus I
- ?88–?97 \*Clement I
- ?97–?105 \*Evaristus
- ?105–?115 \*Alexander I
- ?115–?125 \*Sixtus I
- ?125–?136 \*Telesphorus
- ?136–?140 \*Hyginus
- ?140–?155 \*Pius I
- ?155–?166 \*Anicetus
- ?166–?175 \*Soter
- ?175–89 \*Eleuterus
- 189–99 \*Victor I
- 199–217 \*Zephyrinus
- 217–22 \*Calixtus I
- 222–30 \*Urban I
- 222–35 *Hippolytus*
- 230–35 \*Pontian
- 235–36 \*Anterus
- 236–50 \*Fabian
- 250–51 (Vacancy)
- 251–53 \*Cornelius
- 251–?58 *Novatian*

253–54 \*Lucius I  
254–57 \*Stephen I  
257–58 \*Sixtus II  
258–60 (Vacancy)  
260–68 \*Dionysius  
269–74 \*Felix I  
275–83 \*Eutychian  
283–96 \*Caius  
296–304 \*Marcellinus  
    304–8 (Vacancy)  
    308–9 \*Marcellus I  
309–10 \*Eusebius  
311–14 \*Miltiades  
314–35 \*Sylvester I  
335–36 \*Marcus  
337–52 \*Julius I  
352–66 \*Liberius  
353–65 *Felix II*  
366–83 Damasus I  
366–67 *Ursinus*  
384–99 \*Siricius  
399–401 \*Anastasius I  
    401–17 \*Innocent I  
    417–18 \*Zosimus  
    418–22 \*Boniface I  
    418–19 *Eulalius*  
422–32 \*Celestine I  
432–40 \*Sixtus III  
440–61 \*Leo I  
461–68 \*Hilarius  
468–83 \*Simplicius

483–92 \*Felix III  
492–96 \*Gelasius I  
496–98 \*Anastasius II  
498–514 \*Symmachus  
498–505 *Laurentius*  
514–23 \*Hormisdas  
523–26 \*John I  
526–30 \*Felix IV  
530–32 Boniface II  
    530 *Dioscurus*  
533–35 John II  
535–36 \*Agapetus I  
536–37 \*Silverius  
537–55 Vigilius  
556–61 Pelagius I  
561–74 John III  
575–79 Benedict I  
579–90 Pelagius II  
590–604 \*Gregory I  
    604–6 Sabinian  
    607 Boniface III  
608–15 \*Boniface IV  
615–18 \*Deusdedit  
619–25 Boniface V  
625–38 Honorius I  
638–40 (Vacancy)  
    640 Severinus  
640–42 John IV  
642–49 Theodore I  
649–55 \*Martin I  
655–57 \*Eugene I

657–72 \*Vitalian  
672–76 Adeodatus  
676–78 Donus  
678–81 \*Agatho  
681–83 \*Leo II  
684–85 \*Benedict II  
685–86 John V  
686–87 Conon  
    687 *Theodore II*  
687–92 *Paschal I*  
687–701 \*Sergius I  
    701–5 John VI  
    705–7 John VII  
    708 Sisinnius  
708–15 Constantine  
715–31 \*Gregory II  
731–41 \*Gregory III  
741–52 \*Zacharias  
752–57 Stephen II  
757–67 \*Paul I  
    767 *Constantine*  
    767 *Philip*  
767–72 Stephen III  
772–95 Adrian I  
795–816 \*Leo III  
816–17 Stephen IV  
817–24 Paschal I  
824–27 Eugene II  
    827 Valentine  
827–44 Gregory IV  
    844 *John VIII*

844–47 Sergius II  
847–55 \*Leo IV  
855–58 Benedict III  
    855 *Anastasius III*  
858–67 \*Nicholas I  
867–72 Adrian II  
872–82 John VIII  
882–84 Marinus I  
884–85 Adrian III  
885–91 Stephen V  
891–96 Formosus  
    896 Boniface VI  
896–97 Stephen VI  
    897 Romanus  
    897 Theodore II  
898–900 John IX  
900–903 Benedict IV  
    903 Leo V  
    903–4 Christopher  
904–11 Sergius III  
911–13 Anastasius III  
913–14 Lando  
914–28 John X  
928–29 Leo VI  
929–31 Stephen VII  
931–35 John XI  
936–39 Leo VII  
939–42 Stephen IX (VIII)  
942–46 Marinus II  
946–55 Agapetus II  
955–63 John XII

963–64 Leo VIII  
    964 Benedict V  
965–72 John XIII  
973–74 Benedict VI  
974–83 Benedict VII  
983–84 John XIV  
984–85 Boniface VII  
985–96 John XV  
996–99 Gregory V  
    996–98 *John XVI*  
999–1003 Sylvester II  
    1003 John XVII  
    1003–9 John XVIII  
1009–12 Sergius IV  
1012–24 Benedict VIII  
    1012 *Gregory VI*  
1024–33 John XIX  
1033–45 Benedict IX  
    1045 Sylvester III  
1045–46 Gregory VI (John Gratian Pierleoni)  
1046–47 Clement II (Suitgar, Count of Morsleben)  
    1048 Damasus II (Count Poppo)  
1049–54 \*Leo IX (Bruno, Count of Toul)  
1055–57 Victor II (Gebhard, Count of Hirschberg)  
1057–58 Stephen IX (Frederick of Lorraine)  
    1058 Benedict X (John, Count of Tusculum)  
1058–61 Nicholas II (Gerhard of Burgundy)  
1061–73 Alexander II (Anselmo da Baggio)  
    1061–64 *Honorius II*  
1073–85 \*Gregory VII (Hildebrand of Soana)  
1080–1100 *Clement III*



1086–87 Victor III (Desiderius, Prince of Beneventum)  
1088–99 Urban II (Odo of Chatillon)  
1099–1118 Paschal II (Ranieri da Bieda)  
*1100–1102 Theodoric*  
    *1102 Albert*  
    *1105 Sylvester IV*  
1118–19 Gelasius II (John Coniolo)  
*1118–21 Gregory VIII*  
1119–24 Calixtus II (Guido, Count of Burgundy)  
1124–30 Honorius II (Lamberto dei Fagnani)  
    *1124 Celestine II*  
1130–43 Innocent II (Gregorio Papareschi)  
*1130–38 Anacletus II (Cardinal Pierleone)*  
    *1138 Victor IV*  
1143–44 Celestine II (Guido di Castello)  
1144–45 Lucius II (Gherardo Caccianemici)  
1145–53 Eugene III (Bernardo Paganelli)  
1153–54 Anastasius IV (Corrado della Subarra)  
1154–59 Adrian IV (Nicholas Breakspear)  
1159–81 Alexander III (Orlando Bandinelli)  
*1159–64 Victor IV*  
*1164–68 Paschal III*  
*1168–78 Calixtus III*  
*1179–80 Innocent III (Lando da Sessa)*  
1181–85 Lucius III (Ubaldo Allucingoli)  
1185–87 Urban III (Uberto Crivelli)  
    1187 Gregory VIII (Alberto del Morra)  
1187–91 Clement III (Paolo Scolari)  
1191–98 Celestine III (Giacinto Boboni-Orsini)  
1198–1216 Innocent III (Lotario de' Conti di Segni)  
1216–27 Honorius III (Cencio Savelli)

- 1227–41 Gregory IX (Ugolino di Segni)  
    1241 Celestine IV (Goffredo Castiglione)  
1243–54 Innocent IV (Sinibaldo de' Fieschi)  
1254–61 Alexander IV (Rinaldo di Segni)  
1261–64 Urban IV (Jacques Pantaléon)  
1265–68 Clement IV (Guy le Gros Foulques)  
1268–71 (Vacancy)  
1271–76 \*Gregory X (Tebaldo Visconti)  
    1276 Innocent V (Pierre de Champagni)  
    1276 Adrian V (Ottobono Fieschi)  
1276–77 John XXI (Pietro Rebuli-Giuliani)  
1277–80 Nicholas III (Giovanni Gaetano Orsini)  
1281–85 Martin IV (Simon Mompitie)  
1285–87 Honorius IV (Giacomo Savelli)  
1288–92 Nicholas IV (Girolamo Masci)  
    1294 \*Celestine V (Pietro Angelari da Murrone)  
1294–1303 Boniface VIII (Benedetto Gaetani)  
    1303–4 Benedict XI (Niccolò Boccasini)  
1305–14 Clement V (Raimond Bertrand de Got)  
1316–34 John XXII (Jacques Duèze)  
*1328–30 Nicholas V (Pietro di Corbara)*  
1334–42 Benedict XII (Jacques Fournier)  
1342–52 Clement VI (Pierre Roger de Beaufort)  
1352–62 Innocent VI (Étienne Aubert)  
1362–70 Urban V (Guillaume de Grimord)  
1370–78 Gregory XI (Pierre Roger de Beaufort, the Younger)  
1378–89 Urban VI (Bartolomeo Prignano)  
*1378–94 Clement VII (Robert of Geneva)*  
1389–1404 Boniface IX (Pietro Tomacelli)  
*1394–1423 Benedict XIII (Pedro de Luna)*  
    1404–6 Innocent VII (Cosmato de' Migliorati)

1406–15 Gregory XII (Angelo Correr)  
*1409–10 Alexander V (Petros Philargi)*  
*1410–15 John XXIII (Baldassare Cossa)*  
1415–17 (Vacancy)  
1417–31 Martin V (Ottone Colonna)  
*1423–29 Clement VIII*  
    *1424 Benedict XIV*  
1431–47 Eugene IV (Gabriele Condulmer)  
*1439–49 Felix V (Amadeus of Savoy)*  
1447–55 Nicholas V (Tommaso Parentucelli)  
1455–58 Calixtus III (Alonso Borgia)  
1458–64 Pius II (Aeneas Silvio de' Piccolomini)  
1464–71 Paul II (Pietro Barbo)  
1471–84 Sixtus IV (Francesco della Rovere)  
1484–92 Innocent VIII (Giovanni Battista Cibo)  
1492–1503 Alexander VI (Rodrigo Lanzol y Borgia)  
    1503 Pius III (Francesco Todeschini-Piccolomini)  
1503–13 Julius II (Giuliano della Rovere)  
1513–21 Leo X (Giovanni de' Medici)  
1522–23 Adrian VI (Hadrian Florensz)  
1523–34 Clement VII (Giulio de' Medici)  
1534–49 Paul III (Alessandro Farnese)  
1550–55 Julius III (Giovanni Maria Ciocchi del Monte)  
    1555 Marcellus II (Marcello Cervini)  
1555–59 Paul IV (Gian Pietro Caraffa)  
1559–65 Pius IV (Giovanni Angelo de' Medici)  
1566–72 \*Pius V (Antonio Michele Ghislieri)  
1572–85 Gregory XIII (Ugo Buoncompagni)  
1585–90 Sixtus V (Felice Peretti)  
    1590 Urban VII (Giambattista Castagna)  
1590–91 Gregory XIV (Niccolò Sfondrati)

- 1591 Innocent IX (Gian Antonio Facchinetti)
- 1592–1605 Clement VIII (Ippolito Aldobrandini)
- 1605 Leo XI (Alessandro de' Medici-Ottaiano)
- 1605–21 Paul V (Camillo Borghese)
- 1621–23 Gregory XV (Alessandro Ludovisi)
- 1623–44 Urban VIII (Maffeo Barberini)
- 1644–55 Innocent X (Giambattista Pamfili)
- 1655–67 Alexander VII (Fabio Chigi)
- 1667–69 Clement IX (Giulio Rospigliosi)
- 1670–76 Clement X (Emilio Altieri)
- 1676–89 Innocent XI (Benedetto Odescalchi)
- 1689–91 Alexander VIII (Pietro Ottoboni)
- 1691–1700 Innocent XII (Antonio Pignatelli)
- 1700–21 Clement XI (Gian Francesco Albani)
- 1721–24 Innocent XIII (Michelangelo dei Conti)
- 1724–30 Benedict XIII (Pietro Francesco Orsini)
- 1730–40 Clement XII (Lorenzo Corsini)
- 1740–58 Benedict XIV (Prospero Lambertini)
- 1758–69 Clement XIII (Carlo Rezzonico)
- 1769–74 Clement XIV (Lorenzo Ganganelli)
- 1775–99 Pius VI (Gianangelo Braschi)
- 1800–1823 Pius VII (Barnaba Chiaramonti)
- 1823–29 Leo XII (Annibale della Genga)
- 1829–30 Pius VIII (Francesco Saverio Gastiglioni)
- 1831–46 Gregory XVI (Bartolomeo Alberto Cappellari)
- 1846–78 Pius IX (Giovanni Mastai-Ferretti)
- 1878–1903 Leo XIII (Giacchino Pecci)
- 1903–14 Pius X (Giuseppe Sarto)
- 1914–22 Benedict XV (Giacomo della Chiesa)
- 1922–39 Pius XI (Achille Ratti)
- 1939–58 Pius XII (Eugenio Pacelli)

1958–63 John XXIII (Angelo Roncalli)

1963–78 Paul VI (Giovanni Battista Montini)

1978– John Paul II (Karol Jozef Wojtyla)

\* Names marked with an asterisk indicate popes sainted by the Church. Names in italics are those of anti-popes.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## V. Presidents of the United States

George Washington, 1789–97

John Adams, 1797–1801

Thomas Jefferson, 1801–9

James Madison, 1809–17

James Monroe, 1817–25

John Quincy Adams, 1825–29

Andrew Jackson, 1829–37

Martin Van Buren, 1837–41

William Henry Harrison, 1841

John Tyler, 1841–45

James Knox Polk, 1845–49

Zachary Taylor, 1849–50

Millard Fillmore, 1850–53

Franklin Pierce, 1853–57

James Buchanan, 1857–61

Abraham Lincoln, 1861–65

Andrew Johnson, 1865–69

Ulysses Simpson Grant, 1869–77

Rutherford Birchard Hayes, 1877–81

James Abram Garfield, 1881

Chester Alan Arthur, 1881–85

Grover Cleveland, 1885–89

Benjamin Harrison, 1889–93

Grover Cleveland, 1893–97

William McKinley, 1897–1901  
Theodore Roosevelt, 1901–9  
William Howard Taft, 1909–13  
Woodrow Wilson, 1913–21  
Warren Gamaliel Harding, 1921–23  
Calvin Coolidge, 1923–29  
Herbert Clark Hoover, 1929–33  
Franklin Delano Roosevelt, 1933–45  
Harry S. Truman, 1945–53  
Dwight D. Eisenhower, 1953–61  
John F. Kennedy, 1961–63  
Lyndon B. Johnson, 1963–69  
Richard M. Nixon, 1969–74  
Gerald Ford, 1974–77  
Jimmy Carter, 1977–81  
Ronald Reagan, 1981–89  
George Bush, 1989–93  
Bill Clinton, 1993–2001  
George W. Bush, Jr., 2001–

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---


## **VI. Members of the United Nations in Order of Admission**

1.	Argentina	24 Oct. 1945
2.	Brazil	24 Oct. 1945
3.	Belarus (Byelorussia)	24 Oct. 1945
4.	Chile	24 Oct. 1945
5.	China (Nationalist)	24 Oct. 1945
6.	Cuba	24 Oct. 1945
7.	Denmark	24 Oct. 1945
8.	Dominican Republic	24 Oct. 1945
9.	El Salvador	24 Oct. 1945
10.	France	24 Oct. 1945
11.	Haiti	24 Oct. 1945
12.	Iran	24 Oct. 1945
13.	Lebanon	24 Oct. 1945
14.	Luxembourg	24 Oct. 1945
15.	New Zealand	24 Oct. 1945
16.	Nicaragua	24 Oct. 1945
17.	Paraguay	24 Oct. 1945
18.	Philippines	24 Oct. 1945
19.	Poland	24 Oct. 1945
20.	Saudi Arabia	24 Oct. 1945
21.	Syria (Syrian Arab Republic)*	24 Oct. 1945
22.	Turkey	24 Oct. 1945
23.	Ukraine	24 Oct. 1945
24.	Russian Federation (U.S.S.R.)	24 Oct. 1945



25.	Arab Republic of Egypt (United Arab Republic)*	24 Oct. 1945
26.	United Kingdom	24 Oct. 1945
27.	United States	24 Oct. 1945
28.	Greece	25 Oct. 1945
29.	India	30 Oct. 1945
30.	Peru	31 Oct. 1945
31.	Australia	1 Nov. 1945
32.	Costa Rica	2 Nov. 1945
33.	Liberia	2 Nov. 1945
34.	Colombia	5 Nov. 1945
35.	Mexico	7 Nov. 1945
36.	South Africa	7 Nov. 1945
37.	Canada	9 Nov. 1945
38.	Ethiopia	13 Nov. 1945
39.	Panama	13 Nov. 1945
40.	Bolivia	14 Nov. 1945
41.	Venezuela	15 Nov. 1945
42.	Guatemala	21 Nov. 1945
43.	Norway	27 Nov. 1945
44.	Netherlands	10 Dec. 1945
45.	Honduras	17 Dec. 1945
46.	Uruguay	18 Dec. 1945
47.	Ecuador	21 Dec. 1945
48.	Iraq	21 Dec. 1945
49.	Belgium	27 Dec. 1945
50.	Afghanistan	19 Nov. 1946
51.	Iceland	19 Nov. 1946
52.	Sweden	19 Nov. 1946
53.	Thailand	16 Dec. 1946
54.	Pakistan	30 Sep. 1947

55.	Yemen 	30 Sep. 1947
56.	Myanmar (Burma)	19 Apr. 1948
57.	Israel	11 May 1949
58.	Indonesia	28 Sep. 1950
59.	Albania	14 Dec. 1955
60.	Austria	14 Dec. 1955
61.	Bulgaria	14 Dec. 1955
62.	Cambodia	14 Dec. 1955
63.	Sri Lanka (Ceylon)	14 Dec. 1955
64.	Finland	14 Dec. 1955
65.	Hungary	14 Dec. 1955
66.	Ireland	14 Dec. 1955
67.	Italy	14 Dec. 1955
68.	Jordan	14 Dec. 1955
69.	Laos (Lao People's Democratic Republic)	14 Dec. 1955
70.	Libya (Libyan Arab Jamahiriya)	14 Dec. 1955
71.	Nepal	14 Dec. 1955
72.	Portugal	14 Dec. 1955
73.	Romania	14 Dec. 1955
74.	Spain	14 Dec. 1955
75.	Morocco	12 Nov. 1956
76.	Sudan	12 Nov. 1956
77.	Tunisia	12 Nov. 1956
78.	Japan	18 Dec. 1956
79.	Ghana	8 Mar. 1957
80.	Malaysia (Federation of Malaya)	17 Sep. 1957
81.	Guinea	12 Dec. 1958
82.	Cameroon	20 Sep. 1960
83.	Central African Republic	20 Sep. 1960
84.	Chad	20 Sep. 1960

85.	Congo (capital: Brazzaville)	20 Sep. 1960
86.	Democratic Republic of the Congo	20 Sep. 1960
87.	Cyprus	20 Sep. 1960
88.	Benin (Dahomey)	20 Sep. 1960
89.	Gabon	20 Sep. 1960
90.	Ivory Coast (Côte d'Ivoire)	20 Sep. 1960
91.	Republic of Madagascar (Malagasy Republic)	20 Sep. 1960
92.	Niger	20 Sep. 1960
93.	Somalia	20 Sep. 1960
94.	Togo	20 Sep. 1960
95.	Burkina Faso (Upper Volta)	20 Sep. 1960
96.	Mali	28 Sep. 1960
97.	Senegal	28 Sep. 1960
98.	Nigeria	7 Oct. 1960
99.	Sierra Leone	27 Sep. 1961
100.	Mauritania	27 Oct. 1961
101.	Mongolia	27 Oct. 1961
102.	United Republic of Tanzania (Tanganyika)	14 Dec. 1961
103.	Burundi	18 Sep. 1962
104.	Jamaica	18 Sep. 1962
105.	Rwanda	18 Sep. 1962
106.	Trinidad and Tobago	18 Sep. 1962
107.	Algeria	8 Oct. 1962
108.	Uganda	25 Oct. 1962
109.	Kuwait	14 May 1963
110.	Kenya	16 Dec. 1963
111.	Zanzibar 	16 Dec. 1963
112.	Malawi	1 Dec. 1964
113.	Malta	1 Dec. 1964
114.	Zambia	1 Dec. 1964

115.	Gambia	21 Sep. 1965
116.	Maldives	21 Sep. 1965
117.	Singapore	21 Sep. 1965
118.	Guyana	20 Sep. 1966
119.	Botswana	17 Oct. 1966
120.	Lesotho	17 Oct. 1966
121.	Barbados	9 Dec. 1966
122.	Democratic Yemen 	14 Dec. 1967
123.	Mauritius	24 Apr. 1968
124.	Swaziland	24 Sep. 1968
125.	Equatorial Guinea	12 Nov. 1968
126.	Fiji	13 Oct. 1970
127.	Bahrain	21 Sep. 1971
128.	Bhutan	21 Sep. 1971
129.	Qatar	21 Sep. 1971
130.	Oman	7 Oct. 1971
131.	United Arab Emirates	9 Dec. 1971
132.	Bahamas	18 Sep. 1973
133.	Germany (Federal Republic of Germany and German Democratic Republic)	18 Sep. 1973
134.	Bangladesh	17 Sep. 1974
135.	Grenada	17 Sep. 1974
136.	Guinea Bissau	17 Sep. 1974
137.	Cape Verde	16 Sep. 1975
138.	Mozambique	16 Sep. 1975
139.	Sao Tome and Principe	16 Sep. 1975
140.	Papua New Guinea	10 Oct. 1975
141.	Comoros	12 Nov. 1975
142.	Suriname	4 Dec. 1975
143.	Seychelles	21 Sep. 1976

144.	Angola	1 Dec. 1976
145.	Samoa	15 Dec. 1976
146.	Viet Nam	20 Sep. 1977
147.	Djibouti	29 Sep. 1977
148.	Solomon Islands	19 Sep. 1978
149.	Dominica	18 Dec. 1978
150.	Saint Lucia	18 Sep. 1979
151.	Zimbabwe	25 Aug. 1980
152.	Saint Vincent and the Grenadines	16 Sep. 1980
153.	Vanuatu	15 Sep. 1981
154.	Belize	25 Sep. 1981
155.	Antigua and Barbuda	11 Nov. 1981
156.	Saint Kitts and Nevis	23 Sep. 1983
157.	Brunei Darussalam	21 Sep. 1984
158.	Namibia	23 Apr. 1990
159.	Liechtenstein	18 Sep. 1990
160.	Democratic People's Republic of Korea	17 Sep. 1991
161.	Estonia	17 Sep. 1991
162.	Latvia	17 Sep. 1991
163.	Lithuania	17 Sep. 1991
164.	Marshall Islands	17 Sep. 1991
165.	Micronesia (Federated States of)	17 Sep. 1991
166.	Republic of Korea	17 Sep. 1991
167.	Armenia	2 Mar. 1992
168.	Kazakhstan	2 Mar. 1992
169.	Kyrgyzstan	2 Mar. 1992
170.	Republic of Moldova	2 Mar. 1992
171.	San Marino	2 Mar. 1992
172.	Tajikistan	2 Mar. 1992
173.	Turkmenistan	2 Mar. 1992
174.	Uzbekistan	2 Mar. 1992

175.	Azerbaijan	9 Mar. 1992
176.	Bosnia and Herzegovina**	22 May 1992
177.	Croatia**	22 May 1992
178.	Slovenia**	22 May 1992
179.	Georgia	31 Jul. 1992
180.	Czech Republic§	19 Jan. 1993
181.	Slovak Republic§	19 Jan. 1993
182.	The Former Yugoslav Republic of Macedonia**	8 Apr. 1993
183.	Eritrea	28 May 1993
184.	Monaco	28 May 1993
185.	Andorra	28 Jul. 1993
186.	Palau	15 Dec. 1994
187.	Kiribati	14 Sep. 1999
188.	Nauru	14 Sep. 1999
189.	Tonga	14 Sep. 1999
190.	Tuvalu	5 Sep. 2000
191.	Yugoslavia**	1 Nov. 2000

\* Egypt and Syria were original members of the United Nations. In 1958, a union of the two countries established the United Arab Republic. On October 3, 1961, Syria resumed its status as an independent state. On September 2, 1971, the United Arab Republic became the Arab Republic of Egypt.



Democratic Yemen and Yemen merged on May 22, 1990.



Zanzibar's seat was given up on May 13, 1964, following the union of Zanzibar with Tanzania.

\*\* The Socialist Federal Republic of Yugoslavia was admitted to the United Nations on October 19, 1945. Between 1991 and 1992, the republic split into the following countries, which were admitted to the United Nations as new members: Bosnia, Herzegovina, the Republic of Croatia, the Republic of Slovenia, the Former Yugoslav Republic of Macedonia, and the Federal Republic of Yugoslavia.

§ Czechoslovakia was admitted to the United Nations on October 24, 1945. In 1992, Czechoslovakia split into the Czech Republic and the Slovak Republic.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

---

## Subject Index

- Aachen  
Addled Parliament, England  
Akmola  
Allersheim, battle of  
Andrés Rodríguez, Paraguayan leader  
Arabian Sea  
Ashida Hitoshi, Japanese leader  
Azeris  
Banqueting Hall, Whitehall  
Bayle, Pierre, French historian  
Béziers  
Bonapartists, France  
British North America  
  
Cabrera, Manuel Estrada, Guatemalan leader  
Carlos I, king of Portugal  
Chaillu, Paul du, explorer  
Childe, Vere Gordon, archaeologist  
Clement VIII, pope  
  
Confédération Générale du Travail, CGT  
Cotton Control Act, U.S.  
Dalin, Olof, writer  
demographics, demography  
Dorchester, England  
Eckardt, Tibor, Hungarian leader
- to Addis Ababa  
to Akko  
to Allenstein, Germany  
to Andreotti, Giulio, Italian leader  
to Arabian Peninsula  
to Asherah  
to Azerbaijani Popular Front  
to Banque Royale, France  
to Bay Islands  
to Bezabde  
to Bonaparte, Pierre  
to British Navigation Acts  
to Cabral, Pedro Alvares, Portuguese explorer  
to Carloman, son of Charles the Bald  
  
to Chahar, Chinese province  
to Chikunda  
to Clement VII, pope  
to Confédération Générale des Travailleurs Tunisiens  
to cotton  
to Dalian  
to Democritus, Greek philosopher  
to Doorn Kop, battle of  
to Eck, Johann, German theologian  
to Eran



Era of Good Feeling  
Farmer's Party, Sweden  
Focsani  
French Union  
  
General Intendant of the Court and Kingdom Police, Portugal  
Gonatas, Stylianos, Greek leader  
Groningen  
Halberstadt, German plane  
Heine, Heinrich, poet  
Hochhuth, Rolf, writer  
Hungarian Democratic Union, Romania  
Indian Territory  
Isma'il Mazhar, scholar  
Jingdezhen, imperial Chinese kiln  
Kalelkar, Kaka, Indian leader  
  
Khafre, king of Egypt  
Komagatu Maru, ship  
  
Ladislas of Transylvania  
Lazica, Colchis  
Liberals, Spain  
Louis VII, the Young  
Macta River, Battle of the  
Manolov, Emmanuil, composer  
  
Massey, William F., New Zealand leader  
Melos  
Minamoto no Yoritomo, Japanese leader  
Monzaemon, Chikamatsu, Japanese playwright

to Farm Credit Administration and Act, U.S.  
to Focke, Heinrich, inventor  
to French Sudan  
to General German Workers' Association, ADAV  
to Gomulka, Wladyslaw, Polish leader  
  
to Gröner, Wilhelm von, German commander  
to Hakuseki, Arai, Japanese scholar  
to Heimwehr, Austria  
to Hoche, Louis Lazare, French general  
to Hungarian Democratic Forum  
to Indian Socialist Party  
to Ismailiyya  
to Jin dynasty  
to Kaledin, Alexis, Cossack hetman  
to Khadija bint Khuwaylid, wife of Muhammad ibn Abdallah  
to Kolubara, battle of  
to Ladislas V Posthumus, king of Hungary and Bohemia  
to Lazarites  
to Liberals, Prussia  
to Louis VI, the Fat  
to Mactan  
to Manoel (Manuel) II, king of Portugal  
to Massey, Vincent, Canadian diplomat and leader  
to Melo, José María, Latin American leader  
to Minamoto Noriyori  
to Monza  
to Mulla Husayn Kashefi, Iranian writer

[Mulla Muhammad Amin Astarabadi, Iranian religious leader](#)  
[Naram-Sin, king of Babylon](#)  
[National Union Party, Portugal](#)  
  
[Nezib](#)  
[Novi, battle of](#)  
[Oranyon, of Benin](#)  
[Pakistan Day](#)  
[Patriot Party, Holland](#)  
[Peru](#)  
[Pisano, Vittorio, Venetian commander](#)  
[Poulenc, Francis, composer](#)  
[Pyrrhic War](#)  
[Ras Shamra](#)  
[Richard I, Coeur de Lion](#)  
  
[Roxane, Bactrian princess](#)  
[St. Mihiel](#)  
[Sapienza, battle of](#)  
[Secularization Campaign](#)  
[Sharma, Shanksar Dayal, Indian leader](#)  
[Sinminhoe, Korea](#)  
[Sonnino, Sidney](#)  
  
[Stephens, James, Fenian leader](#)  
[Susa](#)  
[Tao Yuanming, Chinese author](#)  
[Theutberga, wife of Lothair II](#)  
[Torre, Miguel de la, Venezuelan leader](#)  
[Tung Chee-hwa, Hong Kong leader](#)  
  
[United National Party, UNP](#)

to [Naram-Sin, king of Assyria](#)  
to [National Union Party, Costa Rica](#)  
to [Ney, Michel, duke d'Elchingen and prince de La Moskova](#)  
to [Novgorod](#)  
to [Orang Suku Bulang](#)  
to [Pakistan](#)  
to [Patriotic Union of Kurdistan](#)  
to [Pertini, Alessandro, Italian leader](#)  
to [Pisa](#)  
to [Poujadists](#)  
to [Pyrrhic victory](#)  
to [Rassemblement Walloon, Belgium](#)  
to [Richard, duke of York](#)  
to [Roxana, mother of Alexander IV, king of Macedonia](#)  
to [St. Menehould](#)  
to [São Vicente](#)  
to [secularization](#)  
to [Sharki dynasty](#)  
to [Sinking Fund Act, England](#)  
to [Son Ngoc Thanh, Cambodian leader](#)  
to [Stephens, Alexander H., Confederate leader](#)  
to [Sus](#)  
to [Taormina](#)  
to [Thessaly](#)  
to [Torralba](#)  
to [Tungasuca](#)  
to [United National Independence Party, UNIP](#)  
to [Vegilharxhi, Naum, Albanian leader](#)

[Veii](#) to [Vranitzky, Franz, Austrian leader](#)  
[Vranje](#) to [West, U.S.](#)  
[West Africa](#) to [World Trade Organization, WTO](#)  
[World War I](#) to [Young Hegelians](#)  
[Young Ireland Movement](#) to [Zulus](#)  
[Zumbi, Brazilian rebel](#) to [Zworykin, Vladimir, inventor](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

## Subject Index

### Page 1

#### A

Aachen

[411](#), [416](#), [417](#), [457](#). *See* [Aix-la-Chapelle](#).

Aaland Islands

[1026](#), [1774](#), [2048](#), [2055](#), [2056](#); convention, [1709](#), [1820](#).

Aarau, peace of

[749](#).

Aargau

[546](#), [546](#), [625](#).

Aaron, biblical leader

[104](#).

Aar River

[540](#).

Aba, Nigeria

[2554](#), [4323](#).

Abacha, Sani, Nigerian leader

[4326](#), [4371](#), [4371](#), [4371](#), [4372](#), [4373](#).

abacus

[851](#).

Abadan

[2764](#), [3815](#), [3820](#).

Abahai, son of Nurhachi

[852](#).

Abaq, Ilkhanid leader

[305](#).

Abascal y Sousa, José Fernando, colonial administrator

[1648](#), [1649](#).

Aba Women's War, Ogu Umunwanyi

[2559](#), [2559](#).  
Abaza Hasan Pasha, governor of Aleppo  
[803](#), [803](#).  
Abbadid dynasty  
[475](#), [475](#).  
Abbadie, Antoine T. d', explorer  
[1508](#).  
Abbans, Claude de Jouffroy d'  
[989](#).  
Abbas I, the Great  
[575](#), [579](#), [799](#), [800](#), [812](#), [813](#), [813](#), [813](#), [813](#), [814](#), [814](#), [814](#), [814](#), [814](#), [814](#), [815](#), [815](#), [815](#), [815](#),  
[816](#).  
Abbas II, shah of Persia  
[816](#), [816](#), [816](#).  
Abbas III, shah of Persia  
[817](#).  
Abbas, Ferhat, Algerian leader  
[3925](#), [3927](#), [3928](#), [3933](#).  
Abbas al-Mahdi, imam of Yemen  
[820](#).  
Abbas Hilmi I, governor of Egypt  
[1367](#).  
Abbas Hilmi II, khedive of Egypt  
[1373](#), [1374](#), [1748](#).  
Abbasid dynasty  
[276](#), [278](#), [279](#), [281](#), [281](#), [281](#), [285](#), [289](#), [291](#), [291](#), [291](#), [292](#), [292](#), [292](#), [292](#), [292](#), [292](#),  
[292](#), [292](#), [292](#), [292](#), [293](#), [293](#), [294](#), [294](#), [294](#), [295](#), [295](#), [296](#), [296](#), [296](#), [296](#), [297](#), [297](#),  
[297](#), [297](#), [297](#), [297](#), [298](#), [299](#), [299](#), [300](#), [300](#), [300](#), [300](#), [300](#), [301](#), [303](#), [304](#), [317](#), [317](#), [318](#),  
[318](#), [319](#), [319](#), [331](#), [343](#), [411](#), [419](#), [419](#).  
Abbas Mahmud al-Aqqad, poet  
[2426](#).  
Abbas Mirza, heir apparent to Iranian throne  
[1349](#).  
Abbeville, France  
[2585](#), [2585](#).  
Abbey Theater, Dublin  
[1868](#).  
Abbott, John J. C.  
[1635](#), [1635](#).  
Abbud, Ibrahim, Sudanese leader  
[4404](#), [4404](#).

ABC powers  
[2238](#); treaty, [2270](#).

Abd al-Aziz, Saudi emir  
[820](#).

Abd al-Aziz al-Fishtali, Moroccan writer  
[823](#).

Abd al-Aziz ibn Sa'ud, Saudi ruler  
[1362](#).

Abd al-Fattah Fumani, Iranian historian  
[815](#).

Abd al-Ghani al-Nabulusi, Damascene scholar  
[807](#).

Abd al-Hamid ibn Badis, religious leader  
[2423](#).

Abd al-Hamid Sa'id, Egyptian leader  
[2358](#).

Abd al-Husayn Hazhir, Iranian leader  
[3813](#).

Abd al-Husayn Mirza, writer  
[1352](#).

Abd al-Ilah, regent of Iraq  
[2406](#), [3878](#).

Abdali tribe  
[819](#), [819](#), [819](#). See [Durranis](#).

'Abd al-Karim ben Jame, Wadai leader  
[871](#).

Abdallah, emir of Transjordan  
[2395](#), [2396](#), [2396](#), [2397](#), [2397](#), [2397](#), [2398](#), [2398](#), [2398](#).

Abdallah, Saudi emir  
[1358](#).

Abdallah, sheik, ruler of Kuwait  
[3896](#), [3897](#).

Abdallah, sultan of Morocco  
[824](#).

Abdallah, Ahmed, Comoros leader  
[4415](#), [4415](#), [4416](#).

Abdallah al-Ghalib, ruler of Morocco  
[823](#).

Abdallah al-Mahdi, imam of Yemen  
[1358](#).

Abdallah al-Nasir, imam of Yemen

1359.  
Abdallah al-Sabah, sheik of Kuwait  
1361.  
Abdallah al-Sallal, Yemenite leader  
3892.  
Abdallah ibn al-Zubayr, Umayyad challenger  
289.  
Abdallah ibn Faysal, Saudi emir  
1361, 1361, 1361.  
Abdallah ibn Idris al-Sanusi, Muslim teacher  
2420.  
Abdallah ibn Rashid, Arab ruler  
1359.  
Abdallah ibn Sabah, sheik of Kuwait  
820.  
Abdallah ibn Thunayn, Saudi emir  
1359.  
Abdallah ibn Yasin, Almoravid leader  
344.  
Abd al-Malik, ruler of Morocco  
823, 823.  
Abd al-Malik, Umayyad caliph  
290, 290, 290.  
Abd al-Ma'mun, Almohad leader  
322.  
Abd al-Muhsin al-Sa'dun, Iraqi leader  
2400, 2402.  
Abd al-Mu'min, Almohad leader  
322.  
Abd al-Muttalib, sharif of Mecca  
1334.  
Abd al-Qadir, Algerian leader  
1375, 1376, 1382, 1382, 1382.  
Abd al-Qadir, leader of Futa Toro  
872.  
Abd al-Qadir al-Jilani, Sufi leader  
303.  
Abd al-Qadir al-Maraghi, musician  
307.  
Abd al-Qadir ibn al-Sharif, Sufi leader  
1381.

Abd al-Rahim Talibov, Iranian reformer  
[1351](#).

Abd al-Rahman I, emir  
[419](#).

Abd al-Rahman al-Ghushtuli, Ramaniyya Sufi leader  
[829](#).

Iryani, Abd al-Rahman al-, Yemenite leader  
[3892](#), [3893](#), [3894](#).

Abd al-Rahman al-Jabarti, historian  
[1367](#).

Abd al-Rahman al-Kawakibi, Arab nationalist  
[1347](#).

Abd al-Rahman ibn Faysal, Saudi emir  
[1362](#).

Abd al-Rahman ibn Khaldun, political theorist  
[323](#).

Abd al-Rahman Khan, ruler of Afghanistan  
[1355](#), [1355](#), [1355](#), [1355](#).

Abd al-Rahman Najjar Zada Tabrizi, writer  
[1353](#).

Abd al-Rahman Shahbandar, Syrian leader  
[2376](#).

Abd al-Rahman Shukri, poet  
[2426](#).

'Abd al-Ra'uf, reformer  
[839](#).

Abd al-Ra'uf al-Sinkili, Sumatran leader  
[580](#).

Sanhuri, Abd al-Razzaq al-, Egyptian leader  
[3902](#).

Abd ar-Rahman, emir of Afghanistan  
[1108](#).

Abd ar-Rahman, Sanchol  
[419](#).

Abd ar-Rahman II, emir  
[419](#).

Abd ar-Rahman III, emir  
[419](#), [419](#).

Abd'ashtart, king of Tyre  
[109](#).

Abdeel tribe



[127](#).  
Megrahi, Abdel Basset Ali al-, terrorist  
[3949](#).  
Abd-el-Krim, Riffian leader  
[1921](#).  
Abdera  
[186](#).  
Abdin Palace, Egypt  
[2368](#).  
Abdmilkot, Babylonian leader  
[109](#).  
Abdoulkarim, Muhammad Taki, Comoros leader  
[4410](#), [4416](#).  
Abdul Aziz, sultan of Morocco  
[978](#).  
Abdulaziz, Ottoman sultan  
[1335](#), [1337](#), [1341](#).  
Abdul Halim Muazzam, sultan of Kedah and ruler of Malaysia  
[4112](#).  
Abdulhamid I, Ottoman sultan  
[809](#), [810](#).  
Abdulhamid II, Ottoman sultan  
[957](#), [978](#), [1337](#), [1341](#), [1342](#), [1342](#), [1342](#), [1342](#), [1342](#), [1343](#), [1343](#), [1345](#), [1346](#), [1347](#),  
[1347](#), [1347](#), [1347](#), [1348](#).  
Abdullah II, king of Jordan  
[3877](#).  
Abdullah, Muhammad  
[3962](#), [3965](#), [3965](#), [3966](#), [3968](#).  
Abdullah ibn Hussein, emir (later king) of Transjordan  
[3871](#), [3871](#).  
Abdullah ibn Tashfin, Berber prophet  
[475](#).  
Abdulmalik al-Muzaffar, the Victorious  
[419](#).  
Abdulmejid I, Ottoman sultan  
[1331](#), [1335](#).  
Abdulmejid II, Turkish caliph  
[2324](#).  
Abdul-Mu'min, Berber leader  
[475](#).  
Abdul Rahman, prince, Malaysian leader

[4104](#), [4105](#), [4106](#), [4112](#), [4112](#).  
Dahhab, Abdul Rahman Siwar al-, Sudanese leader  
[4404](#).  
Abdul Razak, Malaysian leader  
[4112](#), [4112](#).  
Abdur-rauf as-Singkili, Malay scholar  
[841](#).  
Abe, Japanese military clan  
[386](#).  
Abel, king of Denmark  
[461](#), [461](#).  
Abel, Frederick, co-developer of cordite  
[984](#).  
Abel, Niels, mathematician  
[1039](#), [1039](#).  
Abel, Rudolf, Soviet spy  
[3276](#).  
Abélard, Peter, theologian  
[450](#).  
Abeokuta  
[1515](#), [1521](#).  
Aberdeen, earl of, George Hamilton Gordon, English leader  
[1155](#).  
Aberdeen, earl of, John Campbell Gordon, governor-general of Canada  
[1635](#).  
Aberdeen, University of  
[594](#).  
Aberhart, William, Canadian leader  
[2231](#).  
Abernathy, Ralph D., civil rights activist  
[3415](#).  
Abhayagiri Monastery  
[134](#).  
Abhidharmakosa sastra  
[131](#), [131](#).  
Abhira tribe  
[133](#).  
Abibaal, king of Tyre  
[109](#).  
Abieshu, king of Babylon  
[85](#).

Abijah, king of Judah  
[105](#).

Abiola, Kudriat, Nigerian leader  
[4371](#).

Abiola, Moshood, Nigerian leader  
[4371](#), [4371](#), [4371](#), [4373](#).

Abipón people  
[570](#).

Abisala, Aleksandras, Lithuanian leader  
[3355](#).

Abiyate, king of Qedar  
[127](#).

Abkhazia  
[2644](#), [3327](#), [3329](#).

Åbo, treaty of  
[763](#), [787](#).

abolitionist movement  
[877](#); U.S., [1575](#), [1576](#), [1577](#), [1583](#); in Latin America, [1677](#).

Aboriginal Justice Inquiry, Manitoba  
[3458](#).

aboriginal land rights movement, Australia  
[4303](#).

aborigines, Australia  
[4303](#), [4304](#), [4310](#), [4310](#), [4311](#).

Abortion Act, Great Britain  
[2778](#), [2788](#).

Abraham, biblical figure  
[104](#).

Abrahams, Peter, writer  
[4320](#).

Abrams, Creighton W., U.S. commander  
[4270](#).

Abramson, Albert, British diplomat  
[2396](#).

absolutism  
[761](#); 18th century, [578](#); 17th century, [584](#); 1800–1914, [1035](#); Portugal, [1064](#), [1065](#).

Abu al-Abbas, Hafsid leader  
[323](#).

Abu al-Abbas al-Saffah, Abbasid caliph  
[291](#), [292](#).

Abu al-Abbas Mahalli, mahdi of Morocco

[823](#).  
Abu al-'Ala' al-Ma'arri, poet  
[317](#).  
Abu al-Faraj Ali al-Isfahani, poet  
[300](#).  
Abu al-Firas, poet  
[317](#).  
Abu al-Hasan, Marinid leader  
[323](#).  
Abu Ali al-Husayn ibn Sina, Avicenna  
[301](#).  
Abu Ali al-Tanukhi, writer  
[300](#).  
Abu Ali Miskawayh, historian  
[301](#).  
Abu al-Qasim al-Junayd, mystic  
[297](#).  
Abu al-Qasim al-Shabbi, poet  
[2426](#).  
Abu al-Tayyib al-Mutanabbi, poet  
[317](#), [317](#).  
Abu Amr Uthman, Hafsid leader  
[323](#).  
Abubakar, Abdusdem, Nigerian leader  
[4326](#), [4373](#).  
Abu Bakr, Hafsid leader  
[287](#), [322](#).  
Abu Bakr ibn Tufayl, Abbubacer  
[322](#).  
Abu Dhabi  
[3771](#), [3896](#), [3897](#), [3897](#).  
Abu Hafs Umar, Hintata leader  
[322](#).  
Abu Hamid al-Darqawi, Darqawiyya Sufi leader  
[829](#).  
Abu Hamid Muhammad al-Ghazali, theologian  
[302](#), [302](#), [322](#).  
Abu Hanifa, legal scholar  
[293](#).  
Abu Himara, Jilali al-Zarhumi  
[1377](#).

Abu Hureyra, Syria  
[32](#), [36](#), [36](#).

Abu Inan, Hafsid leader  
[323](#), [323](#).

Abukir, battle of  
[810](#), [1010](#).

Abu Mansur al-Yasa, Midrarid leader  
[292](#).

Abu Maydan al-Andalusi, scholar  
[322](#).

Abu Muhammad al-Qasim al-Hariri, writer  
[301](#).

Abu Muslim, Abbasid leader  
[291](#), [292](#), [292](#), [293](#).

Abu Nasr Muhammad al-Farabi, scholar  
[300](#).

Abu Nidal, PLO leader  
[3779](#), [3843](#).

Abu Nuwas, al-Hasan ibn Hani  
[294](#).

Abu Sa'id, Timurid leader  
[306](#), [308](#).

Abu Sayyaf, Philippines Muslim group  
[4294](#).

Abu Shihiri, Arab leader in Africa  
[1531](#).

Abu Simbel  
[93](#), [96](#), [98](#), [2663](#).

Abu Talib, uncle of Muhammad  
[286](#).

Abu Ya'qub, Almohad leader  
[322](#).

Abu Yazid, caliph  
[321](#).

Abu Ziyar, Algerian leader  
[1382](#).

Abydos  
[89](#), [91](#), [93](#), [177](#), [438](#).

Abyssinia  
[869](#); and Egypt, [1370](#).

Académie Française

[2869](#).  
Académie Royale des Sciences, France  
[640](#).  
Academy of Arcadia, Italy  
[735](#).  
Academy of Athens  
[274](#).  
Academy of History, Spain  
[723](#).  
Academy of Inscriptions and Belle Lettres, Paris  
[711](#).  
Academy of Plato  
[186](#).  
Academy of Science, Russia  
[786](#).  
Academy of Science and Letters, Poland  
[1268](#).  
Academy of Sciences, France  
[711](#).  
Academy of Sciences, Serbia  
[1285](#).  
Academy of Sciences, East Germany  
[3339](#).  
Acadia  
[659](#), [920](#), [921](#), [939](#), [940](#); relocation of inhabitants, [940](#).  
Acapulco  
[911](#), [3702](#).  
Acarmania  
[168](#), [194](#), [202](#).  
Accademia dei Lincei, Rome  
[638](#).  
Accademia del Cimento, Florence  
[640](#).  
Accius, Lucius, Roman playwright  
[229](#).  
Accra, Ghana  
[876](#), [2558](#), [2558](#), [2559](#), [4322](#), [4322](#), [4326](#), [4344](#).  
Aceh, Sumatra  
[580](#), [837](#), [837](#), [837](#), [839](#), [839](#), [839](#), [839](#), [839](#), [839](#), [841](#), [4136](#), [4139](#).  
Aceval, Emilio, Latin American leader  
[1666](#).

Achá, José María de, Latin American leader

[1668](#).

Achaea

[93](#), [113](#), [168](#), [172](#), [173](#), [174](#), [178](#), [178](#), [179](#), [184](#), [192](#), [192](#), [193](#), [204](#), [206](#), [210](#), [210](#), [210](#), [211](#), [211](#), [212](#), [233](#), [234](#), [497](#), [508](#), [564](#), [564](#), [564](#).

Achaean League

[210](#), [210](#), [210](#), [210](#), [211](#), [211](#), [211](#), [212](#), [233](#).

Achaemenes, Persian chieftain

[123](#).

Achaemenid dynasty

[123](#), [124](#), [129](#), [208](#), [275](#).

Achaia

See [Achaea](#).

Achard, Franz K., builder of first sugar-beet factory

[987](#).

Acheampong, I. Kuta, Ghanaian leader

[4344](#), [4344](#).

Achebe, Chinua, writer

[4320](#).

Acheson, Dean, U.S. leader

[3393](#), [3394](#), [3395](#).

Acheulian culture

[11](#).

Achille Lauro

[2945](#), [3779](#).

Achilleus, Aurelius, rebel in Egypt

[261](#).

Achimoto College, Accra

[2558](#).

Achinese people

[1414](#).

Achoris, king of Egypt

[95](#).

Acilius, Caius, Roman historian

[229](#).

Acker, Achille van, Belgian leader

[2821](#).

Acland, Richard, British politician

[1856](#).

Acolhua people

[570](#).

Acosta, Julio, Costa Rican leader  
[2286](#).

Acquaviva, Rodolfo, Portuguese Jesuit in India  
[832](#).

acquired immunodeficiency syndrome, AIDS  
*See* [disease](#).

Acragas  
[185](#), [185](#), [190](#), [193](#), [193](#).

Acre  
[318](#), [320](#), [460](#), [473](#), [474](#), [505](#), [807](#), [809](#), [810](#), [1751](#); hospital, [460](#).

Acre district, Brazil  
[1669](#).

Acropolis, Athens  
[171](#), [186](#), [1275](#).

Acte, wife of Nero  
[248](#).

Acte Additionnel aux Constitutions de l'Empire, France  
[1033](#).

Acteal, Chiapas  
[3711](#).

Act for the Abolition of the Slave Trade, England  
[1513](#).

Act for the Attainder of the Rebels, England  
[695](#).

Act for the Gradual Civilization of the Indian Tribes in the Canadas  
[1630](#).

Act in Restraint of Appeals, England  
[586](#).

Action Directe, terrorist group  
[2874](#).

Action française  
[1905](#).

Actium  
[219](#), [242](#).

Act of 1913, U.S.  
[1620](#).

Act of 1887, U.S.  
[1602](#).

Act of Chapultepec  
[2603](#).

Act of Explanation, England



[695](#).  
Act of Grace, England  
[680](#).  
Act of Havana  
[2599](#).  
Act of Indemnity and Oblivion, England  
[674](#).  
Act of Mediation, Switzerland  
[751](#).  
Act of Settlement, England  
[674](#), [682](#), [694](#), [694](#), [695](#).  
Act of Succession, England  
[683](#).  
Act of Supremacy, England  
[586](#), [588](#).  
Act of Uniformity, England  
[588](#), [589](#), [674](#), [674](#), [675](#), [695](#).  
Act of Union  
[1076](#), [1076](#), [1247](#), [1249](#); Denmark and Iceland, [2060](#), [3084](#).  
Act of Unity and Security, Sweden  
[764](#).  
Acts of Grace, Japan  
[395](#), [396](#).  
Acts of Union  
[700](#), [701](#); 1800, [702](#), [1051](#), [1051](#), [1051](#).  
Adad  
*See* [Ninurta](#).  
Adad-nirari I, king of Assyria  
[86](#).  
Adad-nirari II, king of Assyria  
[87](#).  
Adad-nirari III, king of Assyria  
[87](#), [87](#).  
Adal  
[361](#).  
Adalaj  
[334](#).  
Adalbero, bishop of Reims  
[414](#).  
Adalbert, archbishop of Hamburg-Bremen  
[454](#), [454](#).

Adalbert of Prague, St., missionary  
[491](#).

Adalbert of Trier  
[456](#).

Adalen  
[2049](#).

Adalia, Italian claims to  
[1746](#), [1749](#), [1752](#).

Adam, John, governor-general of India  
[1394](#).

Adamec, Ladislav, Czech leader  
[3133](#).

Adami, Eddie Fenech, Maltese leader  
[2968](#), [2969](#).

Adamkus, Valdas, Lithuanian leader  
[3357](#), [3357](#).

Adams, Abigail, wife of John Adams  
[947](#).

Adams, Gerry, Irish leader  
[2814](#), [2816](#), [3432](#).

Adams, John, U.S. president  
[1565](#), [1565](#), [1565](#), [1566](#), [1567](#); in the American Revolution, [943](#), [947](#); as vice president, [1565](#).

Adams, John Couch, astronomer  
[1040](#).

Adams, John Quincy, U.S. president  
[1574](#), [1574](#), [1574](#), [1574](#), [1575](#).

Adams, Samuel, American leader  
[943](#), [944](#).

Adams, Will, English navigator in Japan  
[859](#).

Adana  
[115](#), [315](#), [437](#), [1328](#), [1331](#), [1348](#), [1367](#).

Adansi  
[873](#).

Adballah ben Ahmad al-Mazrui, governor of Mombassa  
[1528](#).

Adda  
[743](#).

Addams, Jane, U.S. reformer  
[1603](#).

Addington, Henry, English leader

[692](#).

Addis Ababa

[1523](#), [1523](#), [1724](#), [1833](#), [1954](#), [2561](#), [2563](#), [2563](#), [2612](#), [4390](#); treaty, [1222](#);  
agreement, [4404](#), [4404](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[NEXT](#)

---

## Subject Index

### Page 2

Addled Parliament, England

[590](#).

Adela, sister of Henry I of England

[444](#), [444](#).

Adelaide, Australia

[1489](#), [1489](#), [1494](#), [1494](#), [1494](#).

Adelard of Bath, scholar

[444](#).

Adelheid, widow

[465](#).

Adelheid, wife of Otto I

[416](#), [417](#).

Aden

[794](#), [1327](#), [1359](#), [1360](#), [1363](#), [2408](#), [2413](#), [2413](#), [2413](#), [2415](#), [2443](#), [3441](#), [3891](#), [3891](#), [3891](#), [3891](#), [3892](#), [3892](#), [3895](#); University of, [3894](#).

Aden-Abyan Islamic Army

[3895](#).

Adena culture

[53](#).

Aden Association

[3891](#).

Adenauer, Konrad, German leader

[2709](#), [2710](#), [2711](#), [2854](#), [2982](#), [2987](#), [2991](#), [2992](#), [2992](#), [2992](#), [2992](#), [2994](#), [2998](#), [2998](#), [2999](#), [2999](#), [2999](#), [3003](#).

Aden Trades Union Congress

[3891](#).

Adhemar of Puy, papal legate

[505](#).

Adhruh

[288](#).

Shishakli, Adib al-, Syrian leader  
[3839](#), [3839](#).

Adige  
[1946](#).

Aditya Dibabha, Siamese prince  
[2452](#).

Aditya I, ruler of India  
[328](#), [328](#).

Adivar, Halide Edip, writer  
[3794](#).

Adler, Alfred, psychoanalyst  
[1144](#).

Adlersparre, Georg  
[765](#).

Adli Yegen, Egyptian leader  
[2354](#).

Administration of Justice Act, England  
[944](#).

Admiralty Islands  
[2630](#).

Admonitions for Women  
[156](#).

Admonitions of Ipuwer  
[91](#).

Adolf I of Nassau, Holy Roman emperor  
[540](#), [540](#).

Adolf of Holstein  
[456](#), [460](#).

Suarez, Adolfo  
[2896](#).

Adolphus Frederick of Oldenburg-Holstein-Gottorp, king of Sweden  
[761](#), [763](#).

Adonijah  
[104](#).

Adorno, Genoese family  
[612](#).

Adrian I, pope  
[411](#).

Adrian IV, pope  
[425](#), [444](#), [468](#), [468](#), [471](#).

Adrian VI, pope

607, 609.

Adrian of Utrecht

See Adrian VI, pope.

Adrianople

262, 262, 264, 310, 313, 313, 403, 403, 436, 437, 438, 440, 440, 496, 497, 501, 504, 507, 508, 509, 509, 509, 509, 567, 567, 798, 1137, 1138, 1138, 1139, 1329, 1343, 1348, 2321, 2330; treaty of, 1258, 1284, 1311, 1329.

Adriatic Sea

211, 222, 227, 229, 314, 438, 438, 472, 473, 492, 493, 498, 538, 562, 563, 607, 793, 1026, 1114, 1132, 1135, 1137, 1137, 1138, 1743, 1771, 1778, 1818, 1941, 1941, 2635.

Adua, battle of

967, 1121, 1222, 1506, 1523, 1953.

Adud al-Dawla, Buyid leader

300.

Advisory Council for Italy, WWII

1961.

Aedui people

247.

Aegae, Vergina

182.

Aegates Islands

230.

Aegean Islands

170, 174, 177, 1137, 1137, 1138, 1138, 1283.

Aegean Sea

42, 111, 168, 172, 175, 177, 179, 188, 198, 209, 209, 211, 218, 229, 257, 312, 312, 314, 314, 501, 508, 532, 538, 538, 607, 793, 1108, 1108, 1114, 1135, 1139, 1225, 1343, 1367, 1750, 1786, 1788, 2160, 2171, 2591, 2754.

Aegina

176, 178, 182, 187, 188, 192, 192, 193, 195.

Aehrenthal, Alois

1132, 1132, 1132.

Aelia Capitolina

253.

Aemilia

268.

Aemilianus, Roman emperor

257, 257.

Aeneid

239.

Aeolians

[170](#), [175](#), [175](#), [182](#).

Aeolic architecture

[176](#).

Aeolus

[199](#).

Aequi

[222](#), [222](#), [225](#), [225](#), [226](#).

Aeroflot

[2704](#).

Aeschines, Athenian leader

[204](#), [205](#), [207](#).

Aeschylus, Greek playwright

[186](#).

Aetheling, Edgar

See [Edgar I, king of England](#).

Aëtios, Byzantine general

[433](#).

Aëtius, Flavius, Roman general

[266](#), [266](#), [267](#), [267](#), [402](#), [402](#), [407](#).

Aetolia

[168](#), [206](#), [209](#), [210](#), [210](#), [210](#), [211](#), [211](#), [211](#), [211](#), [214](#), [232](#), [233](#), [233](#), [233](#).

Aetolian League

[210](#), [210](#), [211](#).

Afar, Ethiopia

[4397](#).

Afars group, Djibouti

[4393](#).

Aferki, Issaias, Eritrean leader

[4394](#).

Afghanistan

[73](#), [129](#), [300](#), [300](#), [302](#), [302](#), [334](#), [791](#), [814](#), [819](#), [819](#), [819](#), [834](#), [971](#), [1108](#), [1112](#), [1131](#), [1261](#), [1327](#), [1346](#), [1350](#), [1351](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1355](#), [1355](#), [1355](#), [1355](#), [1355](#), [1355](#), [1356](#), [1356](#), [1356](#), [1357](#), [1394](#), [1394](#), [1397](#), [1398](#), [2333](#), [2346](#), [2348](#), [2350](#), [2637](#), [2638](#), [2677](#), [2694](#), [3269](#), [3437](#), [3784](#), [3784](#), [3785](#), [3786](#), [3828](#), [3831](#), [3832](#), [3832](#), [3832](#), [3834](#), [3834](#), [3835](#), [3835](#), [3836](#), [3836](#), [3836](#), [3837](#), [3837](#); wars with Great Britain, [1354](#), [1355](#), [1395](#), [1398](#); WWI, [1751](#); family code, [2346](#); modernization, [2347](#), [2348](#); WWII, [2613](#); Russian invasion, [3768](#); and Middle East, [3832](#); and Russia, [3832](#), [3833](#), [3834](#), [3834](#), [3834](#), [4008](#); and U.S., [3834](#), [3834](#), [3834](#), [3835](#), [3836](#).

Afghans

[332](#), [334](#), [806](#), [816](#), [816](#), [816](#), [817](#), [817](#), [819](#), [819](#), [819](#), [819](#), [819](#), [819](#), [831](#), [831](#), [832](#), [834](#),  
[835](#).

Afghan Wars

[2346](#).

Aflaq, Michel, Syrian leader

[3838](#), [3843](#).

AFL-CIO

[3400](#).

Afonso I Henriques, king of Portugal

[480](#), [480](#), [480](#), [480](#), [480](#), [480](#).

Afonso II, king of Portugal

[480](#).

Afonso III, king of Portugal

[481](#).

Afonso IV, the Brave

[528](#).

Afonso V, king of Portugal

[525](#).

Afonso V, the African

[529](#), [529](#).

Afonso VI, king of Portugal

[727](#), [727](#), [727](#), [727](#), [727](#), [728](#).

Afranius, Lucius, Roman playwright

[229](#).

Afrasiyab, governor of Basra

[799](#).

Afrasiyab dynasty

[799](#), [803](#).

Africa

[2](#), [7](#), [13](#), [18](#), [18](#), [19](#), [19](#), [19](#), [19](#), [20](#), [22](#), [22](#), [22](#), [24](#), [24](#), [24](#), [24](#), [24](#), [29](#), [29](#), [29](#), [29](#), [29](#),  
[38](#), [38](#), [38](#), [42](#), [43](#), [43](#), [43](#), [43](#), [43](#), [44](#), [44](#), [45](#), [45](#), [51](#), [61](#), [66](#), [74](#), [74](#), [80](#), [81](#), [90](#), [97](#),  
[108](#), [110](#), [110](#), [220](#), [230](#), [232](#), [234](#), [241](#), [241](#), [245](#), [245](#), [255](#), [255](#), [257](#), [257](#), [260](#), [262](#),  
[266](#), [266](#), [266](#), [269](#), [276](#), [278](#), [279](#), [279](#), [280](#), [281](#), [281](#), [281](#), [281](#), [281](#), [282](#), [293](#), [296](#),  
[303](#), [322](#), [323](#), [333](#), [334](#), [343](#), [343](#), [344](#), [346](#), [347](#), [349](#), [349](#), [351](#), [351](#), [353](#), [358](#), [358](#),  
[359](#), [359](#), [359](#), [362](#), [362](#), [365](#), [366](#), [366](#), [376](#), [403](#), [403](#), [404](#), [404](#), [404](#), [408](#), [408](#), [419](#),  
[429](#), [429](#), [476](#), [476](#), [476](#), [476](#), [505](#), [526](#), [528](#), [529](#), [575](#), [578](#), [579](#), [579](#), [579](#), [582](#), [584](#),  
[584](#), [596](#), [601](#), [601](#), [666](#), [674](#), [703](#), [754](#), [758](#), [791](#), [791](#), [792](#), [795](#), [822](#), [822](#), [869](#), [869](#),  
[869](#),  
[873](#), [873](#), [877](#), [877](#), [879](#), [882](#), [882](#), [883](#), [885](#), [885](#), [885](#), [885](#), [886](#), [887](#), [887](#), [889](#), [890](#), [890](#), [890](#),  
[892](#), [895](#), [908](#), [912](#), [914](#), [914](#), [914](#), [914](#), [918](#), [918](#), [918](#), [918](#), [919](#), [923](#), [932](#), [934](#), [953](#), [953](#),  
[953](#), [954](#), [955](#), [956](#), [956](#), [956](#), [958](#), [958](#), [959](#), [961](#), [962](#), [969](#), [969](#), [1099](#), [1111](#), [1112](#), [1120](#),



[1131](#), [1136](#), [1162](#), [1176](#), [1235](#), [1236](#), [1333](#), [1370](#), [1506](#), [1506](#), [1506](#), [1510](#), [1511](#), [1511](#), [1512](#), [1513](#), [1514](#), [1514](#), [1515](#), [1515](#), [1516](#), [1517](#), [1543](#), [1570](#), [1706](#), [1706](#), [1724](#), [1832](#), [1917](#), [2462](#), [2554](#), [2554](#), [2554](#), [2554](#), [2554](#), [2554](#), [2558](#), [2558](#), [2558](#), [2558](#), [2559](#), [2560](#), [2636](#), [2636](#), [2636](#), [2637](#), [2637](#), [2637](#), [2638](#), [2640](#), [2641](#), [2641](#), [2643](#), [2643](#), [2643](#), [2644](#), [2644](#), [2658](#), [2667](#), [2675](#), [2676](#), [2681](#), [2682](#), [2722](#), [2851](#), [2852](#), [2914](#), [2915](#), [2960](#), [3173](#), [3421](#), [3443](#), [3907](#), [4316](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4321](#), [4325](#), [4326](#), [4344](#), [4353](#), [4386](#), [4408](#), [4410](#), [4432](#), [4432](#), [4450](#), [4451](#), [4453](#), [4455](#); postclassical society, [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [344](#), [344](#), [345](#), [345](#), [345](#), [348](#), [349](#), [351](#), [351](#), [351](#), [351](#), [351](#), [351](#), [351](#), [351](#), [351](#), [355](#), [356](#), [362](#), [363](#), [364](#); historical methods, [343](#), [351](#), [351](#); and arrival of Europeans, [869](#); resistance movements, [1506](#), [1506](#); and Portugal, [1939](#); colonialism, [2554](#), [2554](#), [2554](#), [2554](#), [2554](#), [2554](#), [2558](#), [2559](#), [2559](#), [2559](#), [2559](#), [2559](#), [2559](#), [2565](#), [2565](#), [2567](#), [2567](#), [2572](#), [2572](#), [2578](#), [2578](#), [2578](#), [2580](#), [2580](#); WWI, [2554](#), [2554](#), [2554](#), [2554](#), [2555](#), [2565](#), [2572](#); economies, [2554](#); Great Depression, [2554](#), [2561](#), [2567](#), [2569](#), [2578](#); WWII, [2554](#), [2556](#), [2556](#), [2590](#), [2613](#), [2615](#), [2619](#); between Wars, [2555](#), [2636](#); economy 1900s–1940, [2558](#); post-WWII colonialism, [2700](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4321](#), [4321](#), [4321](#), [4321](#), [4324](#); and U.S., [3430](#), [4326](#); and China, [4153](#); commodities, [4320](#); language issue, [4320](#); postcolonial economy and society, [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4325](#), [4325](#), [4325](#), [4325](#), [4325](#); environment, [4320](#); AIDS, [4320](#); and multiracialism, [4408](#). *See* [East Africa](#); [French West Africa](#); [German East Africa](#); [North Africa](#); [Portuguese East Africa](#); [Southern Africa](#); [West Africa](#).

#### African Americans

[1506](#), [1563](#), [1574](#), [1575](#), [1587](#), [1588](#), [1589](#), [1590](#), [1592](#), [1592](#), [1592](#), [1593](#), [1594](#), [1594](#), [1596](#), [1598](#), [1604](#), [1604](#), [1605](#), [1609](#), [1616](#), [1617](#), [1618](#), [1623](#), [1706](#), [1706](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2188](#), [2191](#), [2191](#), [2199](#), [2199](#), [2201](#), [2210](#), [2214](#), [2214](#), [2554](#), [2644](#), [3390](#), [3390](#), [3392](#), [3400](#), [3402](#), [3405](#), [3405](#), [3406](#), [3408](#), [3408](#), [3409](#), [3409](#), [3411](#), [3411](#), [3411](#), [3413](#), [3413](#), [3413](#), [3413](#), [3413](#), [3414](#), [3414](#), [3417](#), [3419](#), [3420](#), [3421](#), [3428](#), [3428](#), [3428](#), [3428](#), [3429](#), [3430](#), [3432](#), [3434](#), [3434](#), [3435](#), [3436](#). *See* [civil rights](#); [race](#).

#### African Association

[878](#).

#### African Brazilians

[3618](#).

#### African Canadians

[1623](#), [3443](#), [3454](#).

#### African Company

[754](#); Sweden, [761](#).

#### African Inland Mission

[1545](#).

#### African National Congress, ANC

[1559](#), [2578](#), [2578](#), [2686](#), [4320](#), [4462](#), [4466](#), [4466](#), [4470](#), [4471](#), [4473](#), [4473](#), [4477](#),  
[4477](#), [4477](#), [4480](#), [4480](#), [4481](#), [4481](#), [4481](#), [4482](#), [4482](#), [4483](#), [4486](#), [4486](#), [4487](#),  
[4488](#), [4489](#), [4490](#).

African National Union

[2576](#).

Afrikaans

[2578](#).

Afrikaner Bond

[1555](#).

Afrikaner National Party

[4470](#).

Afrikaners

[890](#), [890](#), [1506](#), [1554](#), [1558](#), [1558](#), [1558](#), [1558](#), [1560](#), [1768](#), [2574](#), [2574](#), [2577](#), [2577](#),  
[2579](#), [2580](#), [2580](#), [4320](#), [4470](#).

Afro-Asian People's Solidarity Conference

[2655](#).

Afro-Asian Solidarity Council

[2661](#).

Afro-Caribbeans

[2554](#).

Afro-Cuban folk culture

[3465](#), [3714](#).

Afro-Portuguese culture and commerce

[885](#), [888](#).

Afshar dynasty

[817](#), [817](#), [818](#), [1349](#).

Afyun

[2321](#).

Agade

[84](#).

Agades, West Africa

[2555](#).

Agadir

[822](#), [822](#), [1378](#).

Agaja, ruler of Dahomey

[876](#).

Aga Khan, Nizari leader

[302](#).

Aga Khan I, Muslim leader

[1397](#).

Aga Khan III, Ismailian leader

[3961](#).  
Aga Khan IV, prince Karim Khan  
[3961](#).  
Agamemnon, king of Mycenae  
[172](#), [173](#).  
Agapetus II, pope  
[416](#).  
Agassiz, Louis, geologist  
[1043](#).  
Agatharchus of Samos, Greek artist  
[186](#).  
Agathias, historian  
[427](#).  
Agathocles, tyrant of Syracuse  
[220](#), [220](#), [220](#), [220](#).  
Age of Augustus  
[239](#).  
Agesilaus, king of Sparta  
[199](#), [199](#), [200](#), [201](#).  
Agga, king of Kish  
[84](#).  
Agha Muhammad, shah of Iran  
[1349](#).  
Agha Muhammad Khan, shah of Iran  
[817](#), [818](#), [818](#).  
Aghlabid dynasty  
[293](#), [293](#), [293](#), [294](#), [295](#), [296](#).  
Agiads, Spartan dynasty  
[178](#), [179](#), [187](#).  
Agilulf, ruler of Turin  
[408](#).  
Agincourt, battle of  
[514](#), [522](#).  
Agis II, king of Sparta  
[197](#).  
Agis III, king of Sparta  
[206](#).  
Agis IV, king of Sparta  
[208](#), [210](#).  
Aglipay, Gregorio, religious leader  
[1485](#), [1486](#).

Agnadello, battle of  
[607](#).

Agnes of Poitou, wife of emperor Henry III  
[454](#), [454](#).

Agnew, Spiro T., U.S. leader  
[3415](#), [3418](#), [3424](#).

Agnon, S. Y., writer  
[3768](#), [3858](#).

Agra  
[129](#), [830](#), [831](#), [832](#), [832](#), [833](#), [1397](#).

Agram  
[1779](#).

Agrarian Law, Russia  
[1264](#).

Agrarian Party, Austria  
[2006](#).

Agrarian Party, Bulgaria  
[2160](#), [2161](#), [2162](#), [2166](#), [3235](#), [3235](#).

Agrarian Party, Czechoslovakia  
[2017](#).

Agrarian Party, Hungary  
[2029](#), [2029](#), [2030](#), [2032](#).

Agrarian Reform Act  
[3510](#).

Agrarian Reform Bill, Latvia  
[2098](#).

Agricola, Cnaeus Julius, Roman general  
[251](#), [253](#), [421](#).

Agricola, Georgius, German minerologist  
[638](#), [643](#).

Agricultural Adjustment Act, U.S.  
[2187](#), [2202](#), [2202](#), [2202](#).

Agricultural Children's Act, England  
[1160](#).

Agricultural Crisis Act  
[1896](#).

Agricultural Marketing Act  
[2195](#).

Agricultural Revolution  
[579](#).

Agricultural Trade Development and Assistance Act, U.S.

3398.

agriculture

13, 34, 35, 63, 63, 64, 65, 65, 83, 91, 135, 138, 138, 140, 167, 228, 228, 235, 285, 296, 297, 299, 305, 343, 343, 349, 397, 1327, 1735, 2187, 2641, 2700; prehistoric, 35, 35, 35, 35, 36, 36, 36, 36, 36, 37, 37, 37, 37, 38, 38, 38, 38, 38, 39, 39, 39, 39, 39, 39, 40, 40, 40, 40, 40, 40, 40, 40, 41, 49, 51, 52, 53, 53, 54, 56, 345, 345;  
Mesopotamia, 83; ancient Egypt, 90; Syria-Palestine, 101; Phoenicia, 108; Asia Minor, 112; ancient Armenia, 117; Arabia, 126; ancient Greece, 186; the Hellenistic Age, 208; ancient Rome, 223; Roman Republic, 229; Roman Empire, 239, 245, 246, 260; Sassanians, 271; Southeast Asia, 339, 1412; Africa, 343, 343, 343, 344, 345, 345, 345, 347, 347, 348, 362, 366, 869, 869, 871, 876, 885, 886, 886, 888, 889, 890, 890, 890, 890, 893, 1506, 1506, 1506, 1506, 1511, 1513, 1514, 1516, 1528, 1529, 1532, 1538, 1548, 1550, 1551, 1552, 1559, 2554, 2558, 2558; China, 367, 370, 371, 373, 375, 1417, 4147, 4150, 4150, 4152, 4165; Korea, 380; Vietnam, 397, 4274; Europe, 400, 3000; Germanic tribes, 402; Spain, 419, 1062, 1199; Byzantium, 431; Western Europe, 443; England, 444; 1500–1800, 579, 582; New World, 584; 17th century, 584; after the Thirty Years' War, 644, 644; England in the 17th and 18th century, 687; Great Britain, 688, 1048, 1048, 1155; Ireland, 700, 700, 1168, 1168, 1169, 1170; France in the 18th century, 714, 717; Portugal in the 17th and 18th centuries, 727, 729, 730; Italy in the 17th and 18th centuries, 735; Italy, 739, 1066, 1066, 1066, 1091; Lombardy in the 18th century, 742; Switzerland in the 17th and 18th centuries, 748, 748; Holy Roman Empire, 752; Sweden in the 17th century, 761; Sweden in the 18th century, 762; Denmark in the 17th and 18th centuries, 768; Norway in the 18th century, 772, 774; Poland in the 17th and 18th centuries, 776; Middle East 1500–1800, 791; Iran in the 16th and 17th centuries, 813, 816; India 1500–1800, 830; Southeast Asia 1500–1800, 845; China 1500–1800, 851, 852; Korea 1500–1800, 855; Americas, 911, 918; North America, 924, 925, 938; 1800–1914, 961, 987, 987, 987, 987, 987, 987, 988, 988, 1034, 1081; France, 1003, 1003, 1004, 1005, 1022, 1059, 1179, 1198; Portugal, 1065; Central Europe, 1071, 1071, 1074; Germany, 1071, 1231; Scandinavia, 1075, 1076, 1247, 1247; Denmark, 1077, 1251, 1251; Russia, 1256, 1259, 1261, 1264, 3269, 3278, 3279, 3300; Poland, 1268, 3100, 3113; Serbia, 1284; Bulgaria, 1299, 1305, 1305, 1306, 3238; Romania, 1311, 1315, 1318, 1318, 3248; Middle East and North Africa, 1327, 3782; Ottoman Empire, 1334; Palestine, 1346; Iran, 1351; Egypt, 1366, 1366, 1366, 1368, 1372, 1373, 3880, 3904; Algeria, 1382, 1382, 1383; Tunisia, 1390, 1391; Libya, 1393; India, 1397, 1397, 3961, 3963, 3963, 3966, 3968, 3978; Japan, 1456, 4241; Australia, 1488, 1489, 1493; New Zealand, 1502, 1503, 1504, 2551; 19th century, 1506; U.S., 1592, 1598, 1599, 1600, 2195, 2202, 2202, 2202, 2202, 2202, 2202, 3409, 3411; Latin America, 1658, 1662, 1667, 1667, 1672, 1677, 1683, 1683, 1685; Puerto Rico, 1694; Russian collectivization, 2072, 2073; Canada, 2229, 2230; sugar, 2530; Uganda, 2567; Czechoslovakia, 3120; Albania, 3202; Mexico, 3704; Iraq, 3878, 3880, 3880; Pakistan, 4000; Laos, 4101,

[4101](#); Somalia, [4403](#). *See* [land reform](#).

Agriculture Act, U.S.  
[3398](#), [3401](#).

Agrigentum  
[110](#), [230](#).

Agrippa, Marcus Vipsanius, Roman leader  
[239](#), [242](#), [243](#), [243](#).

Agrippina, wife of Germanicus  
[247](#), [247](#).

Agrippina the Younger, wife of Claudius  
[248](#), [248](#), [248](#).

Aguiayo, marquis de, Spanish colonial administrator  
[904](#).

Aguinaldo, Emilio, Filipino leader  
[1481](#), [1481](#), [1481](#), [1482](#), [1482](#), [1483](#), [1484](#), [1484](#), [1610](#).

Aguirre, Jesús María, Mexican leader  
[2297](#).

Aguirre, José, Basque leader  
[1929](#).

Aguiya-Ironsi, Johnson, Nigerian leader  
[4367](#), [4367](#).

Agustín I, emperor of Mexico  
[1654](#), [1655](#), [1655](#), [1655](#), [1687](#).

Agyrokastron  
[2590](#).

Aha, king of Egypt  
[91](#).

Ahab of Israel  
[104](#), [105](#), [106](#), [109](#).

Ahalya Bai, ruler of Indore  
[835](#).

Ahaz, king of Judah  
[87](#), [105](#).

Ahaziah, king of Judah  
[104](#), [105](#).

Ahenobarbus, Lucius Domitius  
*See* [Nero, Roman emperor](#).

Ahern, Bertie, Irish leader  
[2814](#), [2815](#).

Ahhiyawa people  
[113](#), [172](#).

Ahi Ahmed Chelebi  
[793](#).

Ahidjo, Ahmadou, Cameroon leader  
[4332](#), [4332](#).

Ahmad, shah of Iran  
[1352](#), [1353](#).

Ahmad, sheik of Kuwait  
[2409](#), [3896](#).

Ahmad, sheik of Qatar  
[3898](#).

Ahmad I Bey, ruler of Tunisia  
[1387](#), [1387](#), [1387](#), [1387](#), [1387](#), [1387](#), [1387](#), [1390](#).

Ahmad, Ait, Algerian leader  
[3925](#).

Ahmadabad  
[334](#), [334](#).

Ahmad al-A'raj, heir-designate in Morocco  
[822](#), [822](#).

Ahmad al-Baladhuri, historian  
[296](#).

Ahmad al-Hiba, Mauritanian leader  
[1379](#).

Ahmad al-Mansur, ruler of Morocco  
[823](#), [823](#), [823](#), [823](#).

Ahmad al-Maqrizi, writer  
[320](#).

Ahmad al-Mutawakkil, imam of Yemen  
[1358](#).

Najjar, Ahmad al-, economist  
[3910](#).

Ahmad al-Nasiri, scholar  
[1377](#).

Ahmad al-Rifa'i, Sufi leader  
[303](#).

Ahmad al-Tijani, Sufi leader  
[829](#), [1375](#), [1381](#), [1387](#).

Ahmad al-Wansharisi, North African jurist  
[822](#).

Ahmad al-Zayyani, Berber leader  
[1376](#).

Ahmad Bamba, African leader

1511.

Ahmad ben Umar

See Sheku Ahmadu, African leader.

Ahmad Bey, Turkish governor of Constantine

1382.

Ahmad Fu'ad, ruler of Egypt

2351, 2366, 3904.

Bakr, Ahmad Hasan al-, Iraqi leader

3882, 3884.

Ahmad Husayn, Egyptian leader

2364.

Ghashmi, Ahmad Husayn al-, Yemenite leader

3894.

Ahmad ibn Abi Diyaf, historian

1390.

Ahmad ibn Ali, ruler of Qatar

3896, 3898.

Ahmad ibn Buya, Mu'izz al-Dawla

298, 298.

Ahmad ibn Hanbal, religious scholar

295.

Ahmad ibn Ibrahim al-Ghazi, Ethiopian leader

879.

Ahmad ibn Khalifa, ruler of Bahrain

820.

Ahmad ibn Musa, Moroccan official

1377.

Ahmad ibn Sa'id, ruler of Oman

820.

Ahmad ibn Taymiyya, scholar

320.

Ahmad ibn Tulun, Tulunid leader

296, 296.

Ahmad ibn Zayn al-Din al-Ahsa'i, founder of Shaykhi school

1349.

Ahmadiyas

1398.

Ahmad Kasravi, writer

3813.

Ahmad Lutfi al-Sayyid, Egyptian leader

2354, 2357.



Ahmad Maher, Egyptian leader  
[2354](#), [2367](#), [2369](#).

Ahmad Ma'n, ruler of Mount Lebanon  
[805](#).

Ahmadnagar  
[334](#), [831](#), [832](#), [833](#).

Ahmad of Malindi, sheik of Mombassa  
[882](#).

Ahmad Pasha, Ottoman governor of Baghdad  
[805](#).

Ahmad Pasha al-Jazzar, governor of Sidon  
[809](#), [810](#).

Ahmad Qaramanli, ruler of Tripoli  
[828](#).

Ahmad Shah, ruler of India  
[334](#), [334](#), [819](#), [2338](#).

Ahmad Shah Abdali, Durani Afghan chief  
[835](#), [835](#).

Ahmad Shah Durrani, ruler of Afghanistan  
[819](#).

Ahmad Shawqi, poet  
[2363](#).

Ahmad Shuqayri, Palestinian leader  
[3771](#).

Ahmad Simnani, Sufi leader  
[306](#).

Ahmadu Lobbo  
*See [Sheku Ahmadu, African leader](#).*

Ahmad Urabi, Egyptian soldier  
[1372](#), [1372](#), [1372](#).

Ahmadzai, Najib, Najibullah  
[3834](#), [3834](#).

Ahmad Zaki Abu Shadi, poet  
[2426](#).

Ahman ibn Sa'id  
[820](#).

Ahmed I, Ottoman sultan  
[799](#), [800](#), [800](#), [800](#), [802](#).

Ahmed II, Ottoman sultan  
[804](#), [804](#).

Ahmed III, Ottoman sultan

[805](#).  
Ahmed, Khandakar Mushtaq, Bangladeshi leader  
[4019](#), [4019](#).  
Ahmed, Shahabuddin, Bangladeshi leader  
[4024](#).  
Ahmedabad  
[3972](#).  
Ahmed Jevdet, Ottoman official  
[1346](#).  
Ahmed Kemalpashazade, Ottoman historian  
[793](#).  
Ahmed Nedim, Ottoman poet  
[807](#).  
Ahmed Niyazi Bey, Turkish officer  
[1347](#).  
Ahmed Pasha, governor of Egypt  
[793](#).  
Ahmed Resim Pasha, governor of Libya  
[1392](#).  
Ahmed Riza, Turkish leader  
[1346](#), [1346](#).  
Ahmed Tashkopruzade, Ottoman scholar  
[796](#).  
Ahmet Bey Zogu  
*See* [Zog I, king of Albania](#).  
Ahmose  
*See* [Amosis, king of Egypt](#).  
Ahmose-si-neit  
*See* [Amasis, king of Egypt](#).  
Aho, Esko, Finnish leader  
[3080](#), [3083](#).  
Ahriman  
[121](#).  
Ahtisaari, Martti, Finnish leader  
[3082](#), [3083](#).  
Aibak, ruler of India  
[331](#), [331](#), [331](#), [332](#).  
Aidan, Irish monk  
[421](#), [425](#).  
Aidid, Mohammed Farah, Somalian leader  
[4400](#).

AIDS

*See* [disease](#).

Aigues Mortes

[452](#), [452](#).

Aigun, treaty of

[955](#), [1259](#), [1417](#).

Aihole

[326](#).

Ain el-Roumaneh, Lebanon

[3846](#).

Ainu

[164](#), [385](#).

Airbus, European plane

[2703](#), [2704](#), [2832](#).

Airbus Industrie

[2704](#).

aircraft

[990](#), [990](#); helicopter, [1736](#). *See* [airplanes](#).

Air Force Academy, U.S.

[3400](#).

Air France

[2839](#).

Airikyan, Paruir, Armenian nationalist

[3306](#).

airplanes

[1764](#), [1765](#), [1784](#), [1852](#), [2317](#); first flight over North Pole, [997](#); first flights over Antarctica, [998](#); jet-powered transatlantic airline, [1736](#); WWI, [1764](#), [1764](#), [1764](#), [1764](#), [1764](#), [1765](#), [1765](#), [1765](#), [1766](#), [1766](#), [1766](#), [1766](#), [1767](#), [1767](#), [1767](#); WWII, [1854](#), [2523](#), [2587](#), [2587](#), [2587](#), [2589](#), [2590](#), [2596](#), [2609](#), [2617](#), [2619](#), [2621](#), [2627](#), [2630](#), [2631](#), [2631](#); transcontinental air mail service, [2191](#); first nonstop New York to Paris flight, [2195](#); circumnavigation, [2199](#); Iran, [2339](#); Egypt, [2362](#); war in China, [2479](#); Australia, [2539](#), [2544](#); weekly airmail service, [2548](#); mail, [2556](#); Africa, [2561](#); World War II, [2630](#); European, [2703](#); supersonic, [2704](#), [2704](#); Airbus, [2704](#); transatlantic flights, [2759](#); first jetliner, [2762](#); U.S.-Russia direct service, [3414](#). *See* [aircraft](#); [transportation](#).

A'isha, wife of Muhammad

[287](#), [288](#).

Aisin Gioro, Golden Tribe

[852](#).

Aisne, battles of the

[1755](#), [1781](#), [1789](#), [1801](#), [1812](#).

Aisne River

[404](#).

Aistulf, Lombard king

[408](#), [408](#), [410](#).

Aitape, New Guinea

[2630](#).

Aix en Provence

[235](#).

Aix-la-Chapelle

[649](#), [662](#), [662](#), [712](#), [758](#), [834](#), [939](#); congress, [1045](#); congress on piracy, [1381](#), [1385](#).

Aix-les-Bains

[3919](#).

Ajanta caves

[129](#), [326](#).

Ajatasatru, king of Magadha

[129](#).

Ajayapala, ruler of India

[331](#).

Ajlun

[800](#).

Ajmer

[331](#).

Ajnadayn

[287](#).

Akalamdug, Sumerian king

[84](#).

Akali Dal Party, India

[3978](#), [3978](#), [3979](#).

Akalis, Sikhs

[2435](#).

Akan

[345](#), [873](#), [873](#).

Åkarp law, Sweden

[1249](#).

Akayev, Aksar, Kirghiz leader

[3339](#), [3340](#), [3340](#), [3342](#), [3343](#), [3343](#), [3344](#).

Akbar, Indian prince

[575](#), [580](#), [814](#), [831](#), [831](#), [831](#), [832](#), [832](#), [832](#), [832](#), [833](#), [834](#).

Akhbari Shi'ism

[815](#), [817](#).

Akhetaten (later Tell al-Amarna)

[93](#).  
Akhenaten, king of Egypt  
[90](#). See [Amenophis IV \(Akhenaten\), king of Egypt](#).  
Akhlamu  
[103](#), [106](#).  
Akhromeyev, Sergei, Russian commander  
[3296](#).  
Akhuni of Bit Adini  
[106](#).  
Akiba, Jewish leader  
[253](#).  
Akihito, emperor of Japan  
[4170](#), [4242](#), [4243](#), [4243](#).  
Akitoye, king of Lagos  
[1516](#).  
Akkad  
[66](#), [83](#), [83](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [85](#), [88](#), [93](#), [102](#), [112](#), [122](#), [122](#), [124](#).  
Akkerman  
[315](#).  
Akko  
[103](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 3

Akmola

[3337](#). *See* [Astana](#).

Ak 

[861](#).

Akroinon, battle of

[431](#), [501](#).

Akron

[1580](#).

Akuffo, Frederick, Ghanaian leader

[4344](#).

Akwamu

[873](#).

Alabama

[53](#), [1574](#), [1580](#), [1585](#), [3408](#), [3411](#), [3411](#), [3411](#), [3411](#), [3416](#).

al-Abbas, Muhammad's uncle

[291](#), [292](#).

Alacaluf people

[570](#).

al-Adil Sayf al-Din, Ayyubid leader

[319](#).

Alagoas

[915](#).

Alai Darwaza style

[332](#).

Alalakh, Syria

[113](#).

Alamán, Lucas, Mexican leader

[1687](#), [1687](#), [1687](#).

Alamanni

[255](#), [256](#), [257](#), [258](#), [258](#), [261](#), [262](#), [406](#), [407](#), [407](#), [415](#).  
al-Amin, bey of Tunisia  
[3940](#), [3942](#).  
Alamut  
[302](#), [304](#).  
Alans  
[258](#), [265](#), [269](#), [403](#), [403](#), [404](#).  
al-Aqsa Mosque, Jerusalem  
[3774](#), [3871](#).  
Alara  
[99](#).  
al-Arabi al-Darqawi, religious leader  
[1375](#), [1381](#).  
Alarcón, Fabian, Ecuadorian leader  
[3572](#).  
Alarcón, Hernando de, Spanish explorer  
[903](#), [903](#).  
Alarcón, Juan Ruiz de, Spanish-American playwright  
[912](#).  
Alarcon, Ricardo, Cuban leader  
[3726](#).  
Alarcos, battle of  
[476](#).  
Alaric, Visigoth leader  
[265](#), [265](#), [265](#), [265](#), [403](#), [403](#), [403](#), [403](#), [403](#), [403](#).  
Alaric II, Visigoth king  
[260](#), [406](#).  
Alashehir  
[2321](#).  
Alashiya, Cyprus  
[113](#).  
al-Ashraf Barsbay, Mamluk leader  
[320](#).  
al-Ashraf Kansawh al-Ghawri, Mamluk leader  
[320](#).  
Alaska, U.S. state  
[18](#), [18](#), [28](#), [28](#), [28](#), [28](#), [33](#), [33](#), [954](#), [955](#), [2530](#), [2531](#), [2600](#), [3404](#), [3425](#); Russian settlements, [1256](#); purchase by U.S., [1259](#), [1593](#); boundary dispute, [1613](#), [1639](#); North Slope, [3417](#).  
Ala-ud-din, ruler of India  
[332](#), [332](#), [332](#).

Alauddin Riayat Syah, sultan

[837](#).

Alaungpaya, king of Burma

[846](#), [1402](#).

Alawi dynasty

[823](#), [824](#), [824](#), [1376](#), [2371](#), [3840](#), [3841](#), [3841](#), [3842](#), [3843](#); law codes, [3839](#).

al-Azhar Mosque

[317](#).

al-Azhar University, Egypt

[3910](#).

Alba

*See* [Alva, Fernando Alvarez de Toledo, duke of, Spanish commander](#).

Alba, Luis, Ecuadorian leader

[2264](#).

Alba Julia

[1779](#), [2179](#).

Albani, Gian Francesco

*See* [Clement XI, pope](#).

Albania

[310](#), [312](#), [312](#), [312](#), [313](#), [314](#), [315](#), [441](#), [497](#), [538](#), [538](#), [562](#), [562](#), [563](#), [563](#), [564](#), [565](#), [566](#), [803](#), [810](#), [1106](#), [1108](#), [1110](#), [1137](#), [1137](#), [1137](#), [1138](#), [1138](#), [1139](#), [1139](#), [1139](#), [1283](#), [1325](#), [1325](#), [1325](#), [1325](#), [1325](#), [1325](#), [1326](#), [1326](#), [1326](#), [1326](#), [1326](#), [1326](#), [1326](#), [1326](#), [1328](#), [1366](#), [1727](#), [1817](#), [1837](#), [1853](#), [1948](#), [1957](#), [2130](#), [2136](#), [2136](#), [2136](#), [2137](#), [2137](#), [2137](#), [2139](#), [2140](#), [2143](#), [2637](#), [2638](#), [2640](#), [2649](#), [2719](#), [2722](#), [2722](#), [2729](#), [2750](#), [3166](#), [3180](#), [3181](#), [3198](#), [3204](#), [3208](#), [3209](#), [3250](#), [3273](#), [3275](#), [3279](#), [3370](#); revolt in, [1348](#); WWI, [1745](#), [1746](#), [1797](#), [2136](#); WWII, [1814](#), [2143](#), [2590](#), [2590](#); between Wars, [1822](#); and Italy, [1943](#), [2138](#), [2139](#), [2141](#), [2141](#), [2141](#), [2141](#), [2142](#), [2157](#); and Kosovo, [2142](#); liberation, [2143](#); post-WWII, [3198](#); People's Republic of Albania, [3198](#); Communist, [3198](#), [3199](#), [3199](#), [3199](#), [3199](#), [3200](#), [3200](#), [3200](#), [3200](#), [3201](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#); Socialist People's Republic of Albania, [3202](#); liberalization, [3202](#), [3203](#), [3203](#), [3203](#), [3203](#), [3203](#), [3203](#), [3203](#), [3204](#), [3204](#), [3206](#), [3206](#), [3206](#), [3206](#).

Albanian Cultural Association

[1325](#).

Albanian League

[1110](#).

Albanian National Liberation Army

[2143](#).

Albanians

[2754](#), [2756](#), [3174](#), [3175](#), [3180](#), [3181](#), [3182](#), [3206](#).

Albania Party of Labor



[3199](#), [3204](#).  
Alban Lake  
[255](#).  
Albany, Australia  
[1488](#), [1489](#).  
Albany, New York  
[932](#), [932](#), [935](#), [935](#), [989](#).  
Albany Convention  
[940](#).  
Albatross, German plane  
[1766](#).  
Albazin  
[852](#).  
Alberdi, Juan Bautista, Latin American leader  
[1659](#).  
Alberic II, pope  
[465](#).  
Alberoni, Giulio, cardinal  
[659](#), [723](#).  
Albert, archduke of Austria  
[1216](#).  
Albert, bishop of Livonia  
[489](#).  
Albert, France  
[1738](#).  
Albert, French worker  
[1081](#).  
Albert I, king of Belgium  
[1171](#), [1738](#), [1781](#), [1882](#), [1882](#), [1882](#), [1886](#).  
Albert (Albrecht) I, Holy Roman emperor  
[540](#).  
Albert II, Holy Roman emperor  
[541](#), [542](#), [544](#), [544](#), [560](#), [561](#).  
Albert II, king of Belgium  
[2824](#).  
Alberta, Canada  
[1639](#), [2226](#), [2227](#), [2231](#).  
Alberti, Leon Batista, architect  
[532](#), [536](#), [643](#).  
Alberti family  
[534](#).

Albert of Austria  
[550](#).

Albert of Habsburg  
*See* [Albert II, Holy Roman emperor](#).

Albert of Mecklenburg, king of Sweden  
[552](#).

Albert of Saxe-Coburg-Gotha, prince consort of Victoria of England  
[1049](#), [1050](#), [1155](#).

Albert the Bear  
[456](#), [456](#), [456](#), [460](#), [486](#).

Albertus Magnus, theologian  
[452](#).

Alberuni, scientist  
[325](#).

Albigensian Crusade  
[450](#), [451](#), [469](#), [479](#), [507](#).

Albigensians  
[450](#), [469](#), [469](#), [479](#), [505](#), [507](#).

Albinus, Decimus Clodius, Roman general and rival emperor  
[255](#), [255](#).

Albizzi, Maso degli, Florentine leader  
[534](#).

Albornoz, Claudio Sánchez, writer  
[2895](#).

Albornoz, Gil Álvarez Carillo de, cardinal  
[530](#).

Alborz Mountains  
[302](#).

Albrecht  
*See* [Albert \(Albrecht\) I, Holy Roman emperor](#).

Albrecht (Hohenzollern) of Brandenburg, cardinal  
[550](#).

Albright, Madeline K., U.S. leader  
[3435](#).

Albuquerque, Afonso de, Portuguese commander  
[281](#), [376](#), [605](#), [840](#).

Alcaçovas, treaty of  
[281](#).

Alcaeus, Greek poet  
[176](#).

Alcántara, battle of

605.  
Alcatraz  
3418, 3424.  
Alcazar, Seville  
479, 1929.  
Alcazar-Qivir  
*See* battle of Al Kasr al-Kabir.  
alchemy  
156.  
Alcibiades, Athenian general  
197, 197, 198, 198, 198, 198, 198.  
Alcmaeonids  
180, 180, 181, 187, 187, 189.  
Alcman, Greek poet  
176.  
Alcock, John W., aviation pioneer  
991.  
Alcuin, scholar  
411, 411, 422.  
Aldan River  
28.  
al-Da`wa al-Islamiyya, Iraq  
3883.  
Aldermaston, England  
2769.  
al-Dhahabi  
*See* Ahmad al-Mansur, ruler of Morocco.  
Aldobrandini, Ippolito  
*See* Clement VIII, pope.  
Aldrich-Vreeland Act, U.S.  
1620.  
Aldrin, Edwin “Buzz”, Jr., astronaut  
2666, 3417.  
Alea, Tomás Gutiérrez, film director  
3465.  
Aleijadinho  
*See* Lisboa, Antônio Francisco, Brazilian artist.  
Aleixandre, Vicent, poet  
2896.  
Alem, Leandro N., Latin American leader  
1660, 1660.

Alemán, Mateo, Spanish writer

[604](#).

Alemán, Miguel, Mexican leader

[3701](#), [3701](#), [3701](#).

Alemán Lacayo, José Arnoldo, Nicaraguan leader

[3684](#).

Alencar, José de, writer

[1657](#).

Alençon

[523](#).

Aleppo

[100](#), [103](#), [113](#), [113](#), [297](#), [301](#), [302](#), [317](#), [317](#), [317](#), [317](#), [318](#), [318](#), [318](#), [318](#), [319](#), [319](#), [319](#), [320](#), [320](#), [437](#), [438](#), [505](#), [792](#), [799](#), [803](#), [805](#), [806](#), [809](#), [810](#), [811](#), [813](#), [1328](#), [1328](#), [1332](#), [1333](#), [1347](#), [1750](#), [1751](#), [1753](#), [2371](#), [2371](#), [2371](#), [3839](#), [3840](#), [3842](#), [3843](#).

Alessandri, Arturo, Chilean leader

[2245](#), [2245](#), [2245](#), [2245](#), [2246](#), [2246](#), [2246](#), [2247](#).

Alessandri, Jorge, Chilean leader

[3509](#), [3511](#).

Alessandria

[469](#), [469](#).

Aleuadae clan

[182](#).

Aleuas of Larissa

[182](#).

Aleutian Islands

[2531](#), [2627](#).

Alevi

See [Shi'ism](#).

Alexander, bishop of Rome

[268](#).

Alexander, governor of the Peloponnesus

[210](#).

Alexander, tyrant of Pherae

[202](#), [202](#), [208](#).

Alexander I, king of Greece

[1759](#), [2144](#), [2144](#).

Alexander I, king of Poland

[632](#).

Alexander I, king of Serbia and of Yugoslavia

[1779](#), [2028](#), [2127](#), [2129](#), [2131](#), [2134](#), [2134](#).

Alexander I, tsar of Russia

[632](#), [766](#), [767](#), [790](#), [1025](#), [1025](#), [1029](#), [1032](#), [1033](#), [1079](#), [1256](#), [1256](#), [1256](#), [1256](#),  
[1256](#), [1256](#), [1257](#), [1257](#), [1257](#), [1267](#), [1267](#), [1272](#), [1272](#), [1272](#), [1354](#).

Alexander I Karageorgevich, regent and later king of Serbia  
[1295](#).

Alexander I of Battenberg, prince of Bulgaria  
[1300](#), [1300](#), [1301](#), [1301](#), [1301](#), [1301](#), [1302](#), [1302](#).

Alexander I of Epirus  
[206](#).

Alexander II, Byzantine emperor  
[436](#).

Alexander II, pope  
[444](#), [467](#), [505](#).

Alexander II, tsar of Russia  
[1104](#), [1105](#), [1110](#), [1254](#), [1254](#), [1254](#), [1255](#), [1255](#), [1256](#), [1259](#), [1259](#), [1259](#), [1260](#),  
[1268](#); assassination of, [1260](#).

Alexander III, king of Scotland  
[447](#), [447](#).

Alexander III, pope  
[450](#), [469](#), [469](#), [469](#), [471](#), [476](#).

Alexander III, tsar of Russia  
[1256](#), [1260](#), [1261](#).

Alexander III, the Great  
[48](#), [70](#), [70](#), [70](#), [73](#), [77](#), [81](#), [88](#), [95](#), [105](#), [109](#), [115](#), [119](#), [124](#), [127](#), [129](#), [129](#), [186](#), [191](#),  
[206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [207](#), [207](#), [207](#), [207](#), [207](#), [207](#), [207](#), [207](#), [207](#),  
[208](#), [208](#), [209](#), [217](#), [312](#).

Alexander IV, king of Macedonia  
[209](#).

Alexander IV, pope  
[459](#).

Alexander V, king of Macedonia  
[209](#), [209](#).

Alexander V, pope  
[531](#).

Alexander VI, pope  
[533](#), [536](#), [572](#), [597](#), [607](#), [609](#), [910](#).

Alexander VII, pope  
[622](#), [736](#).

Alexander VIII, pope  
[736](#).

Alexander, Harold  
[3443](#), [3445](#).

Alexander, Tiberius Julius, prefect of Egypt  
[251](#).

Alexander Balas, king of Syria  
[214](#), [218](#).

Alexander Jannaeus, Hasmonean leader  
[214](#).

Alexander Karageorgevich, prince of Serbia  
[1285](#), [1285](#), [1285](#), [1288](#).

Alexander Nevski, Russian prince  
[489](#), [489](#), [490](#), [490](#), [490](#), [558](#).

Alexander Obrenovich, king of Serbia  
[1291](#), [1291](#), [1291](#), [1291](#), [1292](#).

Alexander Severus, Roman emperor  
[255](#), [255](#), [256](#), [256](#), [257](#), [257](#), [272](#).

Alexander the Great  
*See* [Alexander III \(the Great\), king of Macedonia](#).

Alexander Zabinas, pretender to the Pergamum throne  
[215](#).

Alexandra of Hesse-Darmstadt, tsarina of Russia  
[2062](#), [2067](#).

Alexandra Palace  
[1850](#).

Alexandretta  
[474](#), [969](#), [1728](#), [1750](#), [2376](#), [2376](#), [2377](#). *See* [Hatay, republic of](#).

Alexandria, Egypt  
[206](#), [208](#), [208](#), [208](#), [218](#), [218](#), [219](#), [241](#), [242](#), [245](#), [260](#), [275](#), [287](#), [295](#), [401](#), [429](#), [430](#),  
[810](#), [962](#), [1010](#), [1010](#), [1162](#), [1327](#), [1331](#), [1332](#), [1366](#), [1366](#), [1367](#), [1368](#), [1372](#), [1372](#),  
[1372](#), [2353](#), [2614](#), [3906](#), [3913](#); University of, [2368](#).

Alexandria, Virginia  
[940](#).

Alexandria Protocol  
[2369](#).

Alexandrov, Todor, Macedonian leader  
[2163](#).

Alexinatz, battle of  
[1106](#).

Alexis, Greek playwright  
[208](#).

Alexis, son of Peter the Great  
[784](#), [785](#), [786](#).

Alexis I Mikhailovich, tsar of Russia

[783](#), [783](#), [783](#), [783](#), [784](#), [784](#).  
Alexius I Comnenus, Byzantine emperor  
[500](#), [500](#), [500](#), [500](#), [501](#), [501](#), [501](#), [501](#), [501](#).  
Alexius II Comnenus, Byzantine emperor  
[503](#), [503](#), [564](#).  
Alexius III Angelus, Byzantine emperor  
[503](#), [503](#), [508](#).  
Alexius IV Angelus, Byzantine emperor  
[504](#), [504](#), [507](#).  
Alexius V Dukas, Byzantine emperor  
[504](#), [507](#).  
Alexius of Trebizond  
[506](#), [508](#), [508](#), [508](#).  
al-Farazdaq, Tammam ibn Ghalib  
[291](#).  
Alfaro, Eloy, Latin American leader  
[1671](#), [1671](#), [1671](#).  
Alfarrobeira, battle of  
[529](#).  
al-Fatah  
[3778](#); PLO, [3772](#).  
Alfieri, Vittorio, Italian playwright  
[735](#).  
Alfingher, Ambrosio, colonial administrator  
[897](#).  
Alfonsín, Raúl, Argentine leader  
[3495](#), [3496](#), [3496](#), [3497](#), [3497](#), [3498](#), [3499](#).  
Alfonsine Tables  
[476](#).  
Alfonso I, BaKongo king  
[869](#), [885](#), [885](#).  
Alfonso I, king of Leon and Asturias  
[420](#).  
Alfonso I, the Warrior  
[478](#), [479](#).  
Alfonso II, king of Aragon  
[479](#).  
Alfonso II, king of Leon and Asturias  
[419](#), [420](#).  
Alfonso II, king of Naples  
[607](#).

Alfonso III, king of Aragon

[479](#), [526](#).

Alfonso IV, king of Aragon

[526](#).

Alfonso V, the Magnanimous

[526](#), [533](#), [533](#).

Alfonso VI, king of Castile

[475](#), [475](#), [476](#), [476](#), [476](#), [476](#), [480](#).

Alfonso VII, king of Castile

[476](#).

Alfonso VIII, king of Castile

[475](#), [476](#), [476](#).

Alfonso X, the Learned

[459](#), [476](#), [476](#), [525](#), [525](#).

Alfonso XI, king of Castile

[525](#).

Alfonso XII, king of Spain

[1203](#), [1203](#), [1204](#).

Alfonso XIII, king of Spain

[1204](#), [1921](#), [1922](#), [1925](#), [1925](#), [1925](#).

Alfonso of Calabria

[536](#).

Alfonso the Wise

*See* [Alfonso X \(the Learned\), king of Castile](#).

Alfred, English prince

[1278](#).

Alfred P. Murrah Federal Building

[3433](#).

Alfred the Great, king of England

[422](#), [422](#), [422](#), [422](#), [422](#), [422](#), [424](#).

Algeciras

[475](#), [476](#), [2923](#); conferences, [976](#), [1130](#), [1378](#), [1615](#); act of, [1130](#), [1135](#).

Algeria

[293](#), [293](#), [321](#), [321](#), [321](#), [321](#), [322](#), [322](#), [322](#), [323](#), [323](#), [323](#), [323](#), [475](#), [475](#), [822](#), [826](#), [826](#), [826](#), [826](#), [827](#), [827](#), [828](#), [828](#), [828](#), [828](#), [828](#), [829](#), [829](#), [953](#), [1060](#), [1130](#), [1329](#), [1375](#), [1375](#), [1376](#), [1377](#), [1378](#), [1381](#), [1381](#), [1381](#), [1382](#), [1382](#), [1382](#), [1383](#), [1383](#), [1383](#), [1383](#), [1383](#), [1384](#), [1386](#), [1390](#), [1392](#), [1562](#), [2423](#), [2639](#), [2644](#), [2644](#), [2668](#), [2847](#), [2849](#), [2850](#), [2850](#), [2851](#), [2852](#), [2852](#), [2852](#), [2853](#), [2853](#), [2853](#), [2883](#), [3769](#), [3771](#), [3772](#), [3786](#), [3920](#), [3925](#), [3926](#), [3927](#), [3928](#), [3928](#), [3928](#), [3929](#), [3929](#), [3931](#), [3933](#), [3933](#), [3937](#), [3937](#), [3937](#), [3937](#), [3937](#), [3937](#), [3938](#), [3938](#), [3939](#), [3939](#), [3939](#), [3942](#), [4324](#), [4453](#); and Morocco, [1375](#), [1376](#); and Ottoman Empire, [1381](#); and



Tunisia, [1381](#); Barbary Wars, [1381](#); and France, [1381](#), [2423](#), [2423](#), [2423](#), [2424](#), [2424](#), [2636](#), [3925](#), [3925](#), [3925](#), [3925](#), [3925](#), [3926](#), [3926](#), [3927](#), [3927](#), [3928](#), [3928](#), [3928](#), [3929](#), [3929](#), [3929](#), [3929](#), [3933](#), [3933](#); annexation to France, [1382](#); discriminatory French laws, [1383](#), [1383](#); war with Tunisia, [1385](#); WWI, [2423](#); WWII, [2614](#), [2615](#); War for Independence, [3768](#), [3925](#); makeup, [3925](#); loss in war, [3925](#); provisional government, [3927](#); independence, [3929](#), [3929](#); Arabization program, [3933](#).

Algerian Statute  
[3925](#), [3925](#).

al-Ghazali, theologian  
[283](#), [300](#).

Algidus Pass  
[226](#).

Algiers, Battle of  
[823](#), [826](#), [826](#), [826](#), [826](#), [826](#), [826](#), [826](#), [827](#), [827](#), [827](#), [827](#), [828](#), [828](#), [829](#), [1060](#), [1381](#), [1381](#), [1381](#), [1381](#), [1381](#), [1381](#), [1383](#), [1384](#), [1511](#), [1919](#), [2423](#), [2614](#), [2615](#), [2617](#), [2661](#), [2670](#), [2853](#), [2905](#), [3775](#), [3925](#), [3927](#), [3928](#), [3934](#); relations with Europe, [827](#); treaty with Great Britain, [828](#); surrender to the French, [1329](#); occupation by France, [1381](#); Arab Summit Conference, [3774](#); Battle of, [3926](#).

Algiers Committee of Public Safety  
[3927](#).

Algiers Toast  
[1195](#).

Algirdas  
[557](#), [557](#), [558](#).

Algonquin Indians  
[920](#), [940](#).

al-Haddad, Algerian sheik  
[1383](#).

al-Hadi, Abbasid caliph  
[293](#).

al-Hajjaj, governor of Iraq  
[290](#), [290](#).

Alhajji Abubakar Tafawa Balewa, Nigerian leader  
[4324](#).

Alhajji Muhammad Sanusi, emir of Kano  
[4324](#).

Al-Hajj Muhammad Amin al-Husayni, mufti of Jerusalem  
[2387](#).

Al-Hakam, emir  
[419](#).

Al-Hakam al Mustansir, caliph

[419](#).  
al-Hakim, Fatimid leader  
[317](#).  
Alhambra, Granada  
[475](#), [479](#).  
al-Hasan, ruler of Tunis  
[826](#).  
al-Hasan al-Basri, mystic  
[290](#).  
al-Hudayda, Yemen  
[2408](#), [2411](#).  
Ali, pasha of Janina  
[1273](#), [1328](#).  
Ali, son of Husayn, king of the Hijaz  
[2410](#).  
Ali III Bey, ruler of Tunisia  
[1390](#), [1390](#).  
Ali, Mohammed, Indian leader  
[2432](#), [2434](#), [2434](#), [2435](#).  
Ali, Mohammed, Pakistani leader  
[3991](#), [3993](#).  
Alia, Ramiz, Albanian leader  
[3202](#), [3203](#), [3203](#), [3205](#), [3206](#).  
Ali Abd al-Raziq, sheik, writer  
[2356](#).  
Ali al-Ash'ari, theologian  
[298](#).  
Ali al-Balhawan, Tunisian leader  
[2427](#).  
Darwish, Ali al-, musicologist  
[3839](#).  
Ali al-Mansur, imam of Yemen  
[820](#), [1358](#), [1359](#), [1359](#).  
Ali al-Mawardi, jurist and writer  
[301](#).  
Ali al-Rida, Shi'ite imam  
[294](#), [813](#).  
Ali al-Shadhili, Sufi leader  
[322](#).  
Aliança Renovadora Nacional, ARENA  
[3614](#).

Ali Bey, ruler of Tunis  
[828](#), [828](#).

Ali Bey al-Kabir, Mamluk ruler of Egypt  
[808](#), [808](#), [957](#).

Ali brothers, Indian Muslim leaders  
[2434](#), [2434](#), [2435](#).

Alibux, Errol, Surinamese leader  
[3632](#).

al-Idrisi, geographer  
[362](#).

Alien Act, Canada  
[1623](#).

Alien Act, England  
[691](#).

Alien Act, U.S.  
[1565](#).

Alien Enemies Act, U.S.  
[1565](#).

Alien Land Law, U.S.  
[2195](#).

Ali Ghadjideni, Al Gaji  
[354](#).

Ali ibn Abi Talib, fourth caliph  
[288](#), [288](#), [288](#), [288](#), [288](#), [288](#), [288](#), [288](#), [289](#), [290](#), [291](#), [293](#), [293](#), [296](#), [300](#).

Ali ibn al-Athir, historian  
[303](#).

Ali ibn Buya, Buyid leader  
[298](#), [298](#).

Ali ibn Dunama, Borno leader  
[871](#).

Ali ibn Ghadhahim, Tunisian leader  
[1390](#).

Ali ibn Hirzihim, Sufi leader  
[322](#).

Ali ibn Mazyad, Mazyadid leader  
[300](#).

Ali Khan, Liaqat, Pakistani leader  
[3957](#).

Ali Kosh, prehistoric settlement  
[36](#).

Alimentus, Lucius, Roman historian

229.  
Ali Mughayat Syah, sultan of Malaya  
839, 839.  
Ali Mumtaz al-Daftari, Iraqi leader  
2400.  
Ali Pasha, governor of Aleppo  
809.  
Ali Pasha, ruler of Tunisia  
828.  
Ali Pasha, Turkish leader  
1331.  
Ali Pasha Janbulat, Syrian rebel  
799.  
Ali Pasha Mubarak, Egyptian reformer  
1373.  
Ali Pasha of Janina, ruler of Albania  
810.  
Ali Pasha Qaramanli, Libyan leader  
1392, 1392.  
Ali Rida Pasha, governor of Libya  
1393.  
Ali Riza, Ottoman leader  
2321.  
Baidh, Ali Salem al-, Yemenite leader  
3895.  
Ali Shari`ati, writer  
3819.  
Ali Suavi, leader of Young Ottomans  
1336.  
Ali Ufki, compiler of Middle Eastern music  
806.  
Aliyahs, Jewish immigration  
1346.  
Aliyev, Geidar, Azerbaijani leader  
3313, 3313, 3314, 3314.  
Aliyev, Ilham, Azerbaijani leader  
3314.  
Ali Yusuf, Egyptian leader  
1374.  
al-Jadid Mosque, Mosque of the Fishery  
827.

al-Jama 'a al-Islamiya, Egypt  
[3916](#).

al-Jazuli, founder of Sufism  
[822](#).

Aljubarrota, battle of  
[528](#).

al-Kamil Muhammad, Ayyubid leader  
[319](#).

Al Kasr al-Kabir" ID="A000029, battle of  
[605](#).

al-Khalifa dynasty  
[820](#).

al-Khayzuran, wife of al-Mahdi  
[293](#).

Al-Khwarizmi, Arab scholar  
[444](#).

All-African Convention  
[2579](#).

Allahabad High Court  
[3973](#).

Allan, Hugh, Canadian industrialist  
[1630](#).

Allectus, rebel in Britain  
[261](#), [261](#).

Allemane, Jean, French socialist  
[1191](#), [1195](#).

Allen, Ethan, American commander  
[946](#).

Allenby, Edmund H.  
[507](#), [1752](#), [1801](#), [2352](#).

Allende, Isabel, writer  
[3514](#).

Allende Gossens, Salvador, Chilean leader  
[3509](#), [3510](#), [3511](#), [3511](#), [3511](#), [3511](#), [3511](#), [3511](#), [3512](#), [3513](#), [3514](#), [3521](#); coup, [3513](#).

Allenstein, Germany  
[1974](#).



## Subject Index

### Page 4

- Allersheim, battle of  
[623](#).
- Alley, Alphonse, Dahomean leader  
[4329](#).
- Allgemeines Landrecht, Prussia  
[755](#).
- Alliance des forces démocratiques pour la libération du Congo-Zaire, AFDL  
[4450](#), [4452](#), [4452](#).
- Alliance for Freedom, Italy  
[2948](#).
- Alliance for Germany, East Germany  
[3021](#).
- Alliance for Progress  
[3469](#), [3469](#), [3662](#).
- Alliance Israélite Universelle  
[1336](#); in Morocco, [1376](#).
- Alliance of Bern  
[626](#).
- Alliance of Cognac  
[614](#).
- Alliance of Free Democrats, Hungary  
[3156](#).
- Alliance Party  
[4104](#); Malaya, [4105](#).
- Allia River  
[226](#).
- Allied Army of Central America  
[1683](#).
- Allied Control Commission, WWII  
[1961](#).

Allied Control Committee

[2622](#).

Allied Control Council

[2982](#), [2983](#), [2985](#).

Allied Council for Austria

[3028](#), [3029](#), [3031](#).

Allied High Commission

[2991](#).

Allied Military Government, A.M.G.

[1961](#).

Allied Occupation Statute

[2708](#).

Allied Supreme Council

[2043](#).

Allies

[1472](#), [1699](#), [1699](#), [1700](#), [1702](#), [1708](#), [1710](#), [1711](#), [1712](#), [1713](#), [1738](#), [1741](#), [1742](#),  
[1742](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1744](#), [1754](#), [1755](#), [1758](#), [1758](#), [1759](#),  
[1759](#), [1759](#), [1763](#), [1767](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1773](#), [1778](#), [1778](#), [1779](#),  
[1780](#), [1780](#), [1781](#), [1781](#), [1781](#), [1782](#), [1784](#), [1784](#), [1787](#), [1788](#), [1788](#), [1788](#), [1788](#),  
[1790](#), [1795](#), [1806](#), [1806](#), [1818](#), [1818](#), [1823](#), [1826](#), [1894](#), [1895](#), [1934](#), [1941](#), [1973](#),  
[1973](#), [1974](#), [1974](#), [1976](#), [1976](#), [1978](#), [1983](#), [1994](#), [2000](#), [2023](#), [2023](#), [2036](#), [2064](#),  
[2064](#), [2067](#), [2067](#), [2067](#), [2068](#), [2084](#), [2086](#), [2089](#), [2097](#), [2097](#), [2099](#), [2114](#), [2144](#),  
[2242](#), [2270](#), [2320](#), [2320](#), [2320](#), [2322](#), [2325](#), [2434](#), [2462](#), [2530](#); WWII, [1900](#), [1918](#),  
[1919](#), [1933](#), [1940](#), [1960](#), [2012](#), [2159](#), [2173](#), [2238](#), [2339](#), [2344](#), [2493](#), [2529](#), [2532](#),  
[2532](#), [2533](#), [2533](#), [2557](#), [2563](#), [2563](#), [2570](#), [2597](#), [2597](#), [2608](#), [2608](#), [2609](#), [2609](#),  
[2614](#), [2615](#), [2617](#), [2617](#), [2617](#), [2618](#), [2618](#), [2618](#), [2619](#), [2619](#), [2619](#), [2619](#), [2619](#),  
[2620](#), [2621](#), [2621](#), [2627](#), [2627](#), [2627](#), [2627](#), [2627](#), [2629](#), [2629](#), [2631](#), [2631](#), [2632](#), [2636](#),  
[2637](#), [2638](#), [2638](#), [2640](#), [2640](#), [2707](#), [2708](#), [2708](#), [2709](#), [2710](#), [2714](#), [2727](#), [2731](#),  
[2838](#), [2887](#), [2925](#), [2982](#), [2984](#), [2986](#), [2986](#), [2987](#), [2992](#), [2996](#), [2997](#), [3010](#), [3015](#),  
[3029](#), [3030](#), [3030](#), [3265](#), [3273](#), [3274](#), [3838](#), [4189](#), [4223](#), [4224](#), [4320](#); WWII merchant  
tonnage, [2608](#); WWII losses, [2617](#); WWII end, [2622](#); Vietnam, [4269](#).

All-India Congress

[2443](#), [2443](#), [2444](#), [2444](#), [2444](#), [2445](#), [2447](#), [2447](#), [3951](#), [3951](#), [3953](#).

All-India Congress Committee

[3977](#).

All-India Congress Socialist Party

[2442](#).

All-India Federation

[2443](#).

All-India Muslim League

[2432](#), [2432](#).



Allmohades, Berber dynasty  
[322](#), [322](#), [322](#), [322](#).

Allouez, Claude-Jean, missionary in North America  
[921](#).

All-People's Congress Party, Sierra Leone  
[4382](#).

All-Russian Congress of Soviets  
[2065](#), [2067](#).

All-Union Communist Party  
[2069](#).

All-Union Congress of the Communist Party  
[2072](#).

Alma Ata  
[3304](#), [3334](#).

Almadén  
[911](#).

Almagro, Diego de, Spanish explorer  
[898](#), [898](#), [898](#), [898](#), [898](#), [898](#), [899](#).

Almagro the Younger, Diego de, governor of Peru  
[898](#).

al-Mahdi, Abbasid caliph  
*See* [Muhammad al-Sheik, ruler of Morocco](#).

al-Ma'mun, Abbasid caliph  
[294](#), [294](#), [294](#), [294](#), [294](#), [295](#).

Almamy Samori, African leader  
[1511](#), [1511](#), [1511](#).

al-Mansur, Abbasid caliph  
[292](#), [292](#).

al-Mansur Kalavun, Mamluk leader  
[319](#).

Almanza, battle of  
[728](#).

al-Marj  
[1392](#).

Al-Marsa Convention  
[1390](#).

Almazan, treaty of  
[525](#).

Almeida, Antonio José de, Portuguese leader  
[1934](#).

Almeida, Francisco de, governor of the Indies

[281](#), [605](#), [830](#).  
Almirall, V., Catalonia leader  
[1204](#).  
Almohades, Berber dynasty  
[475](#), [475](#), [475](#), [476](#), [476](#), [476](#).  
Almoravids, Berber dynasty  
[321](#), [321](#), [322](#), [322](#), [344](#), [344](#), [344](#), [351](#), [352](#), [475](#), [475](#), [475](#), [476](#), [476](#), [476](#).  
Al Muhtadee, Bruneian leader  
[4118](#).  
al-Mukhtar, Umayyad challenger  
[289](#).  
al-Muqanna, Abbasid challenger  
[293](#).  
al-Muqtadir, Abbasid caliph  
[297](#).  
al-Mustansir, Hafsid leader  
[319](#), [322](#).  
al-Musta'sim, Abbasid caliph  
[304](#).  
al-Mu'tadid, Abbasid caliph  
[296](#).  
al-Mu'tasim, Abbasid caliph  
[294](#), [295](#).  
al-Mutawakkil, Abbasid caliph  
[294](#), [295](#).  
al-Muwaffaq, Abbasid regent  
[296](#).  
al-Nahda, Muslim movement  
[3946](#).  
al-Nasir, Abbasid caliph  
[303](#).  
al-Nasir Muhammad, Mamluk leader  
[319](#).  
Alonso, José Varela, labor leader  
[3489](#).  
Alonso, Severo Fernández, Latin American leader  
[1669](#).  
Alp Arslan, Seljuk leader  
[301](#), [301](#), [301](#), [500](#).  
alphabet  
[101](#), [176](#); Glagolitic, [483](#); Syriac, [800](#); Hebrew, [816](#); Korean, [856](#); Arabic, [1534](#).

Alphonse, count of Poitou

[451](#), [452](#).

Alps

[18](#), [31](#), [222](#), [231](#), [246](#), [403](#), [406](#), [407](#), [411](#), [411](#), [421](#), [425](#), [465](#), [537](#), [538](#), [612](#), [743](#),  
[1009](#), [1011](#), [1229](#).

Alptigin, Samanid leader

[300](#).

al-Qabisi, theologian

[321](#).

al-Qadir, Abbasid caliph

[300](#).

al-Qudsi, Nazim, Syrian leader

[3839](#), [3839](#).

al-Radi, Abbaid caliph

[297](#).

al-Rafah

[1347](#).

al-Rajma Agreement, Libya

[2430](#).

al-Raydaniyya, battle of

[792](#).

Alsace

[524](#), [540](#), [546](#), [546](#), [622](#), [624](#), [656](#), [713](#), [1059](#), [1188](#), [1234](#), [1769](#).

Alsace-Lorraine

[1769](#), [1771](#), [1780](#), [1784](#), [1901](#).

al-Salih Ayyub, Ayybid leader

[319](#).

al-Samlali, leader of the Jazuli order

[823](#).

al-Sayyid Idris, emir in Libya

[2430](#), [2430](#), [2431](#).

al-Sayyid Umar al-Mukhtar, leader of Libyan resistance

[2431](#).

Alta California

[904](#), [904](#).

Altaic peoples

[428](#), [430](#), [488](#).

Altamaha River

[938](#).

Altamira

[3623](#).

Altamirano, Luis, Chilean leader  
[2245](#).

Altan Khan, prince of the Ordos  
[851](#).

Altar of Victory  
[268](#).

alternating current  
[982](#).

Althing, Iceland  
[774](#), [1077](#), [1078](#), [2060](#), [2060](#), [2060](#).

Altieri, Emilio, cardinal  
*See* [Clement X, pope](#).

Altmark  
[411](#); treaty of, [633](#).

Alto Adige, formerly Austrian South Tyrol  
[2937](#), [2939](#), [3029](#), [3032](#), [3033](#), [3034](#), [3036](#).

Alto Douro  
[729](#).

Altranstädt, treaty of  
[780](#).

Altzelle, Saxony  
[443](#).

A-luo-ben, Nestorian visitor to China  
[368](#).

Alusian, son of John Vladislav  
[496](#).

Alva, duke of, Fernando Alvarez de Toledo, Spanish commander  
[595](#), [602](#), [605](#), [609](#).

Alvarado, Pedro de, Spanish conquistador  
[898](#), [901](#), [902](#), [902](#), [902](#), [902](#).

Alvarado, Salvador, Mexican commander  
[2293](#).

Alvares, Francesco, Portuguese traveler in Africa  
[879](#).

Alvarez, Gustavo, Honduran leader  
[3696](#).

Alvarez, Jorge, explorer  
[281](#).

Álvarez, Juan, Mexican leader  
[1691](#), [1691](#).

Alvarez, Luis Alberto Monge, Costa Rican leader

[3689](#).  
Alvear, Carlos Maria de, Latin American leader  
[1644](#).  
Alvear, Marcelo, Argentine leader  
[2242](#), [2243](#), [2243](#).  
Alvensleben Convention  
[1268](#).  
Alverstone, viscount, Richard E. Webster, British envoy  
[1613](#).  
Alves, Rodrigues, Brazilian leader  
[2270](#), [2270](#).  
al-Walid, Umayyad caliph  
[290](#).  
Alyattes, king of Lydia  
[114](#), [177](#).  
al-Yazid, sultan of Morocco  
[825](#).  
al-Zahir Baybars, Mamluk leader  
[319](#), [360](#), [360](#).  
al-Zubayr, companion to Muhammad  
[288](#), [289](#).  
Amadas, Philip, English explorer  
[924](#).  
Amadeo I, king of Spain  
[1202](#), [1202](#), [1202](#).  
Amadeus, duke of Savoy  
[567](#).  
Amadeus of Savoy  
*See* [Felix V, pope](#).  
Amadiyya people  
[1331](#).  
Amakusa  
[860](#).  
Amal, Lebanon  
[3846](#), [3851](#), [3853](#).  
Amalaric, Visigoth king  
[406](#).  
Amalfi  
[466](#), [467](#), [471](#), [472](#), [507](#).  
Amalgamated Association of Iron and Steel Workers  
[1605](#).

Amalgamated Society of Engineers, ASE  
[1155](#), [1155](#).

Amal Wah, Muslim state  
[344](#).

Amanullah, ruler of Afghanistan  
[2346](#), [2346](#), [2346](#), [2347](#), [2347](#), [2348](#), [2348](#), [2348](#), [2433](#).

Amapala, pact of, Honduras  
[2288](#).

Amaravati  
[132](#), [133](#), [133](#).

Amarna Letters  
[93](#), [103](#).

Amaro, José, Portuguese explorer  
[1507](#).

Amasis, king of Egypt  
[95](#).

Amasya  
[312](#), [795](#), [795](#), [1328](#).

Amatera-su  
[167](#).

Amati, Niccolò, Italian violinmaker  
[735](#).

Amato, Giuliano, Italian leader  
[2952](#), [2952](#).

Amaziah, king of Judah  
[105](#), [105](#).

Amazon River  
[34](#), [61](#), [570](#), [573](#), [898](#), [915](#), [916](#), [916](#), [1670](#), [1677](#), [1677](#), [2264](#), [3552](#), [3553](#), [3569](#),  
[3571](#), [3571](#), [3572](#), [3617](#), [3622](#), [3622](#), [3624](#), [3627](#).

Amba Alagi, battle of  
[1222](#).

Ambedkar, Bhimrao Ramji, Indian leader  
[2441](#), [3956](#).

Amberg  
[1009](#).

Ambhi, king of Taxila  
[207](#).

Amboina  
[840](#), [841](#), [2627](#).

Ambracia  
[205](#).

Ambrona  
[22](#).

Ambrose, bishop of Milan  
[268](#), [401](#).

Amda-Siyon, Ethiopian ruler  
[360](#).

Amedo Development Corporation, Brunei  
[4118](#).

Ameixal, battle of  
[727](#).

Amenemhet I, king of Egypt  
[92](#), [92](#).

Amenemhet III, king of Egypt  
[92](#).

Amenophis I, Amenhotep  
[90](#), [93](#), [93](#), [93](#), [103](#).

Amenophis III, king of Egypt  
[86](#), [93](#), [98](#).

Amenophis IV, Akhenaten  
[86](#), [93](#).

America  
[605](#), [674](#), [909](#); as name of the Western Hemisphere, [573](#); commemoration of discovery, [2907](#).

American Anti-Slavery Society  
[1575](#).

American Association for the Advancement of Science  
[1039](#).

American Board of Commissioners for Foreign Missions  
[1476](#), [1514](#).

American Civil Liberties Union, ACLU  
[2190](#).

American Colonization Society, ACS  
[1514](#), [1573](#).

American Common Market  
[2696](#).

American Equal Rights Association  
[1592](#).

American Federation of Labor, AFL  
[1598](#), [1602](#), [1605](#), [1639](#), [2187](#), [2189](#), [2295](#), [3400](#).

American Friends Service Committee  
[1701](#).

American Indian Defense Association

[2201](#).

American Indian Movement, AIM

[2670](#), [3415](#), [3418](#), [3424](#).

American League of Baseball Clubs

[1610](#).

American Peace Society

[1574](#).

American Popular Revolutionary Alliance, APRA

[2259](#), [2260](#), [2260](#), [2260](#), [2261](#), [2262](#), [2263](#), [3552](#).

American Protective Association

[1602](#).

American Railway Union

[1605](#), [1611](#).

American Red Cross Society

[1600](#).

American Revolution

[579](#), [717](#), [725](#), [789](#), [907](#), [941](#), [946](#), [957](#), [1622](#), [1622](#), [1623](#), [1643](#).

Americans for Democratic Action, ADA

[3391](#).

Americans with Disabilities Act

[3439](#).

American Telephone and Telegraph Company, AT&T

[3407](#), [3427](#), [3458](#).

American Tobacco Company

[1618](#).

American Trading Company of Borneo

[1413](#), [1413](#).

American University

[3408](#).

American University of Beirut

[1337](#).

American Watch Tower movement

[4432](#).

Americas

[14](#), [18](#), [28](#), [28](#), [28](#), [33](#), [34](#), [35](#), [40](#), [53](#), [281](#), [570](#), [570](#), [579](#), [579](#), [579](#), [582](#), [584](#), [584](#),  
[584](#), [584](#), [601](#), [602](#), [602](#), [603](#), [604](#), [604](#), [609](#), [609](#), [613](#), [615](#), [644](#), [851](#), [864](#), [869](#), [869](#),  
[869](#), [869](#), [869](#), [892](#), [892](#), [894](#), [894](#), [906](#), [908](#), [908](#), [908](#), [909](#), [911](#), [912](#), [919](#), [919](#),  
[923](#), [953](#), [1034](#), [1335](#), [1346](#), [1506](#), [1506](#), [1506](#), [1516](#), [1574](#), [1603](#), [1614](#), [2206](#), [3443](#);  
European invasions, [570](#); and Africa, [888](#); diplomacy, [2238](#), [3466](#).

Amerindians



[869](#), [920](#).  
Ames, Hubert Brown, sociologist  
[1638](#).  
Amhara, Ethiopia  
[4397](#).  
Amherst, Jeffrey, British commander  
[940](#).  
Amherst, earl of, William Pitt, governor-general of India  
[1394](#), [1415](#).  
Amida  
[273](#), [274](#), [275](#).  
Amidism  
[387](#), [396](#).  
Amiens  
[404](#), [449](#); cathedral, [452](#); treaties, [726](#), [810](#), [907](#), [1018](#), [1410](#), [1549](#); battle of, [1812](#).  
Amin, Hafizullah, Afghan leader  
[3833](#), [3833](#).  
Amin, Idi, Ugandan leader  
[4426](#), [4429](#), [4429](#), [4429](#), [4429](#), [4429](#).  
Amir, Abd al-Hakim, Egyptian leader  
[3905](#).  
Amir, Yigal, assassin  
[3864](#).  
Amir Habibullah, emir of Afghanistan  
[2346](#).  
Amir Haydar Shihab, commander  
[806](#).  
Amirids of Valencia  
[475](#).  
Amir Khusrav, poet  
[332](#).  
Amir Masum al-Bhakkari, Mughal envoy  
[814](#).  
Amirthalingam, Appapillai, Sri Lankan leader  
[4033](#), [4036](#).  
Amis du Manifeste de la Liberté, AML  
[2424](#), [2425](#).  
Amitabha  
See [Amituofuo](#).  
Amituofuo  
[158](#).

Amjazade Huseyin Pasha, grand vezir  
[804](#), [805](#).

Amman  
[2396](#), [2397](#), [2398](#); summit, [3780](#); University of, [3873](#).

Ammannoteyeriké  
[99](#).

Ammianus Marcellinus, Roman soldier and historian  
[260](#).

Ammiditana, king of Babylon  
[85](#).

Ammisaduqa, king of Babylon  
[85](#).

Ammon  
[206](#).

Ammonites  
[104](#).

amnesty  
[1591](#).

Amnesty International  
[2641](#), [3184](#), [3239](#).

Amofo, battle of  
[1516](#).

Amoghavarsha I, ruler of India  
[327](#).

Amon, king of Judah  
[105](#), [105](#).

Amorion  
[295](#), [434](#).

Amorites  
[84](#), [84](#), [85](#), [85](#), [85](#), [85](#), [92](#), [102](#), [102](#), [103](#), [103](#), [104](#), [113](#), [122](#).

Amos, biblical figure  
[105](#).

Amosis, king of Egypt  
[93](#).

Amoy  
[852](#), [1416](#), [1451](#), [4150](#). *See* [Xiamen](#).

Ampère, André-Marie, scientist  
[1039](#).

Amphictyonic Council  
[203](#), [203](#), [204](#), [205](#), [205](#), [205](#).

Amphictyonic League

[204](#).  
Amphictyony of Anthela, Greek religious league  
[182](#), [182](#).  
Amphilochia  
[168](#).  
Amphipolis  
[194](#), [196](#), [203](#), [203](#).  
Amphissa  
[205](#), [205](#), [205](#).  
Ampíes, Juan de, Spanish explorer  
[897](#).  
Ampúes  
*See* [Juan de ~Ampíes, Spanish explorer](#).  
Amr, Saffarid leader  
[295](#).  
Amr al-Jahiz, writer  
[295](#).  
Amr ibn al-As, Muslim commander  
[287](#).  
Amritsar  
[2433](#); treaty of, [1394](#); massacre, [2433](#).  
Amsterdam  
[596](#), [650](#), [703](#), [926](#), [1057](#), [1059](#), [1174](#), [1701](#), [2648](#); Treaty of, [3052](#).  
Amsuvarman, king of Nepal  
[324](#).  
Amundsen, Roald, Norwegian explorer  
[997](#), [997](#), [997](#).  
Amundsen-Scott Station, South Pole  
[998](#).  
Amur River  
[160](#), [784](#), [852](#), [955](#), [1259](#), [1259](#), [1417](#), [1424](#).  
Amurru  
*See* [Amorites](#).  
Amursana, Dzungar prince  
[853](#).  
Amuzgar, Jamshid, Iranian leader  
[3819](#).  
Amyntas I, king of Macedonia  
[183](#), [200](#).  
Amyrtaeus, king of Egypt  
[95](#).

Anabaptists

[614](#), [615](#), [621](#).

Anacletus II, antipope

[456](#), [468](#), [471](#).

Anaconda Company

[3510](#), [3512](#).

Anacreon, Greek poet

[176](#).

Anagni

[453](#), [470](#), [531](#).

Anahillapura, Anandapura

[325](#), [325](#).

Ananda Mahidol, king of Siam

[2452](#), [4064](#).

Anand Panyarachun, Thai leader

[4071](#), [4072](#).

Anantavarman Codaganga, ruler of India

[337](#).

anarchism

[1143](#); France, [1061](#), [1193](#); 1800–1914, [1143](#), [1145](#); Belgium, [1172](#); Spain, [1202](#), [1920](#); Italy, [1221](#), [1222](#); Russia, [1260](#); the U.S., [1602](#); Latin America, [1661](#).

Anarcho-Syndicalists, Spain

[1927](#), [1927](#), [1929](#), [1929](#), [1930](#).

Anasazi

[40](#), [280](#).



Anastasius I, Byzantine emperor

[270](#), [270](#), [407](#).

Anatolia

[42](#), [46](#), [67](#), [84](#), [85](#), [86](#), [87](#), [101](#), [102](#), [111](#), [112](#), [113](#), [113](#), [113](#), [124](#), [233](#), [239](#), [245](#), [262](#), [275](#), [275](#), [281](#), [281](#), [293](#), [299](#), [299](#), [299](#), [300](#), [300](#), [301](#), [301](#), [301](#), [302](#), [303](#), [303](#), [303](#), [305](#), [305](#), [305](#), [305](#), [305](#), [306](#), [306](#), [306](#), [306](#), [306](#), [306](#), [307](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [310](#), [310](#), [310](#), [311](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [313](#), [313](#), [313](#), [314](#), [314](#), [314](#), [315](#), [315](#), [315](#), [315](#), [316](#), [318](#), [319](#), [323](#), [428](#), [430](#), [430](#), [431](#), [431](#), [431](#), [431](#), [431](#), [432](#), [434](#), [438](#), [438](#), [498](#), [500](#), [500](#), [501](#), [501](#), [501](#), [501](#), [502](#), [503](#), [508](#), [508](#), [508](#), [508](#), [508](#), [509](#), [510](#), [564](#), [791](#), [792](#), [792](#), [793](#), [799](#), [799](#), [800](#), [800](#), [800](#), [803](#), [807](#), [812](#), [812](#), [812](#), [966](#), [1120](#), [1328](#), [1329](#), [1331](#), [1333](#), [1337](#), [1337](#), [1343](#), [1343](#), [1344](#), [1345](#), [1346](#), [1346](#), [1346](#), [1347](#), [1347](#), [1367](#), [1385](#), [1708](#), [1817](#), [1817](#), [2144](#), [2144](#), [2319](#), [2320](#), [2321](#), [2321](#), [2321](#), [2321](#), [2321](#), [2322](#), [2322](#), [2322](#), [2323](#), [2325](#), [3782](#), [3787](#), [3795](#); makeup, [301](#); and Ottoman Empire, [1328](#); WWI, [1749](#), [1752](#), [1788](#), [1788](#).

anatomy

[637](#), [639](#), [1041](#), [1041](#).  
Anawrata, ruler of Burma  
[341](#), [341](#), [341](#).  
Anaxagoras, Greek philosopher  
[186](#).  
Anaxandridas, king of Sparta  
[179](#).  
Anaximander, Greek philosopher  
[176](#), [177](#).  
Anaximenes, Greek philosopher  
[176](#), [177](#).  
An Ch'ang-ho, Korean leader  
[2488](#), [2489](#).  
Anchialus, battles of  
[432](#), [436](#), [439](#), [439](#), [441](#).  
An Chung-gn, assassin  
[2488](#).  
An Chung-gn, Korean leader  
[1436](#).  
Ancient Learning, school of Japanese thought  
[859](#).  
Ancón, treaty of  
[1663](#), [1670](#).  
Ancona  
[222](#), [408](#), [408](#), [469](#), [502](#), [502](#), [532](#), [1068](#), [1225](#), [2618](#).  
Ancus Marcius, legendary king of Rome  
[224](#).  
Ancyra  
[213](#), [501](#), [510](#).  
Andagoya, Pascual de, Spanish explorer  
[898](#).  
Andalusia  
[321](#), [322](#), [476](#), [718](#), [908](#), [1028](#), [1202](#), [2899](#).  
Andanson, Michel, explorer in Africa  
[876](#).  
Andean civilization  
[276](#).  
Andernach  
[1009](#).  
Andersen, Hans Christian, writer  
[1077](#).

Anderson, J. W., engineer

[1734](#).

Anderson, Sherwood, writer

[2191](#).

Andes Mountains

[7](#), [34](#), [40](#), [40](#), [40](#), [41](#), [56](#), [56](#), [56](#), [56](#), [57](#), [58](#), [59](#), [60](#), [61](#), [63](#), [63](#), [65](#), [65](#), [280](#), [570](#), [570](#), [897](#), [898](#), [1648](#), [1650](#), [1670](#), [1675](#), [2600](#).

Andhrabhṛityas

[133](#).

Andhra dynasty

[132](#), [133](#).

Andhra Teluga

[132](#).

Andong

[2473](#).

Andorra

[2636](#).

Andrada e Silva, José Bonifácio de, Brazilian leader

[1656](#), [1656](#).

Andrade, Ignacio, Latin American leader

[1675](#).

Andrade, José M., Guatemalan leader

[2278](#).

Andrade, Oswald de, writer

[2241](#).

Andrássy, Julius

[1104](#), [1105](#), [1106](#), [1106](#), [1107](#), [1108](#), [1108](#), [1778](#).

André, John, British spy

[951](#).

Andreotti, Giulio, Italian leader

[2942](#), [2944](#), [2946](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 5

- Andrés Rodríguez, Paraguayan leader  
[3524](#), [3524](#).
- Andrew, brother of Louis I of Hungary  
[560](#).
- Andrew I, king of Hungary  
[492](#), [492](#), [492](#).
- Andrew II, king of Hungary  
[460](#), [492](#), [493](#), [493](#), [493](#).
- Andrew III, king of Hungary  
[493](#).
- Andrews, J. M., Irish leader  
[1879](#), [1880](#).
- Andrews, Yelland, British leader  
[2391](#).
- Andrianampoinimerina, African ruler  
*See* [Nampoina, African leader](#).
- Andrianinevarivo, Sakalava ruler of Iboina  
[893](#).
- Andriscus, Greek adventurer  
[211](#), [234](#).
- Andronicus I Comnenus, Byzantine emperor  
[503](#), [503](#), [503](#).
- Andronicus II, Byzantine emperor  
[565](#), [565](#), [565](#), [565](#), [565](#), [565](#), [565](#).
- Andronicus III, Byzantine emperor  
[309](#), [565](#), [565](#), [565](#), [566](#), [566](#).
- Andronicus IV, Byzantine emperor  
[567](#).
- Andropov, Yuri, Russian leader  
[3291](#), [3292](#), [3292](#).

Andros, battle of  
[507](#).

Andros, Edmund  
[934](#), [934](#).

Androutsopoulos, Adamantios, Greek leader  
[3221](#).

Andrusovo, treaty of  
[777](#), [783](#).

Andueza Palacios, Raimundo, Latin American leader  
[1675](#).

anesthetics  
[1043](#).

Anfu (Anhui-Fukien) Club  
[2463](#).

Angelus Silesius, Johannes Scheffler  
[624](#).

Angevin dynasty  
[445](#), [449](#), [450](#), [450](#), [469](#), [521](#), [530](#), [530](#), [530](#), [530](#), [532](#), [533](#), [533](#), [533](#), [535](#), [536](#), [540](#), [540](#),  
[564](#), [564](#), [564](#), [565](#), [565](#), [566](#).

Anghiari, battle of  
[535](#).

Angkor  
[339](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [340](#), [342](#), [342](#), [849](#), [849](#), [4086](#).

Angkor Wat, temple  
[340](#).

Angles  
[421](#), [421](#).

Anglican Church  
[586](#), [587](#), [587](#), [588](#), [588](#), [589](#), [589](#), [591](#), [592](#), [668](#), [671](#), [672](#), [674](#), [674](#), [676](#), [677](#), [677](#),  
[679](#), [683](#), [686](#), [695](#), [702](#), [1048](#), [1049](#), [1051](#), [1162](#), [1845](#), [2663](#), [2777](#), [2958](#), [2958](#),  
[2964](#); and Africa, [876](#), [877](#), [878](#), [878](#), [1514](#), [1536](#), [1548](#), [2558](#), [4429](#); and New  
Zealand, [1500](#); and Wales, [1840](#).

Anglican–Roman Catholic International Commission  
[2964](#).

Anglo-Afghan Treaty  
[2346](#).

Anglo-Afghan Wars  
[1395](#), [1398](#), [2433](#).

Anglo-American Commission  
[3854](#).

Anglo American Middle East Supply Center



2614.

Anglo-American relations  
1099, 1578, 1917, 1917, 2192, 2193, 2194, 2198, 2208, 2210, 2614, 2766, 2768,  
2770, 2770, 2771, 2771, 2772, 2774, 2774, 2777, 2801, 3390, 3398, 3400, 3409,  
3411, 4150, 4198.

Anglo-Austrian relations  
1108, 1114.

Anglo-Belgian relations  
1886.

Anglo-Boer War  
*See* South African War.

Anglo-Burgundian relations  
524.

Anglo-Burmese relations  
1402.

Anglo-Burmese Wars  
1395, 1398.

Anglo-Canadian wheat agreement  
3443.

Anglo-Chinese relations, convention on Burma  
1403, 1405.

Anglo-Dutch relations  
892.

Anglo-Dutch Wars  
648, 648, 650, 671, 675, 675, 703, 704, 711, 711.

Anglo-Egyptian relations  
1373, 3901, 3903, 3904, 3904, 3905, 3906, 3908, 3908, 4391; condominium  
agreement, 1373; treaties, 2366, 2366, 2764, 3903, 3904.

Anglo-Egyptian Sudan  
2612.

Anglo-Ethiopian Agreement  
2564.



Anglo-French relations  
650, 1114, 1118, 1123, 1128, 1129, 1132, 1276, 1372, 1373, 1832, 1835, 1912, 1915,  
2706, 2841; in the 18th century, 659; rivalry in India, 834, 834; entente of 1904, 975;  
and North Africa, 1377; and Southeast Asia, 1406; agreement on Siam, 1407;  
convention on Siam, 1407; condominium of the New Hebrides, 1478; and Africa,  
1562; and Newfoundland, 1641; treaty of alliance, 1784.

Anglo-Gascon relations  
446.

Anglo-German-American relations

1124.  
Anglo-German naval convention  
1992.  
Anglo-German relations  
969, 969, 970, 971, 1116, 1117, 1124, 1131, 1132, 1133, 1136, 1140, 1423, 1832, 1978, 1989, 1992, 1992, 1992, 2021; and China, 1422.  
Anglo-German Treaty  
1478.  
Anglo-Hungarian relations  
1317.  
Anglo-Indian relations  
1358.  
Anglo-Iranian Oil Company, AIOC  
2638, 2640, 2651, 3815.  
Anglo-Iranian relations  
2334, 2334, 2336, 2339, 2344, 2345.  
Anglo-Iraqi Treaty  
2400, 2403.  
Anglo-Irish Agreement, Hillsborough Accord  
2794.  
Anglo-Italian relations  
1835, 1835, 1931.  
Anglo-Japanese Alliance  
1436, 1436, 1462, 1463, 1469, 2524.  
Anglo-Japanese relations  
972, 973, 1126, 1126, 1126, 1129, 1710.  
Anglo-Jordanian Treaty  
2397.  
Anglo-Maratha Wars  
835.  
Anglo-Moroccan relations  
1376.  
Anglo-Mysore Wars  
836, 836, 1394.  
Anglo-Norman culture and society  
444, 447, 447, 449, 449; and Ireland, 448, 448, 448.  
Anglo-Ottoman relations  
1108; commercial convention (Balta Liman), 1331; convention of 1880, 1333.  
Anglo-Persian Oil Company, British Petroleum  
1351, 1353, 1700, 2341.  
Anglo-Portuguese relations

[728](#); and Africa, [1548](#).  
Anglo-Russia Entente  
[1266](#).  
Anglo-Russian Convention  
[1352](#).  
Anglo-Russian relations  
[968](#), [969](#), [972](#), [1108](#), [1108](#), [1112](#), [1127](#), [1131](#), [1356](#), [1431](#), [2066](#), [2070](#), [2073](#), [2101](#),  
[3282](#); entente of 1907, [977](#), [977](#).  
Anglo-Saxon culture  
[444](#), [444](#).  
Anglo-Saxon kingdoms  
[421](#).  
Anglo-Sikh Wars  
[1396](#).  
Anglo-Spanish War  
[723](#).  
Anglo-Tunisian Convention  
[1389](#).  
Anglo-Turkish relations  
[1837](#); treaty, [2328](#), [2402](#).  
Angola  
[363](#), [869](#), [885](#), [885](#), [885](#), [885](#), [886](#), [886](#), [886](#), [886](#), [886](#), [886](#), [886](#), [886](#), [886](#), [887](#), [887](#), [887](#), [887](#),  
[918](#), [953](#), [954](#), [969](#), [1507](#), [1538](#), [1538](#), [1538](#), [1538](#), [1539](#), [1539](#), [1539](#), [1543](#), [1544](#),  
[1546](#), [1555](#), [2554](#), [2568](#), [2568](#), [2568](#), [2569](#), [2569](#), [2638](#), [2672](#), [2672](#), [2675](#), [2684](#),  
[2694](#), [2697](#), [3721](#), [4320](#), [4320](#), [4410](#), [4432](#), [4432](#), [4434](#), [4434](#), [4435](#), [4436](#), [4436](#),  
[4436](#), [4436](#), [4436](#), [4436](#), [4437](#), [4438](#), [4438](#), [4438](#), [4439](#), [4439](#), [4439](#), [4440](#), [4442](#),  
[4443](#), [4443](#), [4444](#), [4444](#), [4445](#), [4447](#), [4450](#), [4450](#), [4453](#), [4453](#), [4462](#), [4465](#), [4468](#),  
[4476](#), [4476](#), [4476](#), [4477](#), [4478](#); and Portugal, [2636](#); independence, [2916](#), [4320](#).  
Angora  
[563](#), [970](#).  
Angora Reqana  
[1555](#).  
Angostura, congress of  
[1650](#).  
Angoulême, of  
*See* [Francis I, king of France](#).  
Angoulême dynasty  
[597](#).  
Angra Pequena, South Africa  
[963](#), [1111](#).  
Anguilla

[3759](#), [3761](#), [3765](#).  
Anguissola, Sofonisba, Italian artist  
[607](#).  
Anh, Nguyễn  
See [Gia-long, emperor of Vietnam](#).  
Anhalt  
[753](#).  
Anhui  
[157](#), [1417](#), [2477](#), [4166](#).  
Ani  
[499](#), [500](#).  
animism  
[1414](#).  
Anio Vetus  
[229](#).  
Anitta, king of Kussara  
[113](#).  
Anjou, duke of  
[599](#).  
Anjouan (Nzwani)  
[4411](#), [4416](#), [4416](#), [4416](#).  
Anjou dynasty  
[413](#), [414](#), [444](#), [445](#), [449](#), [449](#), [449](#), [449](#), [452](#), [520](#), [521](#), [522](#), [523](#), [524](#), [533](#), [555](#), [560](#), [607](#),  
[714](#).  
Ankara  
[114](#), [312](#), [501](#), [970](#), [1328](#), [2145](#), [2322](#), [2323](#), [2325](#), [3233](#), [3790](#), [3800](#), [3802](#); battle of,  
[312](#), [568](#); agreement, [2323](#), [2372](#); University of, [2327](#), [3790](#).  
Ankarström, Jacob Johan, assassin of Gustavus III of Sweden  
[764](#).  
Ankrah, Joseph, Ghanaian leader  
[4344](#).  
An Ky , Korean artist  
[856](#).  
Anlamani, king of Egypt  
[99](#).  
An Lu-shan, Chinese rebel  
[368](#), [368](#), [368](#), [370](#), [370](#), [370](#).  
An My  ng-g , assassin  
[2488](#).  
Anna, daughter of Ferdinand I  
[660](#).

Anna, wife of Ferdinand I of Bohemia and Hungary

[616](#).

Anna, wife of Henry I of France

[488](#).

Anna, wife of Stephen Bathory of Poland

[633](#).

Anna Comnenus, writer

[501](#).

Anna Ivanovna

See [Anne, empress of Russia](#).

Annam

[155](#), [367](#), [371](#), [375](#), [397](#), [397](#), [1405](#), [1409](#), [1409](#), [1409](#), [1418](#), [1473](#), [1474](#), [1474](#), [1474](#), [1474](#), [1475](#), [1475](#), [1475](#), [2524](#), [4255](#).

Annan, Kofi, UN leader

[2693](#), [2693](#), [3887](#), [4424](#).

Anna of Savoy, regent for John V

[566](#).

Annapolis Convention

[952](#).

Annapolis Royal, earlier Port Royal

[939](#).

Annazids

[300](#).

Anne, empress of Russia

[783](#), [786](#), [786](#).

Anne, queen of England

[656](#), [668](#).

Anne, wife of emperor Ferdinand I

[635](#).

Anne, wife of William IV

[705](#).

Annency

[2640](#).

Anne of Austria, wife of Philip II of Spain

[602](#), [707](#), [707](#), [707](#), [707](#).

Anne of Bohemia, wife of Richard II of England

[514](#).

Anne of Brittany, wife of Charles VIII of France

[597](#), [597](#), [597](#).

Anne of Cleves, wife of Henry VIII

[585](#), [587](#).

Anne of Denmark  
*See* [Anne, queen of England](#).

Annexation Manifesto, Canada  
[1629](#).

Annibalianus, nephew of Constantine I  
[262](#).

Anno, archbishop of Cologne  
[454](#).

Annobón  
[4338](#).

Anouilh, Jean, playwright  
[1903](#).

Anqing  
[1417](#), [2480](#).

Ansbach  
[759](#).

Anschluss  
[1998](#), [2005](#), [2011](#).

Ansei Purge, Japan  
[1439](#).

Anselm, archbishop of Canterbury  
[444](#), [444](#), [450](#), [466](#), [468](#).

Anshan  
[120](#), [122](#), [122](#), [123](#).

An Shigao, Parthian translator  
[156](#).

Anson, George, baron Anson  
[660](#).

Antakya, Antioch  
[2333](#).

Antalcidas, Spartan leader  
[200](#).

Antall, Józef, Hungarian leader  
[3156](#).

Antalya  
[2320](#).

Antandroy, Madagascar  
[4492](#), [4492](#).

Antar, Ali Ahmad Nasir, Yemenite leader  
[3895](#).

Antarctica

[18](#), [865](#), [914](#), [993](#), [993](#), [995](#), [996](#), [996](#), [997](#), [997](#), [998](#), [998](#), [998](#), [998](#), [998](#), [998](#), [998](#), [998](#), [998](#), [998](#), [2046](#), [2047](#), [2547](#); treaty, [2657](#).

Antemoro

[892](#).

Antequera y Castro, José de, Spanish colonial administrator

[913](#).

Anthemius, Roman emperor in the East

[269](#).

Anthemois of Tralles, architect

[427](#).

Anthony, St.

[401](#), [887](#).

Anthony, king of Navarre

[598](#).

Anthony, Susan B., U.S. reformer

[1594](#).

Anthony Van Diemen's Land

*See* [Tasmania \(Van Diemen's Land\)](#).

Anthropoids

[19](#).

anthropology

[2](#), [2](#), [2](#), [3](#), [3](#), [1143](#).

antibiotics

[1731](#).

anti-Catholicism

[1602](#).

Anti-Comintern Pact, German-Italian-Japanese

[2032](#), [2477](#), [2516](#), [2519](#).

Anti-Corn Law League, England

[1049](#).

Antietam, battle of

[1587](#).

Anti-Fascist People's Freedom League, AFPFL

[4048](#), [4052](#).

anti-Federalists, U.S.

[952](#).

Antigonid dynasty

[209](#), [211](#).

Antigonus I Monophthalmos, Cyclops

[209](#), [209](#), [209](#), [209](#), [217](#).

Antigonus II Gonatus, king of Macedonia

[209](#), [209](#), [210](#), [210](#), [210](#), [210](#), [210](#), [210](#), [210](#), [213](#), [218](#), [218](#), [218](#).  
Antigonus III Dason, king of Macedonia  
[210](#), [210](#), [211](#), [211](#).  
Antigua  
[931](#), [2587](#), [2599](#), [3756](#), [3759](#), [3763](#).  
Antigua and Barbuda  
[3767](#).  
Antigua and Barbuda Labor Party  
[3767](#).  
Anti-Lebanon  
[106](#).  
Antilles  
[572](#).  
Antioch  
[208](#), [213](#), [214](#), [215](#), [245](#), [254](#), [255](#), [260](#), [272](#), [274](#), [275](#), [302](#), [302](#), [317](#), [318](#), [401](#), [427](#),  
[429](#), [430](#), [437](#), [501](#), [502](#), [502](#), [505](#), [505](#), [505](#), [1328](#), [1332](#), [2377](#).  
Antiochus I Soter, king of Syria  
[213](#), [213](#), [213](#), [218](#).  
Antiochus II Theos, king of Syria  
[213](#), [213](#), [218](#).  
Antiochus III, the Great  
[129](#), [208](#), [211](#), [211](#), [214](#), [214](#), [214](#), [214](#), [214](#), [214](#), [214](#), [214](#), [216](#), [217](#), [218](#), [218](#), [233](#), [233](#).  
Antiochus IV Epiphanes, king of Syria  
[214](#), [214](#), [214](#), [218](#), [233](#).  
Antiochus V Eupator, king of Syria  
[214](#), [214](#).  
Antiochus VII Euergetes Eusebes Soter Sidetes, king of Syria  
[214](#), [215](#), [215](#), [216](#), [234](#).  
Antiochus VIII Epiphanes Philomater Callinicus, Grypus  
[215](#), [215](#).  
Antiochus IX Philopater, Cyzicenus  
[215](#), [215](#).  
Antiochus X, king of Syria  
[215](#).  
Antiochus XI, king of Syria  
[215](#).  
Antiochus XII, king of Syria  
[215](#).  
Antiochus XIII, king of Syria  
[215](#).  
Antiochus Hierax, son of Antiochus II



[213](#), [213](#).  
Antioquia  
[1673](#), [1674](#), [3584](#).  
Antipater, Macedonian commander and leader  
[206](#), [206](#), [209](#), [209](#).  
Anti-Saloon League  
[1606](#).  
anti-Semitism  
See [Jews](#).  
antiseptics  
[1152](#).  
Anti-Slavery Squadron  
[1513](#).  
Anti-Socialist Law, Germany  
[1235](#).  
Antisthenes, Greek philosopher  
[186](#).  
Anti-Taurus Mountains  
[111](#).  
Antitrinitarianism  
[632](#).  
antitrust legislation, U.S.  
[3427](#), [3437](#), [3439](#), [3441](#).  
Antivari  
[1108](#).  
Antofagasta  
[1663](#), [1664](#), [1668](#).  
Antoine, duke of Brabant  
[595](#).  
Antoku, Japanese emperor  
[387](#), [387](#).  
Antonelli, Giacomo, papal official  
[1212](#).  
Antonescu, Ion, Romanian leader  
[2186](#), [3245](#).  
Antonianism  
[887](#).  
Antonines  
[255](#).  
Antoninus, Marcus Aurelius (Severus)  
See [Caracalla](#), [Roman emperor](#).

Antoninus, Marcus Aurelius Verus  
*See* [Marcus Aurelius, Roman emperor](#).

Antoninus, Titus Aurelius Fulvius Boionius Arrius  
*See* [Antoninus Pius, Roman emperor](#).

Antoninus Pius, Roman emperor  
[253](#), [253](#), [253](#), [254](#), [254](#).

Antonio, claimant to the Portuguese throne  
[605](#).

Antonioni, Michelangelo, director  
[2702](#).

Antonius, Lucius, brother of Mark Antony  
[242](#).

Antonius, Marcus, Roman orator  
*See* [Mark ~Antony, Roman leader](#).

Antonius Primus, Roman commander  
[251](#).

Antony, Mark, Roman leader  
[216](#), [219](#), [241](#), [241](#), [241](#), [241](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [243](#).

Antony, St.  
[268](#).

Antrim  
[425](#).

Sa'ada, Antun al-  
[3845](#).

Antwerp  
[595](#), [595](#), [595](#), [595](#), [658](#), [959](#), [1053](#), [1708](#), [1738](#), [1789](#), [1789](#), [1882](#), [1883](#), [1900](#), [2587](#).

Anu  
[83](#), [1409](#).

Anual, Morocco  
[1921](#).

Anuradhapura  
[134](#).

Anushirvan  
*See* [Khusrau I, king of Persia](#).

Anvil, Prosper  
[3749](#), [3749](#).

Anwal, battle of  
[2418](#).

Anwar bin Ibrahim, Malaysian leader  
[4114](#), [4114](#).

Sadat, Anwar el-, Egyptian leader

[2674](#), [2678](#), [3426](#), [3776](#), [3777](#), [3910](#), [3910](#), [3910](#), [3911](#), [3913](#), [3913](#).  
Anyang  
[63](#), [65](#), [138](#), [138](#).  
Anyuan  
[2465](#).  
ANZAC, Australia and New Zealand expeditionary force  
[2537](#), [2551](#).  
Anzio, beachhead at  
[2618](#).  
ANZUS  
[2681](#), [4299](#), [4315](#), [4317](#).  
Aoki-Kimberley Treaty  
[1456](#).  
Aosta, duke of, Amadeo  
*See* [Amadeo I, king of Spain](#).  
Apache Indians  
[1589](#), [1602](#).  
Apameia  
[429](#).  
Aparajita, ruler of India  
[327](#).  
Aparajitavarman, ruler of India  
[328](#).  
apartheid  
[2578](#), [4320](#), [4320](#), [4470](#), [4470](#), [4473](#), [4480](#), [4483](#), [4485](#), [4487](#).  
Apatzingan, constitution of  
[1653](#).  
Apaza, Julián  
*See* [Túpac Katari, Latin American rebel](#).  
Apedemak  
[99](#).  
Apella  
[178](#).  
Apennines  
[221](#), [222](#), [222](#), [228](#), [231](#).  
Apion, son of Ptolemy VII  
[218](#).  
Apirana Ngata, Maori leader  
[1504](#).  
Apkar of Sivas, Ottoman printer  
[796](#).

Apollinaris, Gaius Sollius  
*See* [Sidonius, Latin author](#).

Apollo, U.S. spacecraft  
[3287](#).

Apollo 8  
[2665](#).

Apollo 11  
[2666](#).

Apollo 12  
[2666](#).

Apollonius of Rhodes, Greek poet  
[208](#).

Apolosi Nawaii, Pacific islands leader  
[2530](#).

Apophis I, king of Egypt  
[92](#).

Apophis II, Hyksos king  
[92](#).

Apostolic Fathers  
[259](#).

Appalachia, poverty in  
[3409](#).

Appalachian Mountains  
[940](#), [1563](#).

appeasement policy  
[1814](#); Great Britain, [1851](#), [1853](#).

Appenzell  
[547](#), [625](#).

Appert, Nicolas, developer of food preservation system  
[987](#).

Apple Computer  
[2641](#).

Appleton, Edward, radar researcher  
[1736](#).

appliances, domestic  
[985](#), [986](#), [1578](#).

Appomattox Court House  
[1590](#).

Apraxin, Fedor Matveevich, Russian commander  
[662](#).

Apries, king of Egypt

[95](#).  
April Manifesto, Russia  
[1254](#).  
April 19 Movement, M-19  
[3577](#), [3579](#), [3580](#), [3581](#), [3582](#), [3585](#), [3585](#).  
Aprilov, Vasil, Bulgarian educator  
[1298](#).  
Apuleius, Lucius, Roman author  
[246](#).  
Apulia  
[184](#), [222](#), [222](#), [231](#), [231](#), [455](#), [456](#), [458](#), [458](#), [458](#), [466](#), [467](#), [471](#), [471](#), [471](#), [607](#).  
Apure  
[1650](#).  
Aqaba  
[1752](#), [3874](#), [3884](#).  
Aqir  
[86](#).  
Aq-Qoyunlu (White Sheep) confederation  
[307](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [308](#), [308](#), [308](#), [308](#), [308](#), [314](#).  
Aqua Anio Vetus  
[223](#).  
Aqua Appia  
[223](#).  
Aqua Sextiae, Aix en Provence  
[235](#).  
Aqua Marcia  
[229](#).  
Aqua Tepula  
[229](#).  
aqueducts  
[223](#), [229](#).  
Aquidneck Island  
*See* [Rhode Island](#).  
Aquileia  
[254](#), [257](#), [262](#), [264](#), [265](#), [402](#).  
Aquino, Hubert, writer  
[3451](#).  
Aquinas, Thomas  
[283](#), [452](#), [1219](#).  
Aquino, Benigno  
[4292](#), [4292](#).

Aquino, Corazon, Philippine leader  
[4292](#), [4292](#), [4293](#), [4293](#), [4293](#).

Aquitaine  
[404](#), [410](#), [411](#), [411](#), [411](#), [413](#), [444](#), [445](#), [451](#), [451](#), [512](#), [598](#); synod of, [466](#).

Arab Agency, Palestine  
[2389](#).

Arab Bureau  
[1751](#).

Arab Common Market  
[3771](#).

Arab Fund  
[3771](#).

Arab High Committee  
[2391](#), [2391](#).

Arabia  
[43](#), [45](#), [45](#), [48](#), [74](#), [90](#), [98](#), [101](#), [104](#), [105](#), [125](#), [126](#), [126](#), [127](#), [127](#), [127](#), [127](#), [128](#), [128](#),  
[207](#), [215](#), [218](#), [257](#), [274](#), [275](#), [282](#), [285](#), [285](#), [286](#), [286](#), [286](#), [287](#), [287](#), [289](#), [291](#), [320](#),  
[323](#), [347](#), [347](#), [362](#), [362](#), [362](#), [580](#), [791](#), [791](#), [791](#), [792](#), [795](#), [803](#), [809](#), [816](#), [820](#), [820](#),  
[820](#), [820](#), [821](#), [823](#), [830](#), [892](#), [892](#), [955](#), [958](#), [1333](#), [1337](#), [1358](#), [1358](#), [1361](#), [1361](#),  
[1364](#), [1506](#), [1752](#), [2317](#), [2398](#), [2408](#), [2409](#), [2411](#), [2413](#), [2413](#); and Egypt, [1366](#); WWI,  
[1750](#), [1780](#).

Arabian American Oil Company, ARAMCO  
[2416](#), [2640](#), [2677](#).

Arabian Peninsula  
[2408](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 6

Arabian Sea

[2676](#).

Arabic numerals

[295](#).

Arab-Islamic culture

[285](#).

Arab-Israeli relations

[2672](#), [3768](#).

Arab-Israeli Wars

[2638](#), [2640](#), [2648](#), [2664](#), [2670](#), [2671](#), [3281](#), [3418](#), [3873](#). *See* [Six-Day War \(June War\)](#); [Yom Kippur War \(October War, Ramadan War\)](#).

Arab Language Academy

[2363](#).

Arab League

[2369](#), [2377](#), [2644](#), [2673](#), [2685](#), [3769](#), [3769](#), [3778](#), [3779](#), [3783](#), [3786](#), [3918](#), [3920](#), [3929](#), [3942](#), [3947](#).

Arab Legion, Transjordan

[2397](#), [2398](#).

Arab oil embargo

[2640](#), [3425](#).

Arabs

[43](#), [44](#), [44](#), [127](#), [131](#), [273](#), [275](#), [275](#), [281](#), [281](#), [281](#), [285](#), [285](#), [285](#), [285](#), [285](#), [285](#), [286](#), [286](#), [286](#), [287](#), [287](#), [287](#), [287](#), [287](#), [287](#), [288](#), [296](#), [297](#), [297](#), [299](#), [300](#), [300](#), [303](#), [315](#), [318](#), [321](#), [325](#), [325](#), [334](#), [334](#), [339](#), [346](#), [351](#), [360](#), [360](#), [360](#), [360](#), [360](#), [362](#), [366](#), [368](#), [373](#), [419](#), [429](#), [429](#), [429](#), [429](#), [429](#), [429](#), [430](#), [430](#), [430](#), [430](#), [430](#), [430](#), [430](#), [431](#), [431](#), [431](#), [431](#), [431](#), [432](#), [432](#), [432](#), [433](#), [433](#), [434](#), [434](#), [435](#), [436](#), [438](#), [443](#), [476](#), [505](#), [575](#), [794](#), [804](#), [807](#), [1335](#), [1347](#), [1348](#), [1348](#), [1383](#), [1528](#), [1528](#), [1529](#), [1538](#), [1542](#), [1751](#), [3774](#); Umayyad period, [289](#), [289](#), [289](#), [290](#), [290](#), [290](#), [290](#), [291](#), [291](#), [291](#), [291](#); Abbasid period, [291](#), [292](#), [292](#); in Africa, [1531](#), [1548](#).

Arabsat

[3779](#).  
Arab Socialist Party, Egypt  
[3911](#).  
Arab Socialist Union, Libya  
[3948](#).  
Arab Socialist Union, ASU  
[3910](#), [3911](#).  
Arab states  
[1707](#), [1751](#), [1851](#), [1853](#), [2363](#), [2391](#), [2391](#), [2393](#), [2641](#), [2670](#), [2674](#), [2676](#), [2960](#),  
[3270](#), [3456](#), [3769](#), [3770](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3772](#), [3773](#), [3775](#), [3776](#),  
[3776](#), [3778](#), [3780](#), [3781](#), [3782](#), [3783](#); WWI, [1750](#), [1751](#), [1752](#), [1752](#), [1753](#), [1753](#); oil  
embargo, [3771](#), [3774](#).  
Arab States  
[3456](#), [3769](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3772](#), [3773](#), [3775](#), [3776](#), [3776](#), [3778](#),  
[3780](#), [3781](#), [3782](#), [3783](#); oil embargo, [3771](#), [3774](#).  
Arachosians  
[123](#).  
Arafat, Yasir, Palestinian leader  
[2694](#), [3437](#), [3772](#), [3778](#), [3781](#), [3784](#), [3861](#), [3863](#), [3863](#), [3863](#), [3864](#), [3865](#), [3865](#),  
[3865](#), [3866](#), [3867](#), [3868](#), [3869](#), [3869](#), [3873](#), [3876](#), [3876](#), [3917](#).  
Aragon  
[281](#), [322](#), [419](#), [451](#), [452](#), [469](#), [470](#), [470](#), [476](#), [478](#), [479](#), [525](#), [525](#), [525](#), [525](#), [526](#), [526](#),  
[526](#), [529](#), [533](#), [533](#), [533](#), [565](#), [601](#), [601](#), [601](#), [613](#), [720](#), [2899](#); union with Catalonia,  
[477](#), [479](#); union with Castile, [527](#); Spanish royal house, [607](#).  
Aragon, Louis, artist  
[1905](#).  
Arago River  
[479](#).  
Arakan  
[844](#), [845](#), [1395](#), [1402](#), [1402](#), [1402](#).  
Arakcheiev, Alexis, Russian official  
[1257](#).  
Araki Sadao, Japanese leader  
[2511](#), [2511](#), [2512](#).  
Aramaeans  
[100](#).  
Aramaic  
[87](#), [88](#), [95](#), [106](#), [106](#), [117](#), [126](#), [127](#), [129](#), [285](#).  
Aramayos  
[2255](#).  
Aramburu, Pedro, Argentine leader



[3484](#), [3489](#).  
Arameans  
[86](#), [87](#), [87](#), [87](#), [88](#), [103](#), [103](#), [104](#), [104](#), [105](#), [106](#), [106](#), [106](#), [106](#), [106](#), [106](#), [106](#), [118](#), [122](#).  
Aram Naharain  
[106](#).  
Aramu, king of Urartu  
[118](#).  
Arana, Francisco, Guatemalan leader  
[2278](#).  
Arana Osorio, Carlos, Guatemalan leader  
[3653](#).  
Aranjuez  
[726](#).  
Aranmore  
[425](#).  
Ara Pacis  
[246](#).  
Arapahoe Indians  
[1589](#).  
Aras River  
[1349](#), [1349](#).  
Aratus of Sicyon, Greek leader  
[210](#), [210](#), [210](#), [211](#), [211](#).  
Araucaní, Chile  
[910](#).  
Araucanian Indians  
[570](#), [570](#), [1660](#).  
Araujo, Arturo, El Salvadorian leader  
[2280](#).  
Araújo, Manuel Enrique, Latin American leader  
[1682](#).  
Arausio, battle of  
[235](#).  
Arawaks  
[570](#), [570](#).  
Araxes River  
[275](#).  
Arbed Steel Concern  
[2836](#).  
Arbela  
[119](#), [124](#).

Arbenz Guzmán, Jacobo, Guatemalan leader  
[3648](#), [3648](#), [3648](#), [3648](#), [3649](#), [3649](#).

Arbitration Act, Great Britain  
[1839](#).

Arbogast, Frankish leader  
[264](#), [265](#).

Arcadia  
[168](#), [174](#), [179](#), [190](#), [202](#), [206](#), [206](#), [210](#).

Arcadian League  
[202](#), [202](#).

Arcadiopolis  
[441](#), [503](#).

Arcadius, Flavius, Roman emperor in the East  
[261](#), [265](#), [265](#), [265](#), [403](#), [403](#).

Arcasids  
[216](#).

Arce, Aniceto, Latin American leader  
[1668](#), [1669](#).

Arce, Manuel José, Latin American leader  
[1680](#).

archaeology  
[1](#), [1](#), [1](#), [2](#), [2](#), [2](#), [3](#), [3](#), [3](#), [4](#), [4](#), [4](#), [4](#), [5](#), [7](#), [7](#), [8](#), [8](#), [8](#), [8](#), [9](#), [9](#), [9](#), [9](#), [10](#), [11](#), [11](#), [11](#), [11](#), [11](#), [12](#), [13](#),  
[13](#), [15](#), [15](#), [18](#), [19](#), [24](#), [28](#), [28](#), [28](#), [36](#), [41](#), [53](#).

Archaic cultures  
[33](#), [33](#).

Archangel  
[629](#).

Archelaus, king of Macedon  
[197](#).

Archer, Frederick S., pioneer in photography  
[989](#).

Archidamian War  
[196](#).

Archidamus of Sparta  
[195](#), [205](#).

Archilochus, Ionian poet  
[176](#).

Archimedes, Greek mathematician  
[208](#), [232](#).

Archinard, Louis, French commander  
[1511](#).

architecture

[83](#), [87](#), [90](#), [91](#), [171](#), [171](#), [186](#), [208](#), [223](#), [229](#), [229](#), [239](#), [246](#), [260](#), [1733](#), [2702](#); ancient Greece, [176](#); Roman Republic, [229](#); Roman, [406](#); Byzantine, [406](#); Western Europe, [443](#); England, [444](#), [446](#), [513](#); France, [452](#), [524](#), [1179](#); Italy, [473](#); Spain, [479](#); Florence, [536](#); Russia, [558](#); 1500–1800, [584](#); England 1500–1800, [594](#); French Renaissance, [600](#); 1450–1700, [643](#); Italy in the 17th and 18th centuries, [735](#); Ottoman Empire, [794](#), [798](#), [800](#), [800](#), [808](#), [808](#); Iran in the 16th and 17th centuries, [814](#); Morocco, [824](#); Algiers, [826](#); North Africa, [827](#), [828](#); India 1500–1800, [832](#), [833](#); Japan 1500–1800, [857](#), [857](#); Americas, [912](#); and use of reinforced concrete, [984](#); and use of iron and steel, [984](#); 1800–1914, [1146](#); Iran, [1349](#); German, [1974](#).

Archive of the Indies, Seville

[725](#).

Arch of Titus

[246](#), [251](#).

Arciniega, Claudio de, Spanish architect

[912](#).

Arcis-sur-Aube, battle of

[1031](#).

Arcot

[337](#), [834](#).

Arctic

[13](#), [28](#), [33](#), [53](#), [956](#), [993](#), [993](#), [994](#), [996](#), [2045](#), [2656](#), [3275](#), [3458](#); research, [3446](#).

Arctic Archipelago

[33](#).

Arctic Circle

[921](#).

Arctic Ocean

[33](#), [2582](#).

Ardabil

[306](#), [308](#), [308](#).

Ardahan

[1108](#), [1108](#), [1343](#), [1344](#), [1752](#), [2322](#).

Ardashir I, king of Persia

[256](#), [272](#), [272](#), [272](#), [272](#).

Ardashir II, king of Persia

[273](#).

Ardashir III, son of Kavad II

[275](#).

Ardennes


[1789](#).

Arditi, Italian Fascists

[1944](#).  
Ardys, Lyndian king  
[114](#).  
Areas Reservation Act, South Africa  
[2578](#).  
Areco, Jorge Pacheco, Uruguayan leader  
[3528](#), [3530](#).  
Areopagus, Athenian council  
[180](#), [180](#), [191](#), [198](#).  
Arequipa  
[1670](#).  
Aretino, Pietro, Italian writer  
[607](#).  
Areus, king of Sparta  
[210](#).  
Arévalo, Juan José, Guatemalan leader  
[2279](#), [3648](#), [3651](#).  
Argana, Luis Maria, Paraguayan leader  
[3526](#).  
Argeads  
[182](#).  
Argentina  
[40](#), [1647](#), [1647](#), [1658](#), [1660](#), [1663](#), [1665](#), [1665](#), [1665](#), [1666](#), [1666](#), [1667](#), [1667](#), [1667](#),  
[1667](#), [1668](#), [1669](#), [1677](#), [1677](#), [1704](#), [1705](#), [2229](#), [2238](#), [2238](#), [2242](#), [2242](#), [2242](#),  
[2257](#), [2270](#), [2603](#), [2603](#), [2679](#), [2698](#), [2791](#), [3465](#), [3465](#), [3467](#), [3474](#), [3475](#), [3475](#),  
[3475](#), [3476](#), [3477](#), [3477](#), [3480](#), [3481](#), [3482](#), [3490](#), [3495](#), [3498](#), [3502](#), [3503](#), [3504](#),  
[3504](#), [3506](#), [3506](#), [3506](#), [3507](#), [3507](#), [3520](#), [3521](#), [3536](#), [3549](#), [3552](#), [3858](#); WWI,  
[1661](#), [2242](#); and Germany, [2242](#); Great Depression, [2242](#), [2246](#); between Wars, [2242](#);  
and Great Britain, [2242](#); WWII, [2243](#), [2243](#), [2244](#); economy, [3487](#); Mothers of the  
Plaza de Mayo, [3493](#); and Falklands, [3494](#), [3494](#).  
Argentine Anti-Communist Alliance, AAA  
[3491](#).  
Argentine Confederation  
[1658](#), [1659](#), [1665](#).  
Argeseanu, George, Romanian leader  
[2184](#).  
Arges River  
[1806](#).  
Argesul, battle of  
[1806](#).  
Argetoianu, Constantine, Romanian leader

[2184](#).  
Argishti II, king of Urartu  
[118](#).  
Argive School  
[186](#).  
Argolis  
[168](#), [174](#).  
Argonne, battles of the  
[1791](#), [1812](#). See [Meuse-Argonne, battle of the](#).  
Argos  
[173](#), [176](#), [178](#), [179](#), [179](#), [179](#), [187](#), [190](#), [190](#), [190](#), [191](#), [192](#), [192](#), [197](#), [197](#), [197](#), [197](#),  
[199](#), [199](#), [199](#), [210](#), [211](#), [567](#).  
Argüello, Leonardo, Nicaraguan leader  
[3675](#).  
Arguin  
[873](#), [875](#).  
Argumedo, Abel Ortíz, Mexican leader  
[2293](#).  
Argyll, 9th earl, Archibald Campbell, Scottish leader  
[676](#), [676](#).  
Argyll, 2nd duke of, John Campbell  
[684](#).  
Argyllshire  
[424](#).  
Arhurs  
[461](#).  
Ariadne, daughter of Leo I  
[269](#).  
Arianism  
[268](#), [268](#), [273](#), [279](#), [403](#), [403](#), [404](#), [407](#), [408](#), [408](#), [418](#).  
Ariane rocket  
[2703](#).  
Arias, Arnulfo, Panamanian leader  
[2277](#), [2277](#), [3637](#), [3638](#), [3638](#), [3640](#), [3640](#), [3646](#).  
Arias, Harmodio, Panamanian leader  
[2276](#), [2276](#).  
Arias de Ávila, Pedro, Spanish colonial governor  
[895](#), [895](#), [895](#), [896](#), [898](#).  
Arias Espinoza, Ricardo, Panamanian leader  
[3638](#).  
Arias Navarro, Carlos, Spanish leader

[2887](#), [2894](#), [2894](#), [2895](#).  
Arias Sanchez, Oscar, Costa Rican leader  
[3475](#), [3682](#), [3689](#), [3690](#).  
Aribert, archbishop of Milan  
[466](#).  
Arica  
[1663](#), [1670](#), [1670](#), [1718](#), [2246](#), [2254](#), [2255](#), [2259](#).  
Aricia  
[222](#).  
Arif, Abd al-Rahman, Iraqi leader  
[3881](#), [3882](#).  
Arif, Abd al-Salam, Iraqi leader  
[3881](#).  
Arima, lesser lord of western Japan  
[857](#).  
Arinna  
[112](#).  
Arinori, Mori, Japanese leader  
[1450](#).  
Arion, Dorian poet  
[176](#).  
Ariosto, Ludovico, Italian poet  
[607](#).  
Arista, Mariano, Mexican leader  
[1691](#).  
Aristagoras, tyrant of Miletus  
[187](#).  
Aristarchus, Alexandrian scholar  
[208](#), [208](#).  
Aristide, Jean-Bertrand, Haitian leader  
[3749](#), [3750](#), [3750](#), [3751](#), [3752](#), [3752](#), [3752](#), [3753](#), [3753](#), [3753](#), [3753](#), [3753](#), [3754](#), [3754](#),  
[3755](#).  
Aristides, the Just  
[189](#), [189](#), [190](#).  
Aristippus, Henry, scholar  
[471](#).  
Aristodemus of Cumae  
[190](#).  
Aristogeiton, assassin of Hipparchus  
[181](#).  
Aristomachus, tyrant of Argos

[210](#).  
Aristonicus, pretender to the Pergamum throne  
[215](#).  
Aristophanes, Greek playwright  
[186](#).  
Aristophanes of Byzantium  
[208](#).  
Aristophon, Athenian leader  
[203](#).  
Aristotle, Greek philosopher  
[68](#), [186](#), [294](#), [296](#), [300](#), [319](#), [406](#), [450](#), [452](#), [471](#), [475](#), [479](#), [638](#), [638](#), [640](#), [815](#).  
Arita Hachir , Japanese leader  
[2518](#).  
Aritomo, Yamagata  
[1450](#), [1454](#), [1456](#).  
Arius, Christian dissenter  
[268](#).  
Ariyoshi Sawako, writer  
[4238](#).  
Arizona  
[1563](#), [1602](#), [1603](#), [1621](#), [2188](#); territory, [1594](#).  
Arjuna  
[129](#).  
Arkansas  
[9](#), [905](#), [921](#), [1585](#), [1588](#).  
Arkhangelsk, Archangel  
[2067](#), [2596](#).  
Ark of the Covenant  
[104](#), [104](#).  
Arktika, Soviet icebreaker at the North Pole  
[998](#).  
Arkwright, Richard, inventor  
[1034](#).  
Arles  
[266](#), [411](#), [541](#).  
Arlington, earl of, Henry Bennet, Cabal member  
[675](#).  
Arma  
[870](#).  
Armada  
*See [Spanish Armada](#)*.

Armagh

[425](#), [425](#).

Armagnac

[521](#).

Armagnac, count of, Bernard VII

[522](#).

Armagnacs

[522](#), [522](#), [522](#), [522](#).

Armah, Ayi Kwei, writer

[4320](#).

armaments

[643](#), [870](#), [985](#), [1714](#); firearms, [320](#); explosives, [375](#); Greek fire, [430](#); Japan, [576](#); naval, [1698](#), [1850](#), [2516](#), [2530](#), [2531](#); treaty on naval armaments, [1710](#), [1719](#); Germany, [1722](#); tanks, [1734](#), [1754](#), [1791](#), [1791](#), [1801](#), [1801](#), [1812](#); standardization of military weapons and equipment, [2588](#); germ or chemical weapons, [2666](#), [3885](#), [4197](#); landmines, [2693](#); nerve gas, [3420](#).

Armat, Thomas, inventor

[990](#).

Armavir

[116](#).

Armed Forces Council

[4266](#).

Armed Forces Revolutionary Council, AFRC

[4326](#).

Armed Islamic Group

[2883](#).

Armed Neutrality, treaty of

[769](#).

Armenia

[111](#), [116](#), [117](#), [118](#), [119](#), [119](#), [119](#), [214](#), [216](#), [216](#), [240](#), [242](#), [242](#), [243](#), [247](#), [248](#), [251](#), [253](#), [254](#), [255](#), [261](#), [272](#), [272](#), [272](#), [272](#), [272](#), [273](#), [273](#), [273](#), [273](#), [273](#), [273](#), [274](#), [275](#), [275](#), [289](#), [291](#), [428](#), [428](#), [430](#), [431](#), [432](#), [433](#), [435](#), [436](#), [437](#), [438](#), [438](#), [499](#), [500](#), [502](#), [505](#), [564](#), [807](#), [812](#), [814](#), [965](#), [1120](#), [1258](#), [1337](#), [2067](#), [2076](#), [2322](#), [3297](#), [3303](#), [3304](#), [3306](#), [3308](#), [3308](#), [3309](#), [3310](#), [3310](#), [3312](#); WWI, [1749](#), [1753](#), [1780](#), [1788](#), [1788](#); Soviet Socialist Republic, [3296](#); Republic of Armenia, [3301](#), [3306](#), [3307](#); independence, [3301](#), [3306](#); first parliamentary elections, [3309](#).

Armenia Major

[216](#).

Armenian Church

[791](#).

Armenians



[2679](#), [3296](#), [3298](#); and Ottoman Empire, [965](#), [966](#), [967](#), [1108](#), [1120](#), [1335](#), [1342](#), [1343](#), [1344](#), [1346](#), [1346](#), [1348](#), [2319](#); and Turkey, [2333](#); and Lebanon, [2379](#).

Armenian Secret Army for the Liberation of Armenia  
[2679](#).

Armentières, battle of  
[1738](#), [1812](#), [1812](#).

Armfelt, K. G., Finnish commander  
[766](#).

Arminium  
[231](#).

Arminius, German tribal leader  
[244](#), [247](#).

Armistice of Poischwitz  
[1030](#).

Armorica  
[413](#).

arms trade, abolition of  
[1541](#).

Armstrong, Edwin H., inventor  
[1736](#).

Armstrong, Neil, astronaut  
[2666](#), [3417](#).

Army, Confederate  
[1587](#), [1587](#), [1588](#), [1588](#), [1589](#), [1589](#), [1590](#), [1590](#), [1590](#).

Army, Union  
[1586](#), [1586](#), [1587](#), [1587](#), [1587](#), [1587](#), [1588](#), [1588](#), [1588](#), [1589](#), [1589](#), [1590](#), [1590](#).

Army Appropriation Bill, U.S.  
[1611](#).

Army Bill, Germany  
[1232](#), [1237](#), [1237](#).

Army Comrades Association, Blue Shirts  
[1872](#).

Army Law, Belgium  
[1172](#).

Army of National Liberation, Costa Rica  
[3686](#).

Army of the Potomac  
[1586](#), [1588](#), [1588](#).

Arnhem  
[2619](#).

Arnim, Hans Georg von, Boytzenburg

[620](#), [620](#).  
Arnobius, Christian scholar  
[268](#).  
Arnold, duke  
[595](#).  
Arnold, Benedict, American commander  
[947](#), [948](#); treason of, [951](#).  
Arnold, Henry H., U.S. commander  
[2621](#).  
Arnold of Brescia, Italian leader  
[468](#), [468](#), [468](#).  
Arno River  
[222](#).  
Arnulf, bishop of Metz  
[407](#), [407](#).  
Arnulf, Holy Roman emperor  
[409](#), [415](#).  
Arnulfings  
[415](#).  
Arnuwandas I, Hittite king  
[113](#).  
Arnuwandas II, Hittite king  
[113](#).  
Arnuwandas III, Hittite king  
[113](#).  
Arosemena, Carlos, Ecuadorian leader  
[3567](#), [3567](#).  
Arosemena, Domingo Díaz, Panamanian leader  
[3637](#), [3638](#), [3638](#).  
Arosemena, Florencio Harmodio, Panamanian leader  
[2276](#).  
Arosemena, Juan, Panamanian leader  
[2276](#).  
Arosemena Gómez, Otto, Ecuadorian leader  
[3567](#).  
Arouet, François Marie  
See [Voltaire](#), [French writer](#).  
Arpad, Magyar leader  
[103](#), [106](#), [106](#), [491](#).  
Arpad dynasty  
[491](#), [491](#), [493](#), [560](#).

Arques, battle of

[599](#).

Arras

[404](#), [514](#), [1005](#), [1738](#), [1738](#), [1780](#), [1791](#); peace of, [523](#); battles of, [1755](#), [1801](#), [1812](#).

Arrebo, Anders, Danish poet

[768](#).

Arrhenius, Svante A., scientist

[1153](#).

Arriaga, Antonio de, Spanish colonial administrator

[913](#).

Arriaga, Manuel José de, Portuguese leader

[913](#), [1208](#), [1934](#), [1934](#).

Arron, Henk, Surinamese leader

[3630](#), [3631](#), [3631](#), [3633](#).

Arrow Cross

*See* [National Socialist Party \(Arrow Cross\), Hungary](#).

Arsaces

[216](#).

Arsaces I, king of Parthia

[213](#), [216](#).

Arsaces II, king of Parthia

[216](#).

Arsaces III Priapatius, king of Parthia

[214](#), [216](#).

Arsaces IV

*See* [Phraates I, king of Parthia](#).

Arsacids

[256](#), [271](#), [272](#), [272](#).

Arses, son of Artaxerxes III

[124](#).

Arshit-vega

*See* [Astyages, king of Media](#).

Arsiero, taken by Austrians

[1804](#).

Arsinoe II, sister and wife of Ptolemy II Philadelphus

[218](#).

Arslan, Shakib, Syrian leader

[3838](#).

art

[87](#), [91](#), [130](#), [131](#), [156](#), [158](#), [186](#), [223](#), [229](#), [239](#), [246](#), [1046](#), [1921](#), [2068](#); prehistoric, [25](#), [39](#), [57](#); Olmecs, [54](#), [54](#); ancient Greece, [176](#); China, [370](#), [373](#), [373](#), [375](#); Korea, [382](#);

Japan, [391](#), [1437](#), [1471](#); Byzantium, [438](#); England, [446](#), [513](#); France, [524](#), [597](#), [1905](#); Spain, [525](#); Florence, [536](#); Venice, [539](#); Russia, [559](#); 1500–1800, [584](#); Low Countries, [596](#), [596](#); French Renaissance, [600](#); Spain in the 16th and 17th centuries, [604](#); Italy in the 15th and 16th centuries, [607](#); Germany 1500–1800, [616](#); 17th and 18th centuries, [646](#); Italy in the 17th and 18th centuries, [735](#), [735](#); Ottoman Empire, [807](#); Iran in the 16th century, [812](#), [813](#); India 1500–1800, [834](#); China 1500–1800, [851](#), [854](#); Korea 1500–1800, [856](#); Japan 1500–1800, [857](#), [859](#), [861](#); Americas, [912](#); 1800–1914, [1146](#); Denmark, [1252](#); Africa, [1517](#), [4320](#); U.S., [1577](#); Canada, [1623](#); modern, [1816](#); surrealism, [1905](#); pop art, [2702](#). *See* [culture](#).

Artabanus I, king of Parthia

[216](#), [247](#).

Artabanus V, king of Parthia

[256](#), [272](#).

Artabazus, Persian general

[189](#).

Artadama I, king of Mitanni

[86](#).

Artadama II, king of Mitanni

[86](#), [113](#).

Artaphernes, Persian general

[188](#).

Artashatr

*See* [Ardashir I, king of Persia](#).

Artavasdes, king of Armenia Major

[216](#).

Artavasdos, brother-in-law of Constantine V

[432](#).

Artaxata

[248](#), [254](#).

Artaxerxes I, Longimanus

[105](#), [124](#), [190](#).

Artaxerxes II, Mnemob

[95](#), [124](#), [199](#).

Artaxerxes III, Ochus

[95](#), [109](#), [115](#), [124](#).

Artaxias, satrap of Armenia Major

[214](#).

Arteveldt, Jan van, Flemish leader

[512](#), [520](#).

Artha-sastra

[130](#).

Arthur, nephew of John Lackland  
[445](#), [445](#).

Arthur, son of Henry VII  
[585](#), [585](#).

Arthur, Chester A., U.S. president  
[1600](#).

Arthur, George, British colonial administrator  
[1488](#).

Arthur, Owen, Barbadian leader  
[3765](#), [3767](#).

Arthur of Brittany  
[450](#).

Article 231, Treaty of Versailles  
[1784](#).

Articles of Baden  
[1070](#).

Articles of Confederation, U.S.  
[949](#), [952](#).

artifacts  
[8](#), [11](#), [11](#), [11](#), [11](#), [13](#).

Artigas, José Gervasio, Latin American leader  
[1644](#), [1644](#), [1646](#), [1647](#), [1647](#), [1647](#), [1647](#), [1647](#).

Artios  
[648](#).

Artisans' Conference, Frankfurt  
[1097](#).

Artois  
[450](#), [521](#), [524](#), [595](#), [595](#), [604](#), [614](#), [1789](#); battles of, [1738](#), [1738](#), [1791](#), [1791](#).

Aruj, corsair  
[826](#), [826](#).

Arunachal Pradesh  
[3976](#), [3980](#).

Arundel, 3rd baron, Henry, in Popish Plot  
[676](#).

Arundel, earl of, Philip Howard, suspected conspirator  
[588](#).

Arundel, Thomas, archbishop of Canterbury  
[514](#).

Arusha, Tanzania  
[4413](#), [4414](#), [4423](#).

Arusha Declaration

[4426](#).

Arvad  
[103](#), [107](#), [109](#), [109](#).

Aryabhata, Indian scientist  
[131](#).

Aryans  
[48](#), [66](#), [67](#), [67](#), [68](#), [86](#), [123](#), [123](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [133](#), [326](#).

Arya Samaj, Hindu reform movement  
[1397](#), [2437](#), [2438](#).

Arya Sura, Sanskrit author  
[131](#).

Aryavarta  
[130](#).

Arzawa  
[111](#), [113](#), [113](#), [113](#), [113](#).

Asa, king of Judah  
[105](#).

Asahara Shikoku, cult leader  
[4248](#).

Asante  
[873](#), [873](#), [873](#), [876](#), [876](#), [876](#), [877](#), [1506](#), [1513](#), [1513](#), [1514](#), [1514](#), [1514](#), [1516](#), [1516](#),  
[1516](#), [1516](#), [1516](#), [1517](#), [1517](#), [1517](#), [1517](#), [1519](#), [1520](#).

Asatiani, Akaky, Georgian leader  
[3326](#).

Ascanians  
[459](#).

ascetics  
[829](#).

Ascham, Roger, English writer  
[594](#).

Asen, Ivan, ruler of Bulgaria  
[496](#), [496](#), [496](#), [496](#), [496](#), [503](#), [503](#).

Asen, John I  
[509](#), [510](#).

Asen, John II, tsar of Bulgaria  
[495](#), [496](#), [497](#), [497](#), [497](#), [497](#), [497](#), [497](#), [497](#), [497](#), [509](#), [509](#).

Asen, Michael, ruler of Bulgaria  
[497](#), [497](#), [497](#), [510](#).

Asen, Peter, ruler of Bulgaria  
[496](#), [496](#), [496](#), [496](#), [503](#).

Asen dynasty

[496](#), [504](#).

Asgeirson, Asgeir, Icelandic leader

[3085](#).

Ashante

[579](#).

Ashburton Treaty

[1628](#).

Ashdod

[87](#), [103](#).

Asherah

[101](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 7

Ashida Hitoshi, Japanese leader

[4224](#), [4224](#).

Ashikaga (Muromachi) period, Japan

[396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [857](#).

Ashikaga Takauji, Japanese leader

[395](#), [395](#), [395](#), [396](#).

Ashikaga Yoshimasa, Japanese leader

[396](#), [396](#).

Ashikaga Yoshimitsu

[396](#).

Ashikaga Yoshitane

[396](#).

Ashikpashazade, historian

[315](#).

Ashkelon

[103](#), [103](#).

Ashkenazi, Eliezer and Abraham, Jewish printers

[797](#).

Ashley, lord

*See* [Shaftesbury, Anthony Ashley Cooper, earl of, English leader and Cabal member](#).

Ashoka, of Maurya

[73](#), [78](#), [129](#), [129](#), [129](#), [129](#), [133](#), [133](#), [134](#).

Ashraf Shah, Afghan leader

[819](#).

Ashtart, king of Tyre

[109](#).

Ashur

[85](#), [86](#), [123](#).

Ashurbanipal, king of Assyria

[87](#), [87](#), [87](#), [95](#), [105](#), [114](#), [122](#), [123](#), [127](#).



Ashurdan II, king of Assyria

[87](#).

Ashur-etil-ilani, king of Assyria

[87](#).

Ashur-nasir-apli II, king of Assyria

[87](#).

Ashur-uballit I, king of Assyria

[86](#), [86](#), [113](#).

Ashur-uballit II, king of Assyria

[87](#).

Ash Wednesday, Australia

[4309](#).

Asia

[21](#), [22](#), [22](#), [22](#), [24](#), [25](#), [26](#), [27](#), [27](#), [28](#), [28](#), [28](#), [30](#), [30](#), [30](#), [33](#), [35](#), [39](#), [39](#), [39](#), [41](#), [48](#), [48](#), [66](#), [67](#), [68](#), [70](#), [73](#), [73](#), [75](#), [77](#), [78](#), [81](#), [83](#), [86](#), [90](#), [92](#), [92](#), [92](#), [93](#), [93](#), [106](#), [111](#), [117](#), [129](#), [130](#), [135](#), [153](#), [154](#), [163](#), [163](#), [164](#), [178](#), [180](#), [188](#), [200](#), [206](#), [208](#), [208](#), [208](#), [209](#), [211](#), [213](#), [216](#), [218](#), [233](#), [233](#), [237](#), [240](#), [240](#), [241](#), [245](#), [245](#), [246](#), [257](#), [257](#), [265](#), [271](#), [272](#), [276](#), [278](#), [278](#), [279](#), [279](#), [279](#), [279](#), [279](#), [280](#), [281](#), [281](#), [281](#), [281](#), [281](#), [281](#), [281](#), [281](#), [285](#), [289](#), [292](#), [293](#), [293](#), [294](#), [294](#), [299](#), [301](#), [307](#), [309](#), [312](#), [312](#), [315](#), [319](#), [320](#), [324](#), [324](#), [325](#), [366](#), [374](#), [402](#), [407](#), [426](#), [429](#), [431](#), [432](#), [438](#), [473](#), [473](#), [473](#), [505](#), [571](#), [572](#), [575](#), [576](#), [578](#), [578](#), [578](#), [579](#), [580](#), [581](#), [584](#), [584](#), [605](#), [674](#), [791](#), [792](#), [830](#), [837](#), [840](#), [852](#), [853](#), [857](#), [864](#), [890](#), [911](#), [915](#), [953](#), [955](#), [955](#), [955](#), [958](#), [958](#), [962](#), [969](#), [1099](#), [1108](#), [1108](#), [1108](#), [1108](#), [1120](#), [1126](#), [1128](#), [1129](#), [1258](#), [1394](#), [1559](#), [1703](#), [1706](#), [1706](#), [2493](#), [2493](#), [2527](#), [2529](#), [2535](#), [2632](#), [2636](#), [2637](#), [2637](#), [2641](#), [2641](#), [2641](#), [2643](#), [2643](#), [2644](#), [2690](#), [2857](#), [3443](#), [3907](#), [4117](#), [4183](#), [4185](#), [4250](#), [4295](#); Roman province, [215](#), [235](#), [235](#), [237](#), [240](#); and Africa, [888](#), [1558](#); WWII, [2521](#), [2625](#), [2625](#); and postwar colonialism, [2700](#); economy, [2757](#); and U.S., [3396](#); and Latin America, [3628](#).

Asiago, taken by Austrians

[1757](#), [1804](#).

Asia Minor

[81](#), [111](#), [112](#), [113](#), [113](#), [114](#), [114](#), [114](#), [114](#), [115](#), [124](#), [124](#), [124](#), [168](#), [169](#), [170](#), [172](#), [172](#), [174](#), [175](#), [177](#), [177](#), [177](#), [187](#), [189](#), [189](#), [190](#), [193](#), [199](#), [199](#), [199](#), [199](#), [203](#), [203](#), [205](#), [209](#), [209](#), [209](#), [209](#), [209](#), [213](#), [213](#), [213](#), [213](#), [213](#), [214](#), [214](#), [214](#), [218](#), [228](#), [241](#), [246](#), [250](#), [257](#), [258](#), [258](#), [262](#), [269](#), [272](#), [275](#), [275](#), [299](#), [439](#), [505](#), [505](#), [505](#), [505](#), [565](#), [1108](#), [1108](#), [1114](#), [2321](#).

Asian Americans

[1580](#), [1598](#), [1598](#), [2187](#), [3427](#), [3436](#).

Asian Development Bank

[4275](#).

Asian Games

[4168](#), [4277](#), [4279](#).  
Asian-Pacific Economic Cooperation, APEC  
[4047](#), [4047](#), [4114](#), [4118](#).  
Asiatic Registration Bill, Transvaal  
[1558](#).  
Asiatic Society  
[1394](#).  
Asir  
[1361](#), [1364](#), [2408](#), [2408](#), [2412](#), [2415](#).  
Aske, Robert, English religious rebel  
[587](#).  
Askiya Muhammad I, ruler of Songhay  
[356](#), [356](#).  
Asmara, Eritrea  
[4394](#), [4396](#).  
Aspar, Flavius, Roman general  
[269](#).  
Aspasia, consort of Pericles  
[186](#).  
Aspdin, Joseph, patentee of Portland cement  
[983](#).  
Aspelta, king of Egypt  
[99](#).  
Aspendus  
[200](#).  
Aspern and Essling, battle of  
[1026](#).  
Aspromonte, battle of  
[1214](#).  
Aspropotamos  
[1277](#).  
Asquith, earl, Herbert Henry, English leader  
[1155](#), [1839](#), [1839](#), [1842](#).  
Assab  
[1219](#).  
Assam  
[130](#), [1395](#), [1402](#), [1402](#), [2679](#), [3976](#), [3977](#).  
Assassins  
*See* [Nizaris \(Assassins\)](#).  
Assaye  
[1394](#).

Assemani, Joseph

*See* [Yusuf al-Sim‘ani, Lebanese librarian at the Vatican.](#)

Assembly, Canada

[1623](#), [1625](#), [1625](#).

Assembly, New York

[942](#).

Assembly, Prussia

[1097](#), [1097](#), [1097](#).

assembly line

[986](#).

Assembly of Delegates, Egypt

[1369](#), [1372](#).

Assembly of First Nations

[3453](#).

Assembly of Jewish Notables, France

[1020](#).

Assembly of Notables, France

[1000](#).

Assicurazioni Generali SpA

[2950](#).

assimilation

[305](#).

Assin

[873](#).

Assiniboine Indians

[1626](#).

Assin Nyankumasi, battle of

[1516](#).

Assisi, Italy

[537](#), [2682](#).

Assizes of Jerusalem

[505](#), [507](#).

Assizes of Romania

[507](#).

Associated States of the United Kingdom

[3759](#).

Associated Territories of St. Kitts-Nevis-Anguilla

[3759](#).

association football

*See* [sports](#).

Association for the Advancement of Women, Ottoman Empire

[1348](#).  
Association for the Defense of Rights of Eastern Anatolia  
[2321](#).  
Association of Journalists of the Polish People's Republic  
[3104](#).  
Association of Polish Journalists  
[3104](#).  
Association of Southeast Asian Nations, ASEAN  
[2683](#), [4047](#), [4047](#), [4047](#), [4070](#), [4088](#), [4092](#), [4101](#), [4103](#), [4118](#), [4281](#), [4291](#); nuclear  
free pact, [4047](#).  
Association of Ulama  
[2423](#).  
Associations Law  
[1927](#).  
Association Tribales  
[4449](#).  
Assoumani, Azzaly, Comoros leader  
[2696](#), [4411](#), [4416](#), [4416](#).  
Assumption Bill, U.S.  
[1565](#).  
Assuwa  
[111](#).  
Assyria  
[67](#), [70](#), [74](#), [84](#), [85](#), [85](#), [85](#), [85](#), [85](#), [85](#), [86](#), [86](#), [86](#), [86](#), [86](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#),  
[88](#), [88](#), [94](#), [95](#), [95](#), [99](#), [102](#), [102](#), [103](#), [104](#), [105](#), [105](#), [105](#), [105](#), [105](#), [106](#), [106](#), [106](#),  
[109](#), [109](#), [112](#), [113](#), [114](#), [114](#), [118](#), [118](#), [122](#), [123](#), [123](#), [123](#), [123](#), [127](#), [171](#), [253](#).  
Assyrian Empire  
[70](#).  
Assyrian Rebellion, Nestorian Christians  
[2405](#).  
Astana  
[3337](#). *See* [Akmola](#).  
Astartrom, king of Tyre  
[109](#).  
Asti  
[472](#), [612](#).  
Astor, Nancy Witcher Langhorne  
[1839](#).  
Astrakhan  
[629](#).  
astrolabe

[443](#).

astronomy  
[131](#), [156](#), [305](#), [637](#), [637](#), [638](#), [638](#), [638](#), [638](#), [639](#), [639](#), [640](#), [641](#), [1038](#), [1038](#), [1038](#), [1038](#),  
[1038](#), [1040](#), [1040](#), [1040](#), [1147](#), [1147](#), [1148](#), [1148](#), [1150](#), [1729](#), [1729](#), [1729](#), [1729](#),  
[1730](#), [1730](#); in China, [854](#).

Asturias  
[420](#), [420](#), [1928](#), [1930](#).

Asturias, Miguel A., writer  
[3465](#).

Astyages, king of Media  
[114](#), [119](#), [123](#), [123](#), [124](#).

Asunción  
[900](#), [900](#), [900](#), [900](#), [910](#), [913](#), [1645](#), [1665](#), [1665](#), [1665](#), [1665](#), [3475](#).

Asuristan  
[271](#).

Asvaghosha, Sanskrit author  
[130](#).

Aswan  
[38](#), [346](#).

Aswan Dam  
[96](#), [1373](#), [2655](#), [2663](#), [3278](#), [3908](#), [3909](#).

Asyut  
[1373](#).

Asyut University, Egypt  
[3909](#).

Atabegs  
[505](#).

Atacama  
[2255](#).

Atahualpa, Inca ruler  
[570](#), [898](#), [898](#), [898](#), [898](#).

Atahualpa, Juan Santos, Inca rebel  
[913](#).

Atatürk, Kemal, Turkish leader  
See [Kemal Atatürk, Turkish leader](#).

Ataturk Dam  
[3782](#).

Ataulf, Visigoth leader  
[403](#), [403](#).

Atbara River  
[43](#), [1123](#).

Athabasca River

[1623](#).

Athaliah, queen of Judah

[104](#), [105](#).

Athanasius, bishop

[401](#).

Atharvaveda

[129](#).

Athaulf, Visigoth leader

[265](#).

Athenaeus, bishop

[268](#).

Athenagoras, early Christian

[259](#).

Athenagoras I, patriarch

[2956](#), [2958](#).

Athenian League

[200](#), [201](#), [202](#), [204](#).

Athens

[115](#), [124](#), [124](#), [171](#), [171](#), [173](#), [175](#), [175](#), [176](#), [178](#), [179](#), [179](#), [180](#), [180](#), [180](#), [180](#), [180](#),  
[180](#), [180](#), [180](#), [180](#), [181](#), [182](#), [183](#), [186](#), [186](#), [186](#), [186](#), [187](#), [187](#), [187](#), [187](#), [187](#), [187](#),  
[187](#), [187](#), [188](#), [188](#), [188](#), [188](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [190](#), [190](#), [190](#), [190](#), [191](#),  
[191](#), [191](#), [191](#), [191](#), [191](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#), [192](#),  
[193](#), [193](#), [193](#), [193](#), [193](#), [193](#), [193](#), [193](#), [194](#), [194](#), [194](#), [194](#), [195](#), [195](#), [196](#), [196](#), [196](#), [196](#),  
[196](#), [196](#), [196](#), [196](#), [196](#), [196](#), [197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [198](#), [198](#), [198](#), [198](#),  
[198](#), [198](#), [198](#), [198](#), [198](#), [199](#), [199](#), [199](#), [199](#), [199](#), [199](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#),  
[201](#), [201](#), [201](#), [202](#), [202](#), [202](#), [202](#), [202](#), [203](#), [203](#), [203](#), [203](#), [203](#), [203](#), [203](#), [203](#), [204](#), [204](#), [204](#), [204](#),  
[204](#), [204](#), [204](#), [204](#), [205](#), [205](#), [205](#), [206](#), [206](#), [207](#), [207](#), [207](#), [207](#), [208](#), [209](#), [209](#), [209](#), [209](#), [209](#),  
[210](#), [210](#), [218](#), [233](#), [253](#), [268](#), [274](#), [313](#), [427](#), [505](#), [508](#), [526](#), [534](#), [564](#), [565](#), [804](#), [959](#),  
[1099](#), [1324](#), [1758](#), [1758](#), [1759](#), [1829](#), [2154](#), [2159](#), [2591](#), [3207](#), [3207](#), [3213](#), [3221](#),  
[3228](#), [3229](#).

Athens Polytechnic

[3221](#).

athletics

*See* [sports](#).

Athlone, earl of, Alexander Cambridge, Canadian leader

[3443](#).

Atkins, Robert, British leader

[2798](#).

Atlanta

[3407](#), [3421](#), [3436](#); in the Civil War, [1589](#), [1589](#).

Atlanta Compromise speech

[1608](#).

Atlantic Charter

[1699](#), [2210](#), [2210](#), [2560](#), [2632](#), [2632](#), [4320](#).

Atlantic Community

[2717](#).

Atlantic Conference

[1699](#).

Atlantic Monthly, U.S. periodical

[1600](#).

Atlantic Ocean

[110](#), [245](#), [281](#), [281](#), [281](#), [282](#), [284](#), [289](#), [358](#), [359](#), [532](#), [570](#), [574](#), [579](#), [579](#), [581](#), [644](#),  
[713](#), [822](#), [824](#), [825](#), [869](#), [873](#), [875](#), [875](#), [877](#), [906](#), [940](#), [956](#), [961](#), [990](#), [991](#), [1131](#),  
[1135](#), [1509](#), [1577](#), [1598](#), [1634](#), [1795](#), [1809](#), [2600](#), [2602](#), [2606](#), [2606](#), [2679](#), [3448](#),  
[3458](#).

Atlantic Pact

[3393](#).

Atlas Mountains

[823](#), [1375](#), [1375](#), [1379](#).

Atlee, Clement R., British leader

[2758](#), [2758](#), [2763](#), [2764](#), [2768](#).

atom

[1150](#), [1150](#), [1151](#).

Atomic Age

[2641](#).

atomic bomb

[2216](#), [2523](#), [2765](#).

atomic energy

[1731](#), [2769](#).

Atomic Energy Commission, U.S.

[2641](#), [3394](#), [3398](#).

Atomic Energy Community

[2726](#).

atomic weight

[1042](#), [1151](#), [1152](#).

Atreus

[171](#), [172](#).

Atsiz, Turkoman leader

[318](#), [318](#).

Atsutane, Hirata, scholar

[1437](#).

Attalus, last non-Christian emperor of Rome  
[265](#).

Attalus I Soter, king of Pergamum  
[211](#), [211](#), [213](#), [213](#), [213](#), [214](#).

Attalus II Philadelphus, king of Pergamum  
[215](#), [235](#).

Attalus III Philometor, king of Pergamum  
[215](#).

Attarissyas the Ahhiyawan  
[172](#).

Attica  
[168](#), [173](#), [175](#), [179](#), [180](#), [180](#), [183](#), [186](#), [186](#), [187](#), [187](#), [189](#), [189](#), [192](#), [193](#), [196](#), [196](#),  
[198](#), [200](#), [210](#), [502](#), [508](#).

Attila the Hun  
[75](#), [266](#), [266](#), [401](#), [402](#), [402](#).

Attis  
[112](#).

Attlee, Clement R., British leader  
[2634](#), [4195](#).

Attu  
[2627](#).

Atusparia, Pedro Pablo, Latin American leader  
[1670](#).

Aubame, Jean-Hilaire, Gabon leader  
[4340](#).

Aubert, Thomas, French fisherman  
[920](#).

Aubuisson de Voisins, Jean d', scientist  
[1041](#).

Auckland  
[1501](#), [1503](#), [4316](#), [4317](#).

Auckland, earl of, George Eden, governor-general of India  
[1395](#), [1395](#).

Auden, W. H., poet  
[1815](#).

Aue, Hartmann von, poet  
[459](#).

Auersperg, Adolf  
[1242](#).

Auerstadt, battle of  
[1024](#).



Auffenberg-Komarow, Moritz von, Austrian commander  
[1792](#).

Augsburg  
[416](#), [466](#), [549](#), [613](#), [897](#).

Augusta, Georgia  
[3419](#).

Augustan Legion  
[253](#).

August Convention, France and Russia  
[1117](#).

Augustine, St., bishop of Hippo Regius  
[266](#), [268](#), [401](#), [401](#), [404](#), [408](#), [411](#).

Augustine of Canterbury, missionary  
[408](#), [421](#).

Augustinians, religious order  
[584](#), [613](#), [851](#); in the Philippines, [867](#); in the Americas, [910](#).

Augusto Leguía, Peruvian leader  
[2259](#), [2260](#).

Augustovo Forest, battle of  
[1794](#).

Augustulus  
*See* [Romulus Augustus, last Roman emperor of the West](#).

Augustus, Roman emperor  
[133](#), [216](#), [239](#), [239](#), [239](#), [239](#), [241](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [244](#),  
[244](#), [244](#), [246](#), [246](#), [247](#), [247](#), [247](#), [255](#), [255](#), [408](#); as title, [254](#), [257](#), [257](#), [258](#), [261](#),  
[261](#), [261](#), [261](#), [262](#), [264](#), [264](#), [264](#), [265](#), [266](#).

Augustus II, elector of Saxony and king of Poland  
[660](#), [660](#), [660](#), [752](#), [776](#), [780](#), [780](#), [780](#).

Augustus III, elector of Saxony  
[660](#).

Augustus III, king of Poland  
[660](#), [776](#), [781](#).

Augustus of Saxony  
[780](#).

Au Lac kingdom, Vietnam  
[397](#).

Aulic Council  
[613](#).

Aulick, John H., U.S. naval commander  
[1438](#).

Aumale, Mlle. d', wife of Afonso VI and Peter II of Portugal





724, 736, 737, 738, 738, 739, 739, 739, 740, 740, 740, 745, 745, 745, 745, 745, 745, 746,  
749, 752, 753, 755, 755, 757, 757, 757, 757, 758, 758, 758, 758, 759, 759, 759, 759,  
760, 760, 760, 779, 780, 781, 782, 782, 782, 786, 787, 787, 789, 789, 789, 789, 793,  
803, 804, 805, 806, 807, 808, 809, 953, 955, 962, 965, 976, 996, 1003, 1009, 1009,  
1009, 1009, 1011, 1011, 1011, 1016, 1016, 1017, 1021, 1023, 1023, 1023, 1024,  
1026, 1026, 1026, 1026, 1029, 1030, 1030, 1030, 1032, 1033, 1045, 1066, 1066,  
1066, 1067, 1068, 1068, 1071, 1071, 1072, 1073, 1073, 1073, 1073, 1073, 1073,  
1073, 1087, 1087, 1087, 1087, 1088, 1088, 1089, 1090, 1090, 1091, 1091, 1091,  
1092, 1092, 1092, 1092, 1093, 1093, 1093, 1093, 1093, 1093, 1093, 1094, 1096, 1098,  
1100, 1100, 1100, 1100, 1100, 1100, 1100, 1101, 1102, 1102, 1102, 1102, 1102,  
1103, 1104, 1104, 1106, 1106, 1107, 1107, 1107, 1108, 1108, 1109, 1110, 1110,  
1110, 1111, 1111, 1112, 1114, 1114, 1114, 1114, 1115, 1115, 1116, 1118, 1126,  
1127, 1127, 1130, 1131, 1132, 1132, 1133, 1133, 1133, 1134, 1135, 1136, 1136,  
1137, 1137, 1138, 1139, 1139, 1140, 1140, 1140, 1140, 1140, 1140, 1141, 1141,  
1181, 1204, 1211, 1211, 1211, 1225, 1230, 1238, 1238, 1239, 1240, 1241, 1242,  
1242, 1243, 1243, 1243, 1267, 1272, 1274, 1276, 1285, 1285, 1288, 1296, 1297,  
1301, 1302, 1307, 1312, 1312, 1312, 1316, 1317, 1334, 1340, 1344, 1700, 1703,  
1708, 1709, 1738, 1738, 1738, 1738, 1738, 1738, 1738, 1738, 1738, 1738, 1738,  
1738, 1738, 1738, 1738, 1738, 1738, 1738, 1738, 1802, 1817, 1819, 1826, 1829, 1829,  
1829, 1830, 1835, 1941, 1954, 1956, 1966, 1974, 1996, 1997, 1999, 2000, 2003,  
2008, 2013, 2027, 2632, 2703, 2706, 2711, 2712, 2714, 2719, 2721, 2752, 2756,  
2757, 2825, 2833, 2836, 2885, 2910, 2937, 2939, 2951, 2982, 3028, 3028, 3029,  
3030, 3030, 3030, 3030, 3030, 3031, 3031, 3032, 3032, 3035, 3036, 3037, 3037,  
3037, 3037, 3037, 3037, 3039, 3039, 3039, 3039, 3039, 3040, 3040, 3082, 3087,  
3133, 3152; annexation of Bosnia and Herzegovina, 1132; and Serbia, 1140, 1140,  
1140, 1140, 1288, 1288, 1289, 1289, 1293, 1293; WWI, 1141, 1141, 1297, 1320,  
1739, 1739, 1739, 1739, 1739, 1739, 1739, 1739, 1739, 1739, 1739, 1740, 1740, 1740, 1740,  
1742, 1743, 1743, 1743, 1744, 1745, 1746, 1746, 1746, 1746, 1746, 1746, 1746, 1756,  
1757, 1757, 1757, 1757, 1760, 1769, 1769, 1770, 1771, 1771, 1772, 1774, 1776,  
1777, 1778, 1778, 1778, 1778, 1778, 1778, 1778, 1779, 1779, 1780, 1780, 1781, 1781,  
1782, 1783, 1784, 1785, 1787, 1792, 1792, 1792, 1792, 1792, 1792, 1793, 1794,  
1794, 1794, 1797, 1798, 1799, 1803, 1804, 1805, 1806, 1806, 1808, 1996, 1997,  
1998, 2064; and Piedmont, 1211, 1211; and Italy, 1216, 1219; and Prussia, 1230,  
1231, 1233, 1233; and Denmark, 1233; and Balkan Wars, 1244; and Russia, 1266;  
war with Poland, 1267; and Poland, 1268, 1268, 1268, 1268, 2110, 2111, 2111; and  
Romania, 1318; and Middle East, 1329; and Damascus affair, 1332; and Macedonia,  
1347; annexation of Bosnia and Herzegovina, 1347; and Japan, 1460; Republic, 1779,  
1997, 1998, 1998, 2001, 2002, 2003, 2003, 2005, 2006, 2007, 2007, 2008, 2008,  
2010; WWII, 1814, 2012, 2012, 2012, 2621; annexation by Germany, 1835, 1997,  
2011, 2011, 2011, 2011, 2020, 2031; invasion by Germany, 1991, 2011; Treaty of  
Saint-Germain, 1998, 2009; and Great Britain, 2005; and France, 2005, 2009, 2010;

Nazis, [2007](#); WWII losses, [2012](#); and Czechoslovakia, [2018](#); and Hungary, [2022](#), [2029](#); and Balkan Peninsula, [2127](#), [2174](#); and U.S., [2187](#), [2192](#); and Southeast Asia, [2450](#); and China, [2462](#); Democratic Republic of, [3028](#), [3029](#); sovereignty regained, [3031](#); European currency, [3039](#). See [German-Austrian relations](#).

Austria-Hungary

[757](#), [760](#), [1081](#), [1235](#), [1235](#), [1238](#), [1242](#), [1246](#), [1288](#), [1295](#), [1297](#), [1430](#).

Austrian South Tyrol

[2937](#), [3037](#). See [South Tyrol](#).

Austro-German relations

[1835](#).

Austro-Hungarian Compromise

[1240](#), [1242](#).

Austro-Hungarian Empire

[955](#), [957](#).

Austro-Italian relations

[1114](#), [3029](#).

Austronesia

[350](#).

Austro-Prussian relations

[659](#), [1100](#).

Austro-Prussian War

[1102](#), [1233](#), [1233](#).

Austro-Russian Agreement

[1243](#).

Austro-Russian relations

[662](#), [789](#), [1132](#), [1140](#), [1141](#), [1141](#), [2067](#), [2067](#).

Auténtico Party, Cuba

[3714](#).

Authari, Lombard king

[408](#), [408](#), [408](#).

Authentic Radical Liberal Party, PLRA

[3523](#).

automation

[2703](#).

automobiles

[986](#), [990](#), [991](#), [1617](#), [1700](#).

autos-da-fé

[730](#).

Autumn Harvest Uprisings, China

[2469](#).

Autun

[405](#), [413](#).  
Auvergne  
[479](#).  
Ava  
[341](#), [844](#), [844](#), [845](#), [845](#), [845](#), [846](#), [846](#), [853](#), [1402](#).  
Avadh  
[129](#), [834](#), [835](#), [1396](#), [1396](#), [1397](#).  
Avanti  
[129](#).  
Avaris  
[89](#), [92](#).  
Avars  
[158](#), [275](#), [278](#), [324](#), [411](#), [411](#), [426](#), [428](#), [428](#), [428](#), [429](#), [429](#), [429](#), [429](#), [429](#), [429](#), [429](#), [429](#), [439](#), [439](#),  
[440](#), [483](#).  
Avellaneda, Nicolás, Latin American leader  
[1660](#), [1660](#).  
Aventine  
[417](#).  
Aventine Secession  
[1947](#).  
Avenue of the Dead, Teotihuacán  
[55](#).  
Averescu, Alexander, Romanian leader  
[1777](#).  
Averroës, philosopher  
[475](#).  
Aversa  
[466](#).  
Avery, Oswald T., bacteriologist  
[1731](#).  
Avesta  
[129](#).  
aviation  
[991](#). *See* [aircraft](#); [airplanes](#).  
Avicenna  
*See* [Abu Ali al-Husayn ibn Sina \(Avicenna\), scientist and philosopher](#).  
Avignon  
[470](#), [511](#), [530](#), [530](#), [567](#), [609](#), [1032](#), [1033](#).  
Avignonese papacy  
[513](#), [514](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [531](#), [531](#), [540](#), [541](#), [613](#).  
Avila, Spain

[602](#).  
Avila Camacho, Manuel, Mexican leader  
[2300](#), [2300](#), [2602](#), [3701](#).  
Avis dynasty  
[528](#), [528](#).  
Avitus, Roman emperor in the West  
[269](#).  
Avlonya  
[312](#).  
Avogadro, Amedeo, scientist  
[1042](#).  
Avranche  
[413](#).  
Awadh  
[130](#), [333](#), [835](#).  
Awami League, AL  
[3990](#), [4001](#), [4002](#), [4017](#), [4017](#), [4017](#), [4018](#), [4025](#).  
Awan dynasty  
[122](#), [122](#), [122](#).  
Awash River  
[19](#).  
Awil-Marduk  
*See* [Evil-Merodach, king of Babylonia](#).  
Awlad Sidi Shaykh, Algerian leader  
[1383](#).  
Awn, Michel, Lebanese leader  
[3850](#), [3851](#).  
Awraba Berbers  
[293](#).  
Aws  
[286](#).  
Awsan  
[128](#).  
Axial Period  
[68](#).  
Axim  
[876](#).  
Axis powers (Germany, Italy, Japan)  
[1699](#), [1699](#), [1702](#), [1705](#), [1725](#), [1833](#), [1932](#), [1933](#), [2033](#), [2134](#), [2135](#), [2172](#), [2185](#),  
[2210](#), [2210](#), [2238](#), [2273](#), [2273](#), [2368](#), [2406](#), [2428](#), [2519](#), [2520](#), [2521](#), [2529](#), [2587](#),  
[2590](#), [2590](#), [2590](#), [2590](#), [2590](#), [2591](#), [2591](#), [2591](#), [2592](#), [2593](#), [2596](#), [2600](#), [2601](#),

[2612](#), [2612](#), [2612](#), [2613](#), [2614](#), [2615](#), [2615](#), [2624](#), [2632](#), [2632](#), [2635](#), [2636](#), [2636](#), [2637](#), [2887](#), [3481](#); and Argentina, [2244](#); WWII losses, [2615](#), [2617](#).

Axum

[45](#), [74](#), [99](#), [346](#), [346](#), [346](#).

Aya, Japanese prince

[4243](#).

Ayacucho

[1649](#), [3555](#).

Ayala, Eligio, Paraguayan leader

[2248](#).

Ayala, Eusebio, Paraguayan leader

[2248](#), [2249](#).

Aycinena, Mariano, Latin American leader

[1680](#).

'Aydhab

[360](#).

Aydin, Anatolia, father of Mehmed Bey

[306](#), [310](#), [312](#), [1328](#), [1337](#).

Aylwin Azócar, Patricio, Chilean leader

[3518](#), [3518](#), [3518](#), [3519](#).

Aymara Indians

[913](#), [1669](#).

Ayn Dara, battle of

[806](#).

Ayn Jalut, battle of

[319](#).

Ayn Madi

[1382](#).

Ayn Shams University, Cairo

[3903](#).

Ayodhya

[130](#), [2644](#), [3977](#), [3979](#), [3981](#), [3983](#), [3985](#).

Ayola, Juan de, Spanish explorer

[900](#).

Ayora, Isidro, Ecuadorian leader

[2264](#), [2264](#), [2264](#).

Ayub Khan, Mohammed, Pakistani leader

[3965](#), [3965](#).

Ayudhya

[339](#), [849](#), [849](#), [849](#).

Ayuthia



[342](#), [847](#).  
Ayutthaya  
[837](#), [845](#), [845](#), [845](#), [845](#), [846](#), [847](#), [847](#). *See* [Siam](#).  
Ayyubid dynasty  
[302](#), [318](#), [319](#), [319](#), [319](#), [319](#), [360](#).  
Azad, Adul Kalam, Muslim leader  
[2432](#), [2434](#), [2446](#).  
Azaña, Manuel, Spanish leader  
[1925](#), [1929](#), [1929](#), [1932](#).  
Azariah of Judah  
[105](#).  
Azat Party, Kazakhstan  
[3333](#).  
Azcona Hoyo, José Simeón, Honduran leader  
[3696](#).  
Azemilkos, king of Tyre  
[109](#).  
Azerbaijan  
[275](#), [291](#), [294](#), [300](#), [302](#), [305](#), [305](#), [306](#), [306](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [792](#), [794](#),  
[797](#), [799](#), [806](#), [807](#), [813](#), [1349](#), [1349](#), [2067](#), [2076](#), [2335](#), [2637](#), [3296](#), [3297](#), [3298](#),  
[3298](#), [3298](#), [3303](#), [3308](#), [3308](#), [3310](#), [3311](#), [3312](#), [3314](#), [3314](#), [3314](#), [3804](#), [3813](#),  
[3813](#); WWI, [1753](#); independence, [3304](#), [3311](#); Republic of Azerbaijan, [3311](#); Soviet  
Socialist Republic of Azerbaijan, [3311](#).  
Azerbaijani Popular Front  
[3312](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 8

Azeris

[3308.](#)

Azes, Indian ruler

[130.](#)

Azes II, Indian ruler

[130.](#)

Azes dynasty

[130.](#)

Azikiwe, Nnamdi, Nigerian leader

[2559](#), [4367.](#)

Azilises, Indian ruler

[130.](#)

Azione Cattolica, youth organization

[1950.](#)

Aziz Ali al-Masri, Egyptian leader

[2612.](#)

Azm dynasty

[806.](#)

Aznar, José María, Spanish leader

[2887](#), [2908](#), [2908](#), [2910](#), [2911.](#)

Azores Islands

[281](#), [281](#), [281](#), [572](#), [572](#), [605](#), [727](#), [906](#), [1936](#), [1940](#), [2608](#), [2710](#), [2913](#), [2914.](#)

Azov, fortress

[631](#), [659](#), [784](#), [785](#), [787](#), [805](#), [805](#), [806](#), [807](#), [808](#), [2067.](#)

Aztecs

[8](#), [41](#), [53](#), [55](#), [281](#). *See* [Mexicas](#).

Azuchi castle, Japan

[857.](#)

Azuchi-Momoyama period, Japan

[857.](#)

Azuela, Mariano, writer  
[2241](#).

## B

Baader-Meinhof Gang  
[3007](#).

Baalbek  
[246](#).

Baalmazzar I, king of Tyre  
[109](#).

Baalmazzar II, king of Tyre  
[109](#).

Baalu  
[109](#).

Baasha, king of Israel  
[104](#), [104](#).

Ba'ath Party, Iraq  
[3882](#).

Bab, the  
[1350](#), [1350](#).

Babaeski  
[433](#).

Baba'i ben Lutf, Jewish writer  
[816](#).

Baba Ishak, Baba Resul  
[303](#).

Babak, Abbasid challenger  
[294](#).

Babangida, Ibrahim, Nigerian leader  
[4369](#), [4369](#), [4370](#), [4370](#), [4371](#).

Babar, Indian emperor  
[830](#), [831](#).

Babbage, Charles, mathematician  
[985](#), [1039](#).

Babcock, Orville E., U.S. official  
[1595](#).

Babemba, African leader  
[1511](#).

Babenbergs  
[484](#), [493](#).

Babington, Anthony, conspirator against Elizabeth I  
[588](#).

Babism  
[1349](#), [1350](#), [1350](#).

Babius, Edward, Polish leader  
[3100](#).

Babri Masjid mosque, Ayodhya  
[3977](#), [3979](#), [3984](#).

Babullah, sultan of North Maluku  
[843](#).

Babur, Mughal leader  
[575](#), [3977](#).

baby boom  
[2700](#), [3390](#), [3390](#), [3408](#), [3443](#).

Babylon  
[87](#).

Babylonia  
[82](#), [83](#), [85](#), [85](#), [85](#), [85](#), [86](#), [86](#), [86](#), [86](#), [86](#), [86](#), [86](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [88](#), [88](#), [88](#),  
[88](#), [95](#), [105](#), [105](#), [106](#), [109](#), [109](#), [109](#), [109](#), [113](#), [122](#), [122](#), [122](#), [123](#), [124](#), [124](#), [124](#), [124](#), [127](#),  
[171](#), [206](#), [207](#), [207](#), [208](#), [209](#), [209](#), [213](#), [216](#), [253](#), [271](#).

Babylonian Captivity  
*See* [Avignonese papacy](#).

Bacan  
[843](#).

Bac  u  
[3256](#).

Bacchiadae, rulers of Corinth  
[178](#), [178](#).

Bacchylides, Greek poet  
[176](#).

Bach, Alexander, Austrian leader  
[1238](#).

Bach, Johann Sebastian, German composer  
[624](#).

Bacha-i Saqao  
*See* [Habibullah Ghazi, claimant of Afghanistan throne](#).

Bachofen, Johann J., anthropologist  
[1143](#).

Bach system, Austria  
[1238](#), [1239](#).

Bachwezi Empire

[883](#).  
Backhurst Park, Suva  
[4283](#).  
Backward Classes, India  
[3977](#), [3977](#), [3983](#).  
Backwards Classes Commission, India  
[3960](#).  
Baclé, battle of  
[1419](#).  
Bacon, Francis, English writer  
[590](#), [594](#).  
Bacon, Nathaniel, leader of Virginia revolt  
[937](#), [937](#).  
Bacon, Nicholas  
[588](#).  
Bacon, Roger, scholar  
[446](#), [513](#).  
Bacon's Rebellion  
[937](#).  
Bac Son  
[2527](#), [2528](#).  
Bactra  
[217](#).  
Bactria  
[123](#), [130](#), [207](#), [207](#), [213](#), [214](#), [216](#), [216](#), [217](#), [217](#), [217](#), [217](#), [324](#).  
Badajoz  
[480](#), [1929](#).  
Badakhshan  
[833](#).  
Badame  
[2694](#), [4394](#).  
Badami  
[326](#).  
Baden  
[652](#), [659](#), [753](#), [1009](#), [1096](#).  
Badeni, Casimir  
[1242](#).  
Badeni Language Ordinances  
[1243](#).  
Baden-Württemberg  
[3002](#).

Badi' al-Zaman al-Hamadhani, writer

301.

Badibu

359.

Badoglio, Pietro, Italian leader

1960, 1960, 1960, 1961, 2608, 2617, 2617.

Badr

286, 286.

Badrinath

327.

Sayyid, Badr Shakir al-, poet

3882.

Baekeland, Leo H., discoverer of Bakelite

984, 990.

Baer, Karl von, embryologist

1043.

Baetis (Guadalquivir) River

228, 233.

Báez, Buenaventura, Latin American leader

1695, 1695.

Báez, Cecilio, Latin American leader

1666.

Baffin Bay

995.

Baffin Land

923.

Bagamoyo, German East Africa

1529, 1530, 1768.

Bagaudae, uprising against Rome

266.

Baghdad

82, 281, 285, 291, 292, 292, 293, 294, 294, 294, 294, 295, 296, 296, 297, 297, 297, 297, 298, 298, 299, 300, 300, 300, 300, 300, 301, 301, 302, 302, 303, 303, 303, 304, 305, 306, 307, 307, 317, 318, 319, 331, 375, 411, 419, 432, 473, 474, 488, 793, 795, 799, 800, 801, 805, 807, 809, 812, 815, 815, 970, 1140, 1331, 1331, 1331, 1336, 1347, 1750, 1751, 1752, 2339, 2399, 2406, 2591, 2641, 2879, 3783, 3843, 3879, 3880, 3881, 3884, 3885, 3887.

Baghdad Pact

2654, 3770, 3771.

Baghdad Railway

970, 1133, 1134, 1136, 1140, 1346, 1347.

Bagratian, Hrand, Armenian leader  
[3308](#).

Bagyidaw, king of Burma  
[1402](#), [1402](#).

Baha' al-Din al-Multani, Sufi leader  
[303](#).

Bahadur, sultan of Bijapur  
[830](#).

Bahadur Shah, Mughal ruler  
[831](#), [834](#).

Bahadur Shah II, Mughal emperor  
[1396](#).

Baha'I, sheik, Iranian scholar and religious leader  
[814](#).

Baha'ism, mystical movement  
[1350](#), [1350](#), [1352](#), [3817](#).

Bahamas  
[572](#), [906](#), [907](#), [938](#), [2587](#), [2599](#), [2774](#).

Baharlu (Barani) family  
[307](#).

Bahawalpur  
[4011](#).

Bahia  
[914](#), [914](#), [915](#), [915](#), [916](#), [918](#), [918](#), [918](#), [918](#), [1656](#).

BaHima  
[883](#).

Bahmani dynasty  
[333](#), [333](#), [333](#), [333](#), [334](#).

Bahman Shah, ruler of India  
[333](#).

Bahrain  
[296](#), [812](#), [820](#), [820](#), [1358](#), [1360](#), [1361](#), [1362](#), [2339](#), [2410](#), [2413](#), [2413](#), [2636](#), [3772](#),  
[3780](#), [3785](#), [3897](#), [3898](#), [3898](#), [3898](#), [3899](#); and Great Britain, [3897](#).

Bahr al-Ghazal  
[1370](#), [1525](#).

Bahram (Varahran) I, king of Persia  
[258](#).

Bahram (Varahran) II, king of Persia  
[272](#).

Bahram III, king of Persia  
[272](#).

Bahram IV, king of Persia  
[273](#).

Bahram V, king of Persia  
[273](#), [273](#).

Bahram V Gor, Sassanian king  
[324](#).

Bahram VI, Persian general and ruler  
[275](#), [275](#).

Bahriyya sultanate  
[319](#).

Bahunar, Muhammad Javad, Iranian leader  
[3822](#).

Bai Chongxi, Chinese leader  
[2470](#).

Baikonur space center  
[3333](#).

Bailly, Jean Sylvain, French leader  
[1001](#), [1001](#), [1006](#).

Bailundo  
[1543](#).

Bairam Khan, guardian of emperor Akbar  
[831](#).

Baird, John L., inventor  
[1736](#).

Baird v. Eisenstadt  
[3423](#).

Baireuth  
[759](#).

Bait Act, Newfoundland  
[1641](#).

Baja California  
[903](#), [903](#), [904](#), [910](#), [3706](#), [3709](#).

Bajfo  
[911](#), [1653](#).

Bajuk, Andrej, Slovenian leader  
[3194](#).

Bakelite  
[984](#).

Bakenref, king of Egypt  
[95](#).

Baker, James, U.S. leader



[3255](#).  
Baker, Josephine, entertainer  
[1816](#).  
Baker, Samuel  
[1508](#), [1508](#).  
Bakewell, Robert, English agriculturist  
[647](#).  
Bakhtiari, Persian people  
[977](#).  
Bakhtiyar, Shahpur, Iranian leader  
[3821](#), [3821](#), [3827](#).  
Bakhtiyaris  
[1352](#), [2338](#).  
Baki, Ottoman poet  
[799](#).  
Bakin, Takizawa, writer  
[1437](#).  
Bakke, Allan, activist  
[3426](#).  
Bakke v. University of California  
[3390](#), [3426](#).  
BaKongo  
[351](#), [869](#), [1506](#), [1545](#), [2568](#).  
Bakr Sidqi, Iraqi leader  
[2405](#), [2406](#).  
Bakr Subashi, Janissary leader  
[800](#).  
Baksar, battle of  
[835](#).  
Baku  
[1349](#), [1753](#), [1753](#), [2067](#), [3313](#).  
Bakunin, Mikhail A., Russian leader  
[1143](#), [1143](#), [1258](#), [1260](#).  
Balaguer, Joaquín, Dominican leader  
[3735](#), [3736](#), [3736](#), [3740](#), [3740](#), [3741](#), [3741](#), [3742](#), [3742](#), [3742](#), [3742](#), [3742](#), [3742](#),  
[3743](#), [3743](#).  
Balaiada  
[1677](#).  
Balai Pustaka, Indonesian publishing house  
[2456](#).  
Balambangan

[841](#).  
balance of power  
[535](#); in Europe, [1102](#).  
Balaputradeva, Sumatran king  
[324](#).  
Balash, king of Persia  
[273](#), [273](#).  
Balassa, Valentine, Hungarian poet  
[636](#).  
Balban, ruler of India  
[331](#), [331](#), [333](#).  
Balbinus, Roman emperor  
[257](#).  
Balbo, Cesare  
[1069](#), [1091](#), [1210](#).  
Balbo, Italo, Italian Fascist leader  
[1815](#), [1945](#).  
Balboa, Vasco Núñez de, Spanish explorer  
[281](#), [573](#), [865](#), [895](#), [895](#).  
Balcerowicz, Leszek, Polish leader  
[3113](#).  
Baldomir, Alfredo, Uruguayan leader  
[2253](#), [2253](#).  
Baldwin, count of Flanders  
[508](#).  
Baldwin I, king of Jerusalem  
[505](#), [505](#), [505](#).  
Baldwin I, Latin emperor  
[496](#), [508](#), [508](#), [508](#).  
Baldwin II, Latin emperor  
[495](#), [497](#), [509](#), [510](#), [564](#).  
Baldwin, Stanley, earl  
[1822](#), [1839](#), [1841](#), [1844](#), [1849](#), [1850](#), [1851](#).  
Baldwin Iron-Arm, count of Flanders  
[413](#), [417](#), [454](#), [507](#).  
Balearic Islands  
[412](#), [479](#), [1131](#).  
Balev, Milko, Bulgarian leader  
[3239](#).  
Balewa, Abubakar Tafawa, Nigerian leader  
[4367](#), [4367](#).

Balfour, earl, Arthur James, English leader  
[1155](#), [1162](#), [1163](#), [1710](#), [1784](#), [2389](#).

Balfour Declaration  
[2385](#), [2388](#), [2391](#), [2393](#), [2396](#).

Balgimbayev, Nurlan, Kazakh leader  
[3338](#).

Bali  
[133](#), [837](#), [1412](#), [1414](#).

Balijas  
[830](#).

Balikh River  
[82](#).

Baling  
[4113](#).

Baliol, Edward, king of Scotland  
[517](#), [517](#), [517](#).

Baliol, John, claimant to the Scottish throne  
[447](#), [512](#).

Balkan Committee  
[3208](#).

Balkan confederation  
[1287](#).

Balkan conference  
[1829](#).

Balkan defense alliance  
[3167](#), [3167](#), [3168](#), [3168](#).

Balkan league  
[1304](#).

Balkan Mountains  
[18](#), [430](#), [437](#), [439](#), [496](#), [503](#), [1108](#), [1299](#).

Balkan Pact  
[1723](#), [1829](#), [1831](#), [2170](#), [2332](#).

Balkan Peninsula  
[31](#), [46](#), [168](#), [183](#), [228](#), [257](#), [257](#), [261](#), [262](#), [262](#), [264](#), [264](#), [265](#), [281](#), [299](#), [310](#), [310](#),  
[311](#), [313](#), [315](#), [374](#), [406](#), [427](#), [428](#), [429](#), [430](#), [439](#), [488](#), [494](#), [498](#), [498](#), [500](#), [501](#), [501](#),  
[503](#), [504](#), [510](#), [532](#), [560](#), [562](#), [562](#), [563](#), [563](#), [564](#), [567](#), [575](#), [578](#), [791](#), [806](#), [811](#), [955](#),  
[957](#), [959](#), [962](#), [979](#), [999](#), [1099](#), [1100](#), [1105](#), [1107](#), [1110](#), [1112](#), [1114](#), [1114](#), [1114](#),  
[1114](#), [1133](#), [1134](#), [1135](#), [1136](#), [1136](#), [1136](#), [1140](#), [1225](#), [1235](#), [1243](#), [1256](#), [1260](#),  
[1271](#), [1271](#), [1271](#), [1271](#), [1271](#), [1271](#), [1279](#), [1280](#), [1284](#), [1284](#), [1286](#), [1327](#), [1332](#),  
[1333](#), [1340](#), [1341](#), [1341](#), [1342](#), [1342](#), [1344](#), [1344](#), [1345](#), [1348](#), [1348](#), [1826](#), [1831](#),  
[1836](#), [1991](#), [2127](#), [2163](#), [2165](#), [2169](#), [2174](#), [2718](#), [3037](#), [3250](#), [3273](#); and Austro-

Russian agreement, [789](#); and Ottoman Empire, [1328](#); WWI, [1742](#), [1742](#), [1742](#), [1743](#), [1746](#), [1758](#); WWII, [2590](#), [2590](#), [2592](#), [2593](#), [2597](#).

Balkan States

*See* [Balkan Peninsula](#).

Balkan Wars

[980](#), [1136](#), [1138](#), [1138](#), [1138](#), [1225](#), [1244](#), [1266](#), [1266](#), [1281](#), [1282](#), [1293](#), [1294](#), [1297](#), [1308](#), [1309](#), [1309](#), [1318](#), [1318](#), [1324](#), [1326](#), [1346](#), [1348](#), [1348](#), [1348](#), [1348](#), [2160](#).

Balkars

[3271](#).

Balkh

[302](#), [305](#), [833](#).

Ball, Albert, British pilot

[1766](#).

Ball, Hannah, founder of first English Sunday school

[688](#).

Ball, John, religious leader

[513](#), [514](#).

Balladur, Edouard, French leader

[2881](#), [2881](#).

Ballance, John, New Zealand leader

[1504](#).

Ballarat

[1490](#).

Ballard, John, conspirator against Elizabeth I

[588](#).

Balli Kombetar, Albanian party

[2143](#).

Ballilla, Italian Fascists

[1948](#).

Ballinger-Pinchot controversy

[1617](#).

Balliol College, Oxford

[446](#).

Ballivián, Hugo, Bolivian leader

[3538](#), [3538](#).

Ballivián, Adolfo, Latin American leader

[1668](#).

Ballivián, José, Latin American leader

[1668](#).

Ballot Act, England

[1160](#).

Ballymoney  
[2815](#).

Balmaceda, José Manuel, Latin American leader  
[1663](#), [1663](#), [1664](#).

Balochistan  
[3990](#), [4004](#), [4011](#).

Balodis, J[!][\[!\]](#)nis, Latvian leader  
[2100](#).

Balsha family, Serbia  
[562](#).

Balta, José, Latin American leader  
[1670](#).

Balta Liman, convention of  
[1312](#).

Balthas, Visigoth royal house  
[403](#).

Baltic convention  
[1132](#).

Baltic duchy, German efforts to organize  
[2096](#).

Baltic Islands  
[1803](#).

Baltic Pact  
[2092](#), [2100](#), [2106](#).

Baltic region  
[281](#), [402](#), [460](#), [461](#), [486](#), [511](#), [544](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [550](#), [550](#), [551](#), [555](#), [555](#),  
[556](#), [557](#), [557](#), [620](#), [627](#), [628](#), [628](#), [628](#), [628](#), [628](#), [629](#), [629](#), [632](#), [644](#), [657](#), [659](#), [703](#), [761](#),  
[761](#), [762](#), [766](#), [776](#), [780](#), [786](#), [955](#), [1774](#), [1821](#), [1822](#), [1831](#), [1836](#), [1837](#), [1838](#), [1992](#),  
[2051](#), [2056](#), [2067](#), [2080](#), [2084](#), [2084](#), [2084](#), [2084](#), [2084](#), [2096](#), [2097](#), [2101](#), [2103](#),  
[2637](#), [2685](#), [2687](#), [3300](#); WWI, [1774](#); WWII, [2597](#); and Russia, [3298](#), [3303](#), [3304](#),  
[3346](#).

Baltic Sea  
[29](#), [31](#), [482](#), [486](#), [488](#), [1623](#), [3349](#); pollution reduction, [2735](#).

Baltimore  
[1565](#), [1572](#), [1594](#), [3413](#), [3432](#), [4266](#).

Baltimore and Ohio Railroad  
[1574](#).

Balts  
[402](#), [482](#).

Baluchistan  
[272](#).

Bamako

[1511](#), [1511](#), [4362](#).

Bamangwato

[2572](#).

Bambara

[870](#), [871](#), [2555](#).

Bambara people

[1510](#), [1510](#).

Bambatha, African leader

[1558](#).

Bamberg

[417](#).

Bambudye

[885](#).

Bambuk

[878](#).

Bamiyan

[129](#).

Bana, poet

[324](#).

Banaras

[835](#), [1394](#), [1398](#).

Banat

[1742](#), [1760](#), [1779](#).

Banat of Temesvar

[758](#), [1787](#), [2128](#).

Banavasi

[132](#), [133](#), [326](#).

Ban Biao, Chinese historian

[156](#).

Ban Chao, Chinese leader

[155](#).

Ban Chiang

[64](#).

Banda, Hastings Kamuzu, Malawian leader

[4456](#), [4456](#), [4459](#), [4459](#), [4459](#), [4459](#), [4459](#), [4459](#), [4459](#), [4459](#), [4459](#), [4460](#).

Band Aid Fund

[2681](#).

Banda Oriental

[915](#), [917](#), [1644](#), [1644](#), [1644](#), [1644](#), [1644](#), [1646](#), [1647](#), [1658](#), [1658](#), [1665](#), [1677](#); independence of, [1658](#). *See* [Uruguay](#).

Bandar Abbas

[814](#), [814](#), [817](#), [821](#), [1360](#).

Bandaranaike, Anura, Sri Lankan leader

[4036](#), [4037](#).

Bandaranaike, Mrs. Sirimavo, Sri Lankan leader

[4028](#), [4029](#), [4032](#), [4033](#), [4035](#), [4037](#).

Bandaranaike, Sirimavo, Sri Lankan leader

[4026](#), [4028](#), [4032](#), [4036](#), [4039](#).

Bandkeramik Complex

[37](#).

Bandung

[2681](#).

Bandung Conference

[2637](#), [2654](#), [3906](#), [3907](#), [4147](#).

Baner, Johann, Swedish commander

[620](#), [622](#).

Banggai

[843](#).

Bangkok

[848](#), [849](#), [1406](#), [1409](#), [1409](#), [2485](#), [2626](#), [4067](#), [4068](#), [4109](#), [4110](#), [4133](#).

Bangladesh

[2636](#), [2644](#), [2668](#), [2686](#), [3971](#), [3971](#), [3976](#), [4003](#), [4003](#), [4003](#), [4016](#), [4016](#), [4017](#), [4018](#), [4023](#), [4025](#); civil war, [4016](#); declaration of independence, [4016](#); economy and society, [4017](#); floods, [4018](#), [4023](#), [4025](#); cyclone, [4024](#).

Bangladesh Flood Alteration Plan

[4023](#).

Bangladeshis

[3971](#), [4021](#).

Bangladesh Krishak-Sramik Awami League

[4018](#).

Bangladesh National Party, BNP

[4022](#), [4023](#).

Bangor

[425](#).

Ban Gu, Chinese historian

[156](#).

Bangui, Central African Republic

[4334](#), [4334](#).

Bangweolu

[1509](#).

Banias oil terminal

[3842](#).  
Bani Sadr, Abu al-Hasan, Iranian leader  
[3822](#).  
Banishment Act, England  
[698](#).  
Bank Bill, U.S.  
[1576](#).  
Bank Charter Act, England  
[1049](#).  
Bank Deposit Insurance Act, U.S.  
[2202](#).  
Bank for International Settlements  
[1718](#), [1721](#), [1829](#).  
banking  
[1049](#), [1056](#), [1077](#), [1080](#), [1087](#), [1096](#), [1700](#), [1700](#), [1720](#), [2231](#); Great Britain, [1156](#);  
Belgium, [1171](#), [1171](#); France, [1178](#); Italy, [1221](#), [1221](#); Germany, [1231](#), [1235](#); Russia,  
[1261](#), [1261](#); Poland, [1267](#); Serbia, [1288](#); Bulgaria, [1301](#), [1304](#), [1306](#); Ottoman  
Empire, [1335](#); Iran, [1351](#); Morocco, [1376](#); Algeria, [1382](#); Tunisia, [1387](#); Libya, [1393](#);  
Japan, [1452](#); U.S., [1565](#), [1573](#), [1576](#), [1576](#), [1588](#), [1620](#); Nicaragua, [1619](#); Canada,  
[1625](#), [1625](#), [1641](#).  
Banking Act, Australia  
[4297](#), [4298](#).  
Banking Act of 1933, U.S.  
[2202](#).  
Banking Acts, Ireland  
[699](#).  
Bank Melli Iran  
[2339](#).  
Bank Misr, Egypt  
[2353](#), [3909](#).  
Bank of Canada Act  
[2231](#).  
Bank of Credit and Commerce International  
[2684](#).  
Bank of England  
[680](#), [685](#), [1049](#), [1720](#), [1829](#), [2691](#), [2759](#), [2800](#).  
Bank of Finland  
[3075](#).  
Bank of France  
[1720](#), [1829](#), [1905](#), [1912](#).  
Bank of Greece



[3226](#).  
Bank of Korea  
[2488](#).  
Bank of Lisbon  
[1064](#).  
Bank of New Zealand  
[4314](#).  
Bank of Poland  
[2118](#).  
Bank of Santa Teresa, Lombardy  
[742](#).  
Bank of Thailand  
[4074](#).  
Bank of the United States  
[1565](#); second, [1573](#); proposal for third, [1576](#).  
Bank of Tokyo-Mitsubishi Ltd  
[4249](#).  
Bankruptcy of the Two-Thirds, France  
[1009](#).  
Banks, Joseph  
[878](#).  
Bannockburn, battle of  
[512](#), [512](#), [517](#).  
Bano, Shah, Indian divorcee  
[3978](#).  
Banque de France  
[2839](#).  
Banque Générale, France  
[715](#).  
Banque Royale, France  
[715](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 9

Banqueting Hall, Whitehall

[594.](#)

Bantam, English establishment at

[840.](#)

Banten

[839.](#)

Bantu Education Act

[4470.](#)

Bantus

[343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [343](#), [347](#), [347](#), [347](#), [347](#), [347](#), [348](#), [348](#), [349](#), [349](#), [349](#), [362](#), [362](#), [362](#), [365](#), [365](#), [890](#), [890](#), [891](#), [1506](#).

Banu Abd al-Wad, Zayyanid leader

[322.](#)

Banu al-Nadir, Jewish tribe

[286](#), [286](#).

Banu Asad, Arab tribe

[300.](#)

Banu Hammad

[321.](#)

Banu Hilal

[321.](#)

Banu Khalid Arabs

[803.](#)

Banu Kilab

[317](#), [317](#).

Banu Musa brothers

[295.](#)

Banu Qaynuqa', Jewish tribe

[286](#), [286](#).

Banu Qurayza, Jewish tribe

[286](#), [286](#).  
Banu Sulaym  
[321](#).  
Banu Utub Arabs  
[820](#), [820](#).  
Banu Wattas  
[822](#).  
Banzan, Kumazawa, Japanese philosopher  
[859](#).  
Banzer Suárez, Hugo  
[3543](#), [3543](#), [3543](#), [3546](#), [3546](#), [3548](#), [3549](#), [3550](#), [3551](#).  
Ban Zhao, Chinese historian  
[156](#).  
Bao Dai, Vietnamese leader  
[2524](#), [2529](#), [2529](#), [4255](#), [4255](#), [4256](#), [4257](#), [4257](#), [4257](#).  
Baoding  
[2479](#).  
Bapaume, in World War I  
[1738](#), [1755](#), [1800](#), [1812](#), [1812](#).  
Bapheus, battle of  
[309](#), [565](#).  
Ba Phnom  
[135](#).  
Baphuon, Angkor temple  
[340](#).  
Baptista, Mariano, Latin American leader  
[1669](#).  
Baptista, Pedro, Angolan explorer  
[1507](#).  
Baptists  
[1538](#), [1539](#), [1548](#); in the U.S., [1563](#), [1565](#).  
Bar, region  
[524](#).  
Bar, Montenegro  
[1297](#).  
Baracoa  
[895](#).  
Barahona, Miguel Paz, Honduran leader  
[2289](#).  
Barak, Ehud, Israeli leader  
[3785](#), [3785](#), [3844](#), [3868](#), [3868](#), [3869](#), [3869](#), [3869](#).

Barakzay dynasty, Afghanistan  
[819](#), [1354](#), [1354](#), [1354](#).

Baranov, Alexander, Russian colonial administrator  
[1566](#).

Baranovici, taken by Russians  
[1740](#), [1802](#).

Baratieri, Oreste, Italian general  
[1222](#).

Barbados  
[694](#), [931](#), [3756](#), [3756](#), [3759](#), [3767](#).

Barbados Labour Party  
[3765](#).

Barbalissa  
[272](#).

barbarian, Greco-Roman concept  
[402](#).

barbarians  
[67](#), [252](#), [257](#), [260](#), [265](#), [265](#), [266](#).

Barbarossa, Ottoman admiral and pirate  
[797](#).

Barbary Company  
[823](#).

Barbary Wars  
[1381](#).

barbed wire  
[1596](#).

Barberini, Maffeo  
*See* [Urban VIII, pope](#).

Barbie, Klaus, Nazi  
[2875](#).

Barbuda  
[3763](#).

Barcelona  
[281](#), [419](#), [477](#), [477](#), [477](#), [479](#), [479](#), [479](#), [525](#), [601](#), [604](#), [718](#), [720](#), [721](#), [722](#), [725](#), [1029](#),  
[1062](#), [1146](#), [1202](#), [1204](#), [1921](#), [1921](#), [1921](#), [1925](#), [1927](#), [1927](#), [1928](#), [1929](#), [1930](#),  
[1931](#), [1931](#), [1932](#), [2688](#), [2702](#), [2906](#), [2907](#); treaty of, [607](#).

Barcelona Commission of Factories  
[1062](#).

Barclay de Tolly, Mikhail  
[1029](#), [1029](#).

Barco Vargas, Virgilio, Colombian leader

[3583](#), [3584](#).  
Bardas, Byzantine leader  
[434](#), [434](#), [435](#).  
Bardas Phocas, Byzantine general  
[437](#), [437](#), [438](#), [438](#).  
Bardas Skleros, Byzantine general  
[438](#), [438](#).  
Bardi  
[534](#).  
Bardia  
[2612](#), [2612](#), [2614](#).  
Bardiya  
*See* [Smerdis, brother of Cambyses I, king of Persia](#).  
Bardo, treaty of  
[1110](#), [1193](#), [1390](#).  
Bárdossy, László, Hungarian leader  
[2034](#).  
Barebones' Parliament, England  
[671](#).  
Bareiro, Cándido, Latin American leader  
[1666](#).  
Barents, Willem, Dutch explorer  
[993](#).  
Barents Sea  
[993](#), [2757](#), [3371](#).  
Bargash Sayyid, sultan of Zanzibar  
[1529](#).  
Bargdenau  
[408](#).  
Barghawata Berbers  
[295](#).  
Bari  
[408](#), [435](#), [467](#), [472](#), [500](#).  
Barillas, Manuel Lisandro, Latin American leader  
[1681](#).  
Baring, Evelyn  
[1372](#), [1373](#), [1374](#).  
Barings PLC  
[2691](#), [2799](#).  
Barka, Mehdi Ben, Moroccan leader  
[3920](#).

Barkuk, Mamluk leader  
[320](#).

Barletta, Nicolas Ardito, Panamanian leader  
[3642](#), [3642](#), [3642](#).

Bar-Lev Line  
[3774](#).

Barlian, Lt. Col., Indonesian leader  
[4125](#).

Barlow, Arthur, English explorer  
[924](#).

Barlow, George  
[1394](#).

Barmak family  
[293](#), [294](#).

Barnaloo, S. S., Indian leader  
[3978](#).

Barnard, Dr. Christiaan, surgeon  
[2664](#).

Barnato, Barney, South African financier  
[1555](#).

Barnato Diamond Mining Company  
[1555](#), [1556](#).

Barnet, battle of  
[515](#).

Baroda  
[334](#).

Baronius, Caesar, Italian historian  
[609](#).

Baroque style  
[646](#), [735](#).

Barotseland  
[1548](#).

Barotse people  
[1547](#).

Barrantes, Alfonso, Peruvian leader  
[3557](#), [3557](#).

Barras, Paul François de, French leader  
[1009](#), [1012](#).

Barre, Muhammad Siyad, Somalian leader  
[4400](#), [4400](#), [4400](#), [4400](#), [4400](#).

Barre, Raymond, French leader

[2866](#).  
Barrès, Maurice, writer  
[1195](#).  
Barreta, Tomás, Uruguayan leader  
[3528](#).  
Barrie, James M., writer  
[1839](#).  
Barrientos Ortuno, René, Bolivian leader  
[3539](#), [3540](#), [3541](#).  
Barrier Treaty  
[704](#).  
Barries, Norman family  
[425](#).  
Barrios, Justo Rufino, Latin American leader  
[1681](#), [1681](#), [1681](#).  
Barros Luco, Ramón, Latin American leader  
[1664](#).  
Barrow, Isaac, British mathematician  
[640](#).  
Barrow, L. Basian, Gambian leader  
[4343](#).  
Bar-sauma, Syrian monk  
[273](#).  
Barsine, Persian wife of Alexander the Great  
[207](#).  
Barth, Heinrich, German explorer  
[1508](#).  
Barth, Karl, theologian  
[1815](#), [2701](#).  
Barthélemy, François de  
[1009](#).  
Barthes, Roland, critic  
[2701](#), [2861](#).  
Bartholin, Erasmus, scientist  
[640](#).  
Barthou, Jean Louis, French leader  
[1821](#), [2134](#).  
Bartlett, Neil, chemist  
[2703](#).  
Bartolo, Martínez, Nicaraguan leader  
[2283](#).

Barton, Clara, founder of American Red Cross  
[1600](#).

Barton, Edmund, Australian leader  
[1497](#), [1497](#).

Baruch Plan  
[2641](#).

Barwe, Mozambique  
[2572](#).

Basava, religious leader  
[337](#).

Basco y Vargas, Jose, Spanish merchant in the Philippines  
[868](#).

Basel  
[411](#), [531](#), [546](#), [547](#), [625](#), [625](#), [625](#), [626](#), [749](#), [749](#), [750](#), [1009](#), [1718](#), [1720](#), [2976](#); synod of, [467](#); council of, [523](#), [531](#), [531](#), [532](#), [541](#), [544](#), [545](#); treaty of, [547](#), [907](#), [1008](#).

Basel Mission  
[1514](#).

BASF, German chemical company  
[2640](#).

Bashan  
[104](#), [106](#).

Bashir I, emir  
[805](#).


Bashir II, emir of Lebanon  
[810](#), [1333](#).

Bashir III, emir of Lebanon  
[1333](#).

Assad, Bashar al-, Syrian leader  
[3786](#), [3844](#).

Sa`dawi, Bashir al-, Islamic leader  
[3947](#).

Bashkent, battle of  
[308](#).

Bash , Matsuo, Japanese poet  
[861](#).

Basic Reconstruction Act, U.S.  
[1593](#).

Basic Treaty, Germany  
[3007](#).

Bas'idi dynasty  
[882](#).



Basil, court favorite  
[437](#), [438](#).

Basil I, Byzantine emperor  
[435](#), [435](#), [435](#), [435](#).

Basil I, Vasili  
[558](#).

Basil II, Bulgaroktonos  
[276](#), [437](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#), [441](#), [498](#).

Basil II, grand prince of Moscow  
[558](#).

Basil III, tsar of Russia  
[629](#), [629](#).

Basilica Iulia  
[239](#).

Basilica Nova  
[260](#).

Basiliscus, pretender to the eastern Roman throne  
[269](#).

Basil of Caesarea, religious scholar  
[401](#).

Basil of Nazianzos, religious scholar  
[401](#).

Basil the Eunuch, adviser  
[438](#).

Basotho Congress Party, BCP  
[4473](#), [4473](#).

Basotholand  
[1551](#), [1553](#).

Basotho National Party, BNP  
[4473](#).

Basques  
[410](#), [419](#), [571](#), [908](#), [1202](#), [1926](#), [1929](#), [1929](#), [1930](#), [1930](#), [2644](#), [2892](#), [2893](#), [2893](#), [2895](#), [2901](#), [2909](#), [2909](#), [2910](#); autonomy, [2898](#).

Basra  
[287](#), [288](#), [290](#), [292](#), [293](#), [296](#), [296](#), [301](#), [794](#), [799](#), [803](#), [804](#), [805](#), [809](#), [1331](#), [1333](#), [1363](#), [1748](#), [1750](#), [1751](#), [2399](#), [3880](#), [3896](#).

Bassac  
[1407](#).

Bassano  
[538](#).

Bassein, treaty of

[831](#), [1394](#).  
Bastarnae  
[402](#).  
Bastiat, Claude Frédéric, economist  
[1035](#).  
Bastidas, Micaela, wife of Túpac Amaru II  
[913](#).  
Bastidas, Rodrigo de, explorer  
[573](#), [897](#).  
Bastille, Paris  
[701](#), [713](#), [1001](#), [1001](#).  
Bastille Day  
[2877](#).  
Bastion Point, New Zealand  
[4316](#).  
Basutoland  
[1551](#), [1558](#).  
Basutoland African Congress  
[4473](#).  
Basutoland National Party  
[4473](#).  
Basuto people  
[1551](#).  
Bataan Peninsula  
[2627](#).  
Bataka  
[883](#).  
Batam Archipelago  
[837](#).  
Batanaea  
[250](#).  
Batavia  
[841](#), [1412](#), [2457](#), [2627](#), [4122](#). *See* [Jakarta](#).  
Batavian Republic  
[705](#), [1017](#), [1018](#), [1024](#), [1549](#).  
Batavians, Germanic tribe  
[251](#), [595](#), [705](#).  
Bates, John, English merchant  
[589](#).  
Bath  
[421](#).

Ba`th Party

3843.

Ba`th Party, Iraq and Syria

3838, 3839, 3840, 3878, 3888.

Baths of Caracalla

255, 260.

Bathurst, Gambia

873, 1488, 1513.

Batista, Fulgencio, Cuban leader

2303, 2305, 2305, 2306, 2306, 2306, 3714, 3714, 3714, 3714, 3715.

Battle, Jorge, Uruguayan leader

3534.

Battle, Lorenzo, Latin American leader

1667.

Battle y Ordóñez, José, Latin American leader

1667, 1667, 2252, 2252.

Batman, John, settler in Victoria

1489.

Battambang

1407.

Batthyány, Lajos

1087, 1087.

Battle at Châlons

258.

Battle at Paraetacene

209.

Battle of Aegina

192.

Battle of Aegospotamai

198.

Battle of Alalia

110, 185.

Battle of Amphipolis

196.

Battle of Andros

210, 218.

Battle of Aphek

106.

Battle of Arbela

88.

Battle of Arginusae

198.  
Battle of Aricia  
225.  
Battle of Arpad  
87.  
Battle of Artemisium  
189.  
Battle of Assinarus  
197.  
Battle of Avarair  
273.  
Battle of Callinicum  
274.  
Battle of Carchemish  
88, 95, 105.  
Battle of Chaeronea  
205.  
Battle of Châlons  
266.  
Battle of Chios  
211.  
Battle of Cnidus  
199.  
Battle of Coronea  
193, 199.  
Battle of Corupedium  
209.  
Battle of Cos  
218.  
Battle of Cronium  
200.  
Battle of Cumae  
190.  
Battle of Cunaxa  
115, 124.  
Battle of Cynoscephalae  
202.  
Battle of Cyzicus  
198, 255.  
Battle of Daras  
274.

Battle of Delium  
[196.](#)

Battle of Der  
[122.](#)

Battle of Dhu Qar  
[275.](#)

Battle of Diplaea  
[190.](#)

Battle of Elteqeh  
[87.](#)

Battle of Embata  
[203.](#)

Battle of Fei River  
[157.](#)

Battle of Gaugamela  
[206.](#)

Battle of Gilboa  
[104.](#)

Battle of Granicus  
[206.](#)

Battle of Halule  
[122.](#)

Battle of Himera  
[110.](#), [189.](#)

Battle of Hysiae  
[178.](#)

Battle of Ipsus  
[209.](#)

Battle of Issus  
[206.](#), [255.](#)

Battle of Lade  
[187.](#)

Battle of Lake Regillus  
[225.](#)

Battle of Lechaeum  
[200.](#)

Battle of Leuctra  
[202.](#)

Battle of Lutibu  
[106.](#)

Battle of Magnesia

[233](#).  
Battle of Manduria  
[205](#).  
Battle of Marathon  
[124](#), [188](#).  
Battle of Megiddo  
[93](#), [95](#), [105](#).  
Battle of Mycale  
[189](#).  
Battle of Neon  
[203](#).  
Battle of Nicaea  
[255](#).  
Battle of Noae  
[193](#).  
Battle of Oenophyta  
[192](#).  
Battle of Pelusium  
[95](#).  
Battle of Piyer  
[93](#).  
Battle of Plataea  
[189](#).  
Battle of Pydna  
[233](#).  
Battle of Qadesh  
[93](#).  
Battle of Qarqar  
[87](#), [94](#), [104](#), [106](#).  
Battle of Raphia  
[208](#).  
Battle of Red Cliff  
[156](#).  
Battle of Salamis  
[124](#), [189](#), [193](#).  
Battle of Sellasia  
[211](#).  
Battle of Senyclarus  
[179](#).  
Battle of Sepeia  
[187](#).

Battle of Tanagra  
[192.](#)

Battle of the Crimissus  
[204.](#)

Battle of the Elleporus  
[200.](#)

Battle of the Eurymedon River  
[190.](#)

Battle of the Frontiers  
[1789.](#)

Battle of the Hydaspes, Jhelum  
[207.](#)

Battle of the Metaurus River  
[232.](#)

Battle of the Nemea  
[199.](#)

Battle of Thermopylae  
[189, 211.](#)

Battle of the Trebia  
[231.](#)

Battle of Trifanum  
[226.](#)

Battle of Zama  
[232.](#)

Battles of Bedriacum  
[251, 251.](#)

Battles of Mantinea  
[197, 202.](#)

Novara, battles of  
[597.](#)

battles of St. Albans  
[515.](#)

Batu, Mongol leader  
[374, 487, 489.](#)

Batum  
[1108, 1108, 1260, 1343, 1344, 2067.](#)

Batu Pahat River  
[837.](#)

Baucaudae  
[261.](#)

Baudouin, king of Belgium

[2820](#), [2820](#), [2821](#), [2822](#), [2822](#), [2824](#).  
Bauer, Bruno, writer  
[1036](#).  
Bauer, Georg  
See [Georgius ~Agricola](#).  
Bauer, Gustav, German leader  
[1973](#).  
Bauhaus school of design, led by Gropius  
[1816](#), [1974](#), [2702](#).  
Baulieu, Etienne-Emile, endocrinologist  
[2704](#).  
Baunsgaard, Hilmar, Danish leader  
[3047](#), [3047](#).  
Bautzen, battle of  
[1030](#).  
Bautzen, treaty of  
[486](#).  
Bavaria  
[410](#), [411](#), [412](#), [415](#), [415](#), [415](#), [415](#), [415](#), [416](#), [416](#), [416](#), [416](#), [416](#), [456](#), [456](#), [459](#), [468](#),  
[491](#), [554](#), [613](#), [614](#), [616](#), [617](#), [619](#), [620](#), [621](#), [622](#), [623](#), [624](#), [624](#), [653](#), [657](#), [657](#), [657](#),  
[657](#), [659](#), [660](#), [660](#), [660](#), [660](#), [667](#), [752](#), [759](#), [759](#), [759](#), [1009](#), [1009](#), [1026](#), [1026](#), [1072](#),  
[1096](#), [1102](#), [1102](#), [1232](#), [1233](#), [1234](#), [1781](#), [1971](#), [1978](#), [1978](#), [2983](#), [2987](#).  
Bavaria, electoral prince of  
[657](#).  
Bayamo  
[895](#).  
Bayan, scripture  
[1350](#).  
Bayar, Celal, Turkish leader  
[3788](#), [3790](#).  
Bayazid  
[1108](#).  
Bayazid al-Bistami, mystic  
[297](#).  
Bayeux Tapestry  
[449](#).  
Bayezid, son of Suleyman I  
[795](#), [795](#), [1343](#), [1344](#).  
Bayezid I, Yildirim  
[310](#), [310](#), [310](#), [312](#), [312](#), [312](#), [312](#), [312](#), [563](#), [568](#), [568](#), [793](#).  
Bayezid II, Ottoman sultan



[315](#), [315](#), [315](#), [315](#), [316](#).

Bayinnaung, king of Burma

[844](#), [844](#), [845](#), [845](#), [845](#), [845](#), [845](#).

Bay Islands

[1680](#), [1686](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 10

- Bayle, Pierre, French historian  
[645.](#)
- Bay of Bengal  
[845.](#)
- Bay of Biscay  
[418, 420.](#)
- Bay of Honduras  
[573.](#)
- Bay of Islands  
[1500.](#)
- Bay of Naples  
[182, 184, 252.](#)
- Bay of Pigs  
[3689, 3716, 3717, 3735.](#)
- Bayon, Angkor temple  
[340.](#)
- Bayonne  
[513, 515, 515, 521, 1910.](#)
- Bayonne Conference  
[726.](#)
- Bayrakdar Mustafa Pasha, governor of Bulgaria  
[811.](#)
- Bazaine, Achille, French marshal  
[1185.](#)
- Bazard, St.-Amand, French socialist  
[1035.](#)
- Bazargan, Mehdi, Iranian leader  
[3821, 3821, 3825, 3826.](#)
- Bazin, Marc L., Haitian leader  
[3751.](#)

Beadle, George W., geneticist  
[1731](#).

Beagle, HMS  
[1043](#).

Beagle Channel  
[570](#).

Beas (Hyphasis) River  
[207](#).

Beatles, musicians  
[2702](#), [2704](#), [2774](#), [3409](#).

Beatrice, mother of Alfonso X  
[476](#).

Beatrice, widow of Boniface of Tuscany  
[454](#), [467](#).

Beatrice, wife of Frederick I Barbarossa  
[456](#).

Beatrice, wife of John I of Castile  
[528](#).

Beatrice Kimpa Vita, religious prophet  
[869](#), [869](#), [887](#), [1506](#).

Beatrice of Bourbon, wife of Robert of Clermont  
[599](#).

Beatrix, queen of the Netherlands  
[2832](#).

Beatty, David  
[1795](#), [1809](#).

Beauce  
[1004](#).

Beau de Rochas, Alphonse, inventor  
[981](#).

Baumont, Francis, English playwright  
[594](#).

Beauvais  
[449](#).

Beauvoir, Simone de, writer  
[2649](#).

Bebel, August, German leader  
[1233](#), [1234](#).

Beccaria, Cesare, Italian philosopher and scientist  
[645](#), [735](#).

Becerra, Francisco, Spanish colonial architect

[912](#).  
Becerra Law, Philippines  
[1481](#).  
Bech, Joseph, leader of Luxembourg  
[2835](#), [2835](#), [2835](#).  
Becher, Johann Joachim, scientist  
[641](#).  
Bechuanaland  
[1507](#), [1547](#), [4456](#), [4458](#). *See* [Botswana](#).  
Becket, Thomas, archbishop of Canterbury  
[444](#), [450](#).  
Becquerel, Alexandre, physicist  
[1736](#).  
Becquerel, Antoine H., physicist  
[1149](#).  
Bedaux, Charles, efficiency expert  
[1734](#).  
Bede, St., scholar  
[421](#), [422](#), [422](#).  
Bedford, duke of, regent for Henry VI  
[515](#), [522](#), [522](#).  
Bedornz, J. Georg, physicist  
[2704](#).  
Bedreddin, sheikh, Ottoman rebel  
[312](#).  
beduins  
[808](#), [1393](#), [2398](#), [2398](#).  
Beecham, Thomas  
[1848](#).  
Beecher, Henry Ward  
[1594](#).  
Beel, Louis J. M., Dutch leader  
[2827](#), [2830](#).  
“Beer Hall Putsch”  
[1978](#).  
Beer-Wine Revenue Act  
[2203](#).  
Begarha  
[334](#).  
Begin, Menachem, Israeli leader  
[3426](#), [3777](#), [3856](#), [3861](#), [3861](#).

Beguines, communities of meditative women  
[595](#).

Béhaine, Pierre Pigneau de, French missionary  
[1473](#).

Béhanzin, king of Dahomey  
[1517](#).

Behistun inscription  
[124](#).

Behring, Emil A. von, scientist  
[1149](#), [1153](#).

Beijing  
[138](#), [139](#), [156](#), [367](#), [369](#), [372](#), [372](#), [374](#), [375](#), [375](#), [375](#), [376](#), [376](#), [376](#), [380](#), [576](#), [851](#),  
[851](#), [852](#), [852](#), [852](#), [852](#), [852](#), [852](#), [853](#), [853](#), [855](#), [856](#), [955](#), [969](#), [971](#), [1415](#), [1415](#), [1416](#),  
[1417](#), [1417](#), [1417](#), [1420](#), [1424](#), [1430](#), [1610](#), [2462](#), [2463](#), [2464](#), [2464](#), [2465](#), [2465](#),  
[2469](#), [2470](#), [2470](#), [2470](#), [2476](#), [2476](#), [2476](#), [2476](#), [2479](#), [2480](#), [2486](#), [2507](#), [2515](#), [2637](#),  
[2685](#), [2691](#), [2725](#), [3098](#), [3283](#), [4056](#), [4058](#), [4078](#), [4081](#), [4085](#), [4128](#), [4144](#), [4144](#),  
[4146](#), [4148](#), [4151](#), [4152](#), [4153](#), [4156](#), [4156](#), [4156](#), [4157](#), [4157](#), [4158](#), [4159](#), [4161](#),  
[4161](#), [4162](#), [4165](#), [4166](#), [4166](#), [4167](#), [4167](#), [4168](#), [4171](#), [4175](#), [4177](#), [4178](#), [4183](#),  
[4184](#), [4185](#), [4195](#), [4201](#), [4239](#), [4268](#), [4269](#), [4278](#); treaty of, [955](#), [1259](#); convention of  
1860, [1417](#); occupation of, [1417](#); siege of legations, [1424](#).

Beijing Airport  
[4158](#).

Beijing Man  
[138](#).

Beijing University  
[2463](#), [2464](#), [2478](#).

Beiping, Nationalist name for Beijing  
*See* [Beijing](#).

Beira  
[1548](#).

Beirut  
[107](#), [260](#), [437](#), [837](#), [1327](#), [1332](#), [1335](#), [1335](#), [1335](#), [1346](#), [2378](#), [2378](#), [2379](#), [2384](#),  
[2592](#), [2679](#), [3428](#), [3778](#), [3778](#), [3845](#), [3849](#), [3849](#), [3853](#).

Beit, Alfred, South African financier  
[1555](#).

Beiyang  
[2462](#).

Beke, Charles T., explorer  
[1508](#).

Bektashi, Sufi order  
[306](#).



[1886](#), [1887](#), [1893](#), [1896](#), [1900](#), [1912](#), [1978](#), [2036](#), [2192](#), [2644](#), [2700](#), [2706](#), [2707](#), [2708](#), [2708](#), [2710](#), [2711](#), [2714](#), [2718](#), [2719](#), [2719](#), [2724](#), [2728](#), [2748](#), [2752](#), [2754](#), [2756](#), [2756](#), [2818](#), [2825](#), [2825](#), [2833](#), [2835](#), [2836](#), [2885](#), [2910](#), [2951](#), [3039](#), [3082](#), [3118](#), [3863](#), [3908](#); and Africa, [873](#), [1172](#), [1517](#), [1525](#), [1539](#), [1540](#), [1540](#), [1540](#), [1544](#), [1544](#), [2568](#), [2570](#), [4350](#), [4420](#), [4432](#), [4434](#), [4449](#), [4449](#), [4434](#), [4449](#), [4449](#), [4450](#); and WWI, [1141](#), [1141](#), [1173](#); WWI, [1738](#), [1738](#), [1738](#), [1738](#), [1755](#), [1769](#), [1769](#), [1771](#), [1780](#), [1780](#), [1784](#), [1789](#), [1789](#), [1789](#), [1882](#); between Wars, [1818](#), [1822](#); and Germany, [1882](#); WWI losses, [1882](#); and Netherlands, [1882](#); and Luxemboug, [1884](#); invasion of Ruhr, [1885](#); language regulations, [1887](#); Great Depression, [1887](#); and Nazi Germany, [1888](#); WWII, [1891](#), [1892](#), [1892](#), [1893](#), [2585](#), [2585](#), [2585](#), [2585](#), [2585](#), [2604](#), [2604](#), [2619](#), [2620](#); invasion by Germany, [1892](#); colonialism, [2554](#); WWII merchant tonnage, [2604](#); post-WWII, [2818](#); and Congo, [2821](#), [2821](#); Walloon (French), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2823](#), [2823](#), [2823](#), [2823](#), [2824](#); Flemish, [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2822](#), [2823](#), [2823](#), [2823](#), [2823](#), [2824](#); German-speaking, [2823](#); European currency, [2825](#); post-WWII colonialism, [4320](#). See [Anglo-Belgian relations](#); [Franco-Belgian relations](#).

Belgorod

[2596](#), [2596](#), [2596](#).

Belgrade

[313](#), [313](#), [494](#), [542](#), [561](#), [562](#), [563](#), [613](#), [635](#), [792](#), [804](#), [806](#), [807](#), [811](#), [1136](#), [1140](#), [1140](#), [1141](#), [1284](#), [1284](#), [1284](#), [1286](#), [1288](#), [1293](#), [1328](#), [1337](#), [1739](#), [1743](#), [1792](#), [1792](#), [1797](#), [2130](#), [2134](#), [2135](#), [2597](#), [2643](#), [2658](#), [2662](#), [2685](#), [2696](#), [2706](#), [2707](#), [3167](#), [3169](#), [3169](#), [3177](#), [3178](#), [3179](#), [3179](#), [3182](#), [4177](#); treaty of, [787](#), [807](#).

Belgrade, University of

[1285](#).

Belgrade Six

[3175](#).

Belgrand, Marie-François-Eugène, French engineer

[1179](#).

Belisarius, Byzantine general

[274](#), [403](#), [404](#), [406](#), [408](#), [427](#), [427](#), [427](#), [473](#).

Belize

[1680](#), [2678](#), [3763](#). See [British Honduras](#).

Belknap, William W., U.S. official

[1595](#).

Bell, king of Douala

[1539](#).

Bell X-1, airplane

[1736](#).

Bell, Alexander Graham, inventor

[990](#).

Bell, Charles  
[1042](#).

Bell, John, U.S. leader  
[1584](#).

Bell, William, district officer  
[2530](#).

Bell and Coleman, developers of refrigerating device  
[986](#).

Bellarmino, Robert, Italian theologian and scholar  
[610](#).

Bellasis, John Baron, in Popish Plot  
[676](#).

Bellay, Joachim du, French poet  
[600](#).

Bellegarde  
[710](#).

Belle Isle  
[940](#).

Belle-Isle, Charles Louis Auguste Fouquet de, duke of Gisors  
[660](#).

Belle Jardinière, Paris  
[1061](#).

Belleville, Parisian district  
[1184](#).

Bellini, Gentile, artist  
[314](#), [539](#), [607](#).

Bellinzona  
[1229](#).

Bell-Lancaster school, Gabrovo  
[1298](#).

Bello, Andrés, writer  
[1657](#).

Bell Trade Relations Act, U.S.  
[4289](#).

Bellum Punicum  
[229](#).

Belorussia  
[482](#), [489](#), [557](#), [3301](#), [3303](#), [3304](#); radiation, [3294](#), [3297](#); Belarus, [3304](#); independence, [3304](#), [3315](#); sovereignty, [3315](#); Republic of Belarus, [3315](#). *See* [Belarus](#).

Belshazzar, regent of Babylonia  
[88](#).



Belsky, Russian noble family

[629](#).

Belur

[337](#).

Belzú, Manuel, Latin American leader

[1668](#), [1668](#).

Ben Ali, Zine El Abidine, Tunisian leader

[3946](#), [3946](#), [3946](#).

Bena people

[1529](#).

Benares

[130](#), [333](#), [836](#), [836](#); Hindu University at, [2432](#).

Benavente y Martín, Jacinto, playwright

[1921](#).

Benavides, Oscar, Peruvian leader

[2258](#), [2262](#), [2262](#), [2262](#).

Ben Bella, Ahmad, Algerian leader

[3925](#), [3929](#), [3930](#), [3930](#).

Bendahara, Malay family

[837](#), [837](#), [837](#), [837](#).

Bendahara Tun Habib Abdul Majid, Malay official

[837](#).

Bendigo

[1490](#).

Bene , Eduard (or Edvard), Czech leader

[2013](#), [2015](#), [2017](#), [2018](#), [2020](#), [2020](#), [2021](#), [3120](#), [3121](#), [3123](#).

Beneden, Edouard van, embryologist

[1153](#).

Benedetti, Vincent

[1102](#), [1234](#).

Benedetti Treaty

[1102](#).

Benedict V, pope

[465](#), [465](#).

Benedict VII

[465](#).

Benedict XI, pope

[453](#), [470](#), [470](#).

Benedict XIII, antipope

[531](#), [531](#), [531](#), [737](#).

Benedict XIV, pope

737.  
Benedict XV, pope  
1223, 1771, 1941, 1945.  
Benedictines, religious order  
268, 406, 406, 408, 421, 486, 609, 1530.  
Benedict of Aniane, religious adviser  
411.  
Benedict of Nursia, St., monastic leader  
268, 406, 406, 466.  
Benelux, Belgium  
1893, 1900, 2707, 2719, 2719, 2818, 2821, 2835, 2985.  
Benet Biscop, monastic founder  
421, 422.  
Benevento  
408, 408, 408, 416, 459, 465, 466, 466, 467, 472.  
Beneventum  
227, 268.  
Bengal  
129, 130, 131, 133, 324, 324, 324, 324, 331, 331, 331, 332, 332, 333, 335, 335, 335,  
336, 578, 830, 831, 832, 833, 834, 834, 835, 835, 835, 835, 835, 835, 835, 836, 844, 1394,  
1394, 1395, 1395, 1396, 1397, 1397, 1399, 1400, 2437, 2437, 3950, 3971, 3976,  
3977, 3990, 4001. *See* West Bengal.  
Bengalis  
835, 3990, 4016, 4016, 4016.  
Benghazi  
1393, 1393, 1393, 2612, 2613, 3948.  
Bengkulen  
841, 1410, 1412.  
Benguela  
886, 1539.  
Benguela railway  
4450.  
Ben Gurion, David, Israeli leader  
1346, 3857, 3858.  
Ben Hadad I, king of Damascus  
104, 106, 109.  
Ben Hadad II, king of Damascus  
105, 106.  
Beni dance associations  
2572.  
Aquino, Benigno, Philippine leader

[4292](#), [4292](#), [4292](#).

Benin

[345](#), [359](#), [359](#), [359](#), [869](#), [869](#), [873](#), [873](#), [875](#), [875](#), [875](#), [1517](#), [1517](#), [4329](#), [4329](#), [4329](#), [4329](#). See [Dahomey](#).

Benishangul-Gumuz, Ethiopia

[4397](#).

Benjamin Franklin Parkway, Philadelphia

[3436](#).

Benjedid, Chadli, Algerian leader

[3932](#), [3932](#), [3933](#), [3936](#).

Ben Khedda, Ben Youssef, Algerian leader

[3928](#).

Bennett, Floyd, aviation pioneer

[997](#).

Bennett, Richard B., Canadian leader

[2227](#), [2231](#), [2231](#), [2232](#), [2232](#).

Ben Salah, Ahmad, Tunisian leader

[3943](#), [3943](#).

Bentes Montero, Euler, Brazilian leader

[3618](#).

Bentham, Jeremy, political philosopher

[645](#), [1035](#).

Bentinck, William

[1395](#).

Benton, Thomas Hart, U.S. political leader

[1575](#).

Benuë-Niger region

[1508](#).

Benue River

[352](#).

Ben Yehuda, Eliezer, Hebrew scholar

[1346](#).

Benz, Karl, automobile designer

[990](#).

Beran, Joseph, Czech archbishop

[3124](#).

Beran, Rudolf, Czech leader

[2020](#).

Berar

[133](#), [333](#), [334](#), [831](#).

Berat

[564](#), [1798](#), [2143](#).

Berbero, Juan Francisco de, leader of revolt in Nueva Granada  
[913](#).

Berbers

[44](#), [110](#), [290](#), [291](#), [292](#), [293](#), [295](#), [299](#), [322](#), [322](#), [344](#), [344](#), [354](#), [404](#), [404](#), [419](#), [419](#),  
[475](#), [475](#), [823](#), [826](#), [871](#), [1375](#), [1376](#), [1378](#), [1380](#), [1381](#), [1385](#), [2417](#), [2418](#), [2418](#). *See*  
[Awraba Berbers](#); [Barghawata Berbers](#); [Kabyle Berbers](#); [Kutama Berbers](#); [Wazzani](#)  
[Berbers](#); [Zanata Berbers](#); [Zwawa Berbers](#).

Berchtesgaden, Hitler's mountain retreat  
[1835](#), [1851](#), [2011](#).

Berchtold, Leopold von  
[1141](#), [1746](#), [1746](#).

Berczy, William, artist  
[1623](#).

Berecz, János, Hungarian leader  
[3155](#).

Bérégovoy, Pierre, French leader  
[2880](#).

Bere Haven  
[1877](#).

Berengar I of Friuli, king of Italy  
[409](#), [465](#).

Berengar II of Ivrea  
[416](#), [465](#), [465](#).

Berenguer, Damaso, Spanish dictator  
[1924](#), [1925](#).

Berenguer, Ramón IV, count of Catalonia  
[477](#), [477](#), [479](#).

Berenice II, wife of Antiochus II  
[213](#), [213](#), [218](#).

Berenson, Lori Helene, U.S. citizen  
[3562](#).

Berestczko, battle of  
[776](#).

Berezina River  
[1029](#).

Berg, F. W.  
[1254](#).

Bergamo  
[472](#), [537](#), [537](#), [537](#), [538](#).

Bergen, battle of

664.  
Bergen, University of  
548, 549, 772, 2584, 3057.  
Bergenland  
1708.  
Berger, Victor, U.S. leader  
1611.  
Bergh, Christian Vilhelm, Norwegian engineer  
1247.  
Bergman, Ingmar, film director  
2702, 3066.  
Bergson, Henri, philosopher  
1143, 1144.  
Beria, Laurenty, Russian leader  
3267, 3267.  
Bering, Vitus, Danish explorer  
993.  
Bering land bridge  
18, 28, 28, 28, 29.  
Bering Sea  
1635, 1635.  
Bering Strait  
28, 33, 993.  
Berisha, Sali, Albanian leader  
3205.  
Berkeley  
1619, 3410.  
Berkeley, George, bishop and philosopher  
645.  
Berkeley, 1st baron, John, English colonizer  
935.  
Berkeley, William  
937, 937.  
Berkshire  
692.  
Berlin  
661, 1024, 1072, 1096, 1096, 1097, 1102, 1104, 1104, 1105, 1105, 1106, 1108, 1136,  
1140, 1141, 1142, 1268, 1344, 1418, 1610, 1741, 1741, 1746, 1762, 1781, 1781,  
1814, 1838, 1916, 1971, 1971, 1971, 1972, 1973, 1973, 1975, 1984, 1992, 1993,  
1994, 1994, 2020, 2020, 2021, 2185, 2232, 2587, 2587, 2590, 2621, 2621, 2621,  
2621, 2691, 2709, 2714, 2719, 2722, 2723, 2982, 2982, 2982, 2985, 2985, 2985.

[2987](#), [2987](#), [2995](#), [2995](#), [2996](#), [2996](#), [2996](#), [2996](#), [2996](#), [2997](#), [2997](#), [2998](#), [2998](#), [2998](#), [2999](#), [3000](#), [3000](#), [3002](#), [3005](#), [3005](#), [3006](#), [3006](#), [3008](#), [3010](#), [3012](#), [3013](#), [3013](#), [3013](#), [3015](#), [3015](#), [3016](#), [3016](#), [3016](#), [3018](#), [3019](#), [3023](#), [3026](#), [3275](#), [3404](#), [3406](#); congress of 1878, [962](#), [1108](#), [1109](#), [1110](#), [1110](#), [1325](#); conference on African affairs, [964](#), [1112](#), [1517](#); conference of 1879, [1110](#); treaty of, [1132](#), [1821](#); Congo conference, [1235](#); congress of, [1235](#), [1279](#); treaty of 1878, [1260](#), [1288](#), [1297](#), [1299](#), [1299](#), [1318](#), [1343](#), [1344](#), [1346](#), [1347](#), [1347](#); Olympics, [1706](#); battle of, [2621](#); blockade and airlift, [2637](#), [2648](#), [2985](#), [2987](#), [3393](#); Berlin Wall, [2637](#), [2637](#), [2658](#), [2685](#), [3016](#), [3020](#); crisis, [2722](#).

Berlin, University of  
[1026](#), [1147](#).

Berlin-Baghdad Railroad  
[956](#), [1124](#).

Berlin Congress  
*See* [Berlin](#).

Berlin Declaration  
[2718](#).

Berlin Decree  
[1024](#), [1024](#), [1571](#); and Continental System, [1020](#).

Berliner, Emile, pioneer in sound reproduction  
[990](#).

Berlinguer, Enrico, Italian leader  
[2941](#).

Berlin memorandum, of 1876  
[1106](#), [1106](#).

Berlin-Rome Axis  
*See* [Rome-Berlin Axis](#).

Berlusconi, Silvio, Italian leader  
[2948](#), [2948](#), [2950](#).

Bermuda  
[906](#), [924](#), [931](#), [2587](#), [2599](#), [2712](#), [2770](#), [3765](#), [3765](#).

Bermúdez, Francisco Morales, Peruvian leader  
[3555](#), [3555](#).

Bermúdez, Remigio Morales, Latin American leader  
[1670](#).

Bern  
[546](#), [546](#), [625](#), [625](#), [625](#), [625](#), [625](#), [625](#), [626](#), [626](#), [748](#), [748](#), [749](#), [749](#), [749](#), [749](#), [749](#), [750](#), [750](#), [750](#).

Bernadotte, Folke  
[2648](#), [3769](#).

Bernadotte, Jean-Baptiste, French general and later king of Sweden

[765](#), [1026](#), [1030](#).  
Bernard, Claude, physiologist  
[1151](#), [1151](#).  
Bernardes, Artur da Silva, Brazilian leader  
[2270](#).  
Bernard of Clairvaux, St.  
[449](#), [449](#), [450](#), [456](#), [468](#), [468](#), [505](#), [507](#).  
Bernard of Lublin, Polish writer  
[633](#).  
Bernardo of Siena, religious reformer  
[535](#).  
Bernardos, N. V., inventor  
[986](#).  
Berne  
[1094](#), [1228](#), [2973](#), [4256](#).  
Berner, Hagbard, journalist  
[1248](#).  
Berners-Lee, Tim, engineer  
[2686](#).  
Bernhard von Saxe-Weimar, German general  
[620](#), [620](#), [620](#), [620](#), [622](#).  
Bernini, Lorenzo, Italian artist  
[735](#).  
Bernoulli, Johann, Swiss scientist  
[642](#), [642](#).  
Bernstein, Eduard, German leader  
[1144](#), [1237](#).  
Bernstein, Henri, playwright  
[1903](#).  
Bernstorff, Andreas Peter, Danish leader  
[771](#), [771](#).  
Bernstorff, Johan Hartvig Ernst, Danish leader  
[770](#).  
Bernstorff, Johann von  
[1741](#), [1769](#).  
Berov, Lyuben, Bulgarian leader  
[3242](#).  
Berres, Luiz B., Uruguayan leader  
[3528](#), [3528](#).  
Berrhoe  
[496](#), [503](#).

Berri

[521](#), [523](#).

Berri, duke of, presumed Bourbon heir to French throne

[1059](#).

Berro, Bernardo P., Latin American leader

[1667](#).

Bertha, wife of Ethelbert

[421](#).

Bertha, wife of Henry IV of Germany

[454](#).

Berthelot, Henri, French commander

[1776](#).

Berthelot, Marcelin, chemist

[1152](#).

Berthollet, Claude, scientist

[1041](#).

Bertolucci, Bernardo, film director

[2702](#).

Bertrand, Francisco, Honduran leader

[2288](#), [2288](#).

Bertrand de Gôt

*See* [Clement V, pope](#).

Berwick

[517](#), [591](#), [722](#).

Berwick, duke of, James Fitzgerald, French marshal

[728](#).

Berytus

[107](#).

Berzelius, Jöns, chemist

[1042](#).

Berzins, Andris, Latvian leader

[3351](#).

Bes

[108](#).

Besançon

[405](#), [411](#), [713](#), [1178](#).

Besant, Annie Wood, Theosophist leader

[1398](#), [2432](#), [2432](#).

Bessarabia

[439](#), [440](#), [787](#), [793](#), [811](#), [1024](#), [1100](#), [1106](#), [1108](#), [1108](#), [1256](#), [1259](#), [1260](#), [1318](#), [1343](#), [1823](#), [1830](#), [2176](#), [2180](#), [2185](#), [2635](#); and Russia, [1311](#); WWI, [1742](#).



Bessarion, Johannes, religious scholar  
[531](#), [569](#).

Besse, Georges, chief of Renault  
[2874](#).

Bessel, Friedrich, astronomer  
[1040](#).

Bessemer, Henry, inventor of steelmaking process  
[956](#), [983](#).

Bessemer process  
[956](#), [983](#).

Bessin  
[413](#).

Bessus, Persian satrap  
[206](#).

Betances, Ramón Emeterio, Puerto Rican leader  
[1694](#).

Betancourt, Rómulo, Venezuelan leader  
[3594](#), [3598](#), [3599](#), [3599](#), [3600](#), [3600](#).

Betancur, Belisario, Colombian leader  
[3580](#), [3580](#), [3581](#).

Bethe, Hans A., astrophysicist  
[1730](#).

Bethel, New York  
[3417](#).

Bethell, Ernest, English journalist in Korea  
[1436](#).

Bethlehem  
[458](#), [507](#), [1851](#).


Bethlehem Steel Corporation  
[2206](#).


Bethlen, István  
[2023](#), [2025](#), [2026](#), [2027](#), [2027](#), [2029](#).

Bethlen Gabor, prince of Transylvania  
[617](#), [618](#), [636](#).

Bethmann-Hollweg, Theobald von, German leader  
[1136](#), [1140](#), [1141](#), [1237](#), [1770](#), [1971](#), [1971](#), [1971](#).

Beth-Shean  
[103](#).

B  etislav I, the Restorer  
[484](#), [484](#), [486](#).

B  etislav of Bohemia

[486](#).  
Bevan, Aneurin, British leader  
[1857](#), [2764](#).  
Beveridge, William  
[1856](#).  
Beveridge Report  
[1856](#).  
Bevin, Ernest, British leader  
[1839](#), [2764](#), [2983](#).  
Bevin-Sforza Plan  
[3947](#).  
Beyazid II, Turkish sultan  
[532](#).  
Bezabde  
[273](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 11

- Béziers  
[477](#), [479](#).
- Bhadrabahu  
[129](#).
- Bhagavadgita, Song of the Lord  
[129](#).
- Bhaja  
[129](#).
- bhakti, devotionalism  
[335](#).
- Bhanugupta, ruler of India  
[324](#).
- Bharatchandra, Bengali poet  
[835](#).
- Bharatiya Janata Party, BJP  
[2644](#), [3979](#). *See* [Hindu Nationalist Party](#).
- Bharhut  
[129](#), [130](#), [132](#).
- Bhaskara, Indian mathematician  
[131](#).
- Bhatinda  
[325](#).
- Bhatnair  
[334](#).
- Bhavabhuti, dramatist  
[324](#).
- Bhimadeva I, ruler of India  
[331](#).
- Bhindrawale, Jarnail Singh, Indian leader  
[3977](#).

Bhoja, ruler of India  
[325](#).

Bhojpuri  
[3982](#).

Bhopal, India  
[2680](#), [3977](#).

BHP Company, Australia  
[2537](#).

Bhumaka, Saka satrap  
[132](#), [132](#).

Bhutto, Benazir, Pakistani leader  
[4010](#), [4010](#), [4011](#), [4011](#), [4012](#), [4012](#), [4012](#), [4012](#), [4014](#), [4014](#).

Bhutto, Zulfikar Ali, Pakistani leader  
[3972](#), [3997](#), [4001](#), [4002](#), [4003](#), [4003](#), [4004](#), [4005](#), [4006](#), [4006](#), [4006](#), [4006](#), [4006](#), [4007](#),  
[4007](#), [4008](#), [4008](#), [4010](#).

Biafra  
[875](#), [2636](#), [2667](#), [4320](#), [4320](#), [4368](#), [4368](#).

Bialik, Haim Nahman, poet  
[2391](#).

Bialystok  
[2593](#).

Bianchi, Michele, Italian Fascist leader  
[1945](#).

Bianjing  
[371](#).

Bianliang  
[371](#).

Biarritz  
[1101](#).

Bias Bay, Japanese landing at  
[2480](#).

Bibi Titi binti Mohamed, Tanganyikan leader  
[4409](#).

Bible  
[104](#), [104](#), [105](#), [127](#), [268](#), [403](#), [406](#), [446](#), [469](#), [513](#), [542](#), [580](#), [586](#), [587](#), [609](#), [609](#), [614](#),  
[615](#), [636](#), [690](#), [754](#), [761](#), [766](#), [800](#), [933](#), [1068](#), [1299](#), [1415](#), [1514](#), [1522](#); Latin  
translation, [401](#); King James version, [590](#); translated by Luther, [613](#).

Bichat, Marie-François, anatomist  
[1041](#).

Bicocca, battle of  
[607](#).

bicycles  
[989](#).

Bidar  
[333](#), [334](#), [334](#), [334](#).

Bidassoa River  
[604](#).

Bidault, Georges, French leader  
[2838](#), [2840](#), [2843](#), [2844](#).

Biddle, Francis, U.S. leader  
[2212](#).

Biddle, James, U.S. naval commander  
[1438](#).

Bielecki, Jan Krzysztof, Polish leader  
[3112](#).

Bierut, Boleslaw, Polish leader  
[3091](#), [3095](#), [3096](#).

Bigelow, Erastus B., inventor  
[985](#).

Bigge, John T., British official  
[1488](#).

Bight of Benin  
[359](#).

Bigi, Federico, Italian leader  
[2934](#).

Bignone, Reynaldo Benito Antonio, Argentine leader  
[3494](#).

Big Ten  
[1784](#).

Bihar  
[129](#), [324](#), [331](#), [578](#), [831](#), [835](#), [836](#), [3973](#), [3982](#).

Bihbahani, Vahid, religious scholar  
[817](#).

Bihishti, Muhammad Husayni, Iranian leader  
[3822](#).

Bihzad, Timurid painter  
[308](#), [812](#).

Bijapur  
[334](#), [830](#), [831](#), [831](#), [833](#), [833](#), [833](#), [834](#).

Bijaya  
[322](#).

Bijedich, Dzermal, Yugoslavian leader

[3173](#).  
Biketawa Declaration  
[4287](#).  
Bikini Atoll  
[3390](#), [4283](#), [4283](#).  
Biko, Steven, South African leader  
[2674](#), [4477](#), [4479](#).  
Bilad al-Sudan  
[880](#).  
Bilbao  
[1920](#), [1930](#), [1930](#).  
Bilbao, Francisco, Latin American leader  
[1662](#).  
Bildt, Carl, Swedish leader  
[3066](#), [3067](#).  
Bilhana of Kashmir, poet  
[336](#).  
Billinghurst, Guillermo, Peruvian leader  
[2258](#).  
Bill of Rights, England  
[678](#), [678](#), [679](#), [934](#).  
Bill of Rights, U.S.  
[1564](#).  
Biloxi  
[922](#).  
Biltmore Declaration  
[2394](#).  
Bimbia  
[1538](#).  
Bimbisara, king of Magadha  
[129](#).  
Binaisa, Godfrey, Ugandan leader  
[4429](#).  
Binche  
[653](#).  
Binchois, Gilles, musician  
[524](#).  
Bin Diyaf  
See [Ahmad ibn Abi Diyaf, historian](#).  
Bingyang, battle of  
[1420](#).

Bing Xuyen, Vietnam  
[4257](#).

bin Laden, Osama, terrorist  
[2697](#), [3437](#), [3785](#), [3786](#), [3835](#), [3836](#), [3837](#), [3895](#), [4391](#), [4406](#), [4410](#), [4418](#), [4427](#).

Bio, Julius Maada, Sierra Leonean leader  
[4382](#).

biochemistry  
[1043](#).

Bioko Islands  
[4338](#).

biology  
[1043](#), [1731](#), [1731](#), [1731](#), [1731](#), [1731](#), [1731](#), [1731](#), [1731](#), [2675](#); artificial insemination, [1735](#);  
cloning, [2693](#), [2800](#); test-tube baby, [2704](#); human genome, [2705](#).

Biqā  
[1335](#), [2379](#).

Birch, J. W. W., British resident in Malaya  
[1411](#).

Birdseye, Clarence, pioneer in food processing  
[1735](#).

Bir-el-Gobi  
[2614](#).

Bireux, Eugène, playwright  
[1903](#).

Birge, Pyrgion  
[306](#).

Birger, king of Sweden  
[463](#).

Birger, Jarl  
*See [Jarl Birger ~Magnusson, Swedish leader](#).*

Biringuccio, Vannocio, metallurgist  
[637](#), [643](#).

Birlik (Unity) Movement  
[3388](#), [3389](#).

Birmingham, England  
[686](#), [1159](#), [1162](#), [2797](#), [2812](#), [3408](#).

Birmingham Movement  
[3408](#).

Birmingham Political Union  
[1048](#).

Birney, James G., U.S. leader  
[1577](#).

Biro, George, inventor  
[1734](#).

Biro, Ladislao J., inventor  
[1734](#).

Biró, Zoltán, Hungarian leader  
[3157](#).

Birrell's Land Act, England  
[1170](#).

birth control  
[1142](#). *See* [sexuality and reproduction](#).

Biru  
*See* [Peru](#).

Bir Zelten, Libya  
[3947](#).

Bisa people  
[889](#), [1529](#).

Bisbee  
[2188](#).

Bishapur  
[272](#).

Khuri, Bishara al-, Lebanese leader  
[2383](#), [2383](#), [3845](#), [3845](#).

Bishop, Maurice, Grenadian leader  
[3762](#), [3764](#).

Bishop, W. A., British pilot  
[1766](#).

bishops of Rome  
[80](#), [80](#).

Bishops' Wars  
[591](#).

Bismarck, German ship  
[2606](#).

Bismarck, Otto von, Prussian leader  
[955](#), [962](#), [963](#), [964](#), [1100](#), [1100](#), [1101](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1103](#), [1104](#), [1105](#),  
[1105](#), [1106](#), [1106](#), [1107](#), [1108](#), [1109](#), [1110](#), [1110](#), [1111](#), [1112](#), [1114](#), [1114](#), [1114](#),  
[1114](#), [1116](#), [1116](#), [1185](#), [1188](#), [1188](#), [1229](#), [1230](#), [1231](#), [1232](#), [1232](#), [1232](#), [1233](#), [1234](#),  
[1234](#), [1234](#), [1234](#), [1235](#), [1235](#), [1235](#), [1235](#), [1235](#), [1235](#), [1235](#), [1235](#), [1235](#), [1268](#), [1316](#).

Bismarck Archipelago  
[27](#), [52](#), [1477](#), [1768](#), [2530](#).

Bissau  
[4351](#), [4351](#).



Bissell, Melville Reuben, inventor  
[985](#).

Bissing, Moritz von, German commander  
[1738](#).

Bit Adini, Til Barsip  
[106](#), [106](#).

Bit Argusi, Arpad  
[106](#), [106](#).

Bithynia  
[214](#), [237](#), [240](#), [240](#), [245](#), [253](#), [261](#), [309](#), [502](#), [508](#), [508](#), [508](#), [508](#), [565](#).

Bitlis  
[1331](#).

Bito dynasty  
[362](#), [883](#).

Bitola  
[1326](#).

Bitolje  
*See [Monastir \(Bitolje\)](#)*.

Biton Kulubali, Bambara leader  
[870](#).

Bittideva, ruler of India  
[337](#).

Bituminous Coal Commission, U.S.  
[2205](#), [2206](#).

Bituminous Coal Stabilization Act, U.S.  
[2206](#).

Biya, Paul, Cameroonian leader  
[4332](#), [4332](#), [4332](#).

Biyak-na-bato Pact  
[1481](#).

Bi Yuan, Chinese historian  
[854](#).

Bizerte  
[828](#), [1932](#), [2426](#), [2615](#), [3942](#).

Bizerte Issue  
[3943](#).

Bizimungu, Rwanda leader  
[4425](#).

Bizonia  
[2985](#).

Bjarnason, Clemens, of Iceland

[774](#).  
Björkö treaty  
[1129](#), [1129](#).  
Bjorn, king of Sweden  
[426](#).  
Björnson, Sveinn, Icelandic leader  
[2061](#).  
Black and Tans  
[1862](#).  
Black Berets, OMON  
[3346](#).  
Black Codes, U.S.  
[1592](#).  
Black Death  
*See* [bubonic plague](#); [disease](#).  
Black Flags, guerrillas in Tonkin  
[1474](#).  
Black Friars  
*See* [Dominicans](#).  
Black Friday, Great Britain  
[1841](#).  
Black Hand, Serbia  
[1140](#), [1140](#).  
Black Hawk, American Indian leader  
[1575](#).  
Blackheath, battle of  
[585](#).  
Black Hills, South Dakota  
[1597](#).  
Black Hole of Calcutta  
[835](#).  
Black Hundreds, punitive raids in Russia  
[1263](#).  
Black Legend  
[894](#), [914](#).  
Black Line, Tasmania  
[1488](#).  
Blackmun, Harry A., U.S. jurist  
[3419](#).  
Black Muslims  
[3411](#).

Black Pagoda, Konarak

[337](#).

Black Panthers, U.S.

[2644](#), [3413](#), [3417](#), [3418](#).

Black Prince

*See* [Edward the Black Prince, prince of Wales](#).

Blacks, German liberal society

[584](#), [1071](#).

Black Saturday Riots, Egypt

[3904](#).

Black Sea

[111](#), [112](#), [116](#), [119](#), [124](#), [176](#), [176](#), [198](#), [257](#), [309](#), [314](#), [315](#), [402](#), [430](#), [438](#), [441](#), [473](#),  
[473](#), [473](#), [473](#), [488](#), [538](#), [550](#), [557](#), [564](#), [568](#), [784](#), [787](#), [791](#), [805](#), [806](#), [811](#), [869](#), [962](#),  
[1045](#), [1100](#), [1114](#), [1114](#), [1139](#), [1258](#), [1259](#), [1260](#), [1272](#), [1334](#), [1334](#), [1339](#), [1343](#),  
[1748](#), [2067](#), [2321](#), [2593](#), [2597](#), [3382](#).

Black Shirts

[1704](#).

Blackstone, William, English jurist

[645](#).

Black War, Tasmania

[1488](#).

Blagoveshchensk

[1424](#).

Blaine, James G., U.S. leader

[1595](#), [1602](#), [1603](#).

Blair, Tony, British leader

[2758](#), [2800](#), [2800](#), [2802](#), [2803](#), [2815](#).

Blais, Marie-Claire, writer

[3448](#).

Blake, Robert, English commander

[648](#).

Blanc, Louis, French socialist

[1035](#), [1061](#), [1081](#), [1081](#), [1081](#).

Blanche of Castile, regent of France

[451](#).

Blanco, Hugo, Peruvian Indian leader

[3552](#).

Blanco Party, Uruguay

[1667](#), [2252](#), [2252](#).

Blancos

[3528](#).

Bland-Allison Act, U.S.  
[1599.](#)

Blanqui, Auguste, French leader  
[1188.](#)

Blantyre  
[1547, 1547, 1547, 1548.](#)

Blatch, Harriet Stanton, U.S. leader  
[2187.](#)

Blaxland, Gregory, English explorer  
[1488.](#)

Bled  
[1835.](#)

Bleeding Kansas  
[1583.](#)

Blekinge  
[552, 761.](#)

Blemmyes  
[99, 99.](#)

Blériot, Louis, aviation pioneer  
[991.](#)

Bligh, William, British commander  
[866, 1487, 1487.](#)

Bliss, Tasker Howard, U.S. general  
[1780.](#)

Blitz, Gerard, founder of Club Med  
[2702.](#)

Blitzkrieg, World War II  
[2582, 2587.](#)

Bloc Démocratique Sénégalais  
[4322.](#)

Bloch, Marc, historian  
[1815.](#)

Block, Adrian, Dutch explorer  
[932, 932.](#)

Bloc National, France  
[1901.](#)

Bloemfontein  
[2578, 2579.](#)

Bloemfontein Convention  
[1552.](#)

Blois

[599](#), [599](#).  
Blomberg, Werner von, German leader  
[1986](#).  
Blommaert, Samuel, Dutch colonizer  
[932](#).  
Blondel, François, architect  
[643](#).  
blood libel, against the Jews  
[1332](#), [1332](#).  
Blood River, battle of  
[1551](#).  
Bloody Mary  
*See* [Mary I \(the Catholic\), queen of England](#).  
Bloody Sunday, St. Petersburg  
[1263](#).  
Bloody Week, Paris  
[1188](#).  
Blücher, Gebhard Leberecht von, prince of Wahlstaff  
[1033](#), [1033](#).  
Blue Mosque, mosque of Ahmed I  
[800](#).  
Blue Nile  
[96](#), [879](#).  
Blue Shirts, China  
[2475](#).  
Blue Shirts, Egypt  
[2364](#).  
Blum, Léon, French leader  
[1901](#), [1902](#), [1912](#), [1913](#), [1913](#), [1914](#), [1914](#), [2423](#), [2840](#), [2841](#).  
Blum-Viollette Bill  
[2423](#).  
Bluteau, Rafael, Portuguese scholar  
[728](#).  
Blyden, Edward, Liberian leader  
[1515](#).  
Blyukher, Vasili, Galen  
[2468](#).  
BOAC  
[1736](#).  
Board of Admiralty, China  
[1420](#).

Board of Commerce and Money, Spain  
[719](#).

Board of Economic Warfare, U.S.  
[2214](#), [2608](#).

Board of Indian Commissioners, U.S.  
[1594](#).

Board of Trade, England  
[938](#).

Bobadilla, Francisco de, Spanish colonial administrator  
[572](#), [909](#).

Bobbio  
[425](#).

Bobrikov, Nicholas, Russian governor-general of Finland  
[1254](#), [1255](#), [1255](#).

Bocage, Manuel, Portuguese writer  
[727](#).

Boccaccio, Giovanni, writer  
[525](#), [534](#).

Bochchoris  
*See* [Bakenref, king of Egypt](#).

Bock, Jerome, botanist  
[637](#).

Bocskey, Stephen, prince of Transylvania  
[635](#).

Bodawpaya, king of Burma  
[1402](#).

Bodenstein, Andreas, German religion reformer  
[613](#).

Bodhidarma, Buddhist monk  
[158](#).

Bodin, king of Serbia  
[494](#).

Bodin, Jean, French philosopher  
[584](#), [599](#).

Bodmer, Johannes J., Swiss scholar  
[749](#).

Body of Liberties, Massachusetts Bay Colony  
[933](#).

Boeing Company  
[2704](#).

Boelcke, Oswald, German pilot

[1765](#).

Boeotia

[168](#), [171](#), [183](#), [187](#), [189](#), [192](#), [193](#), [196](#), [197](#), [197](#), [199](#), [202](#), [203](#), [210](#).

Boeotian League

[180](#), [182](#), [183](#), [192](#), [193](#), [200](#), [201](#).

Boers

[970](#), [973](#), [1162](#), [1237](#), [1549](#), [1551](#), [1551](#), [1551](#), [1551](#), [1551](#), [1552](#), [1552](#), [1552](#), [1554](#), [1555](#), [1558](#); and South African War, [1558](#).

Boer War

*See* [South African War](#).

Boethius, Anicius Manlius Severinus, philosopher

[268](#), [406](#), [422](#), [513](#).

Boettcher, Herbert, Lithuanian leader

[2091](#).

Boeyants, Vanden, Belgian leader

[2822](#).

Boff, Leonardo, priest

[2963](#).

Bogardus, James, construction engineer

[984](#).

Bo  aziçi University

[1335](#).

Bogdo Gegen, the Living Buddha

[2487](#), [2487](#).

Boghazköy

[113](#).

Bogoliubski, Andrei, prince of Suzdal

[489](#).

Bogomils

[441](#), [494](#), [496](#), [501](#), [562](#).

Bogotá

[913](#), [1650](#), [1650](#), [1650](#), [1650](#), [1672](#), [1672](#), [1674](#), [3466](#), [3473](#), [3575](#), [3585](#), [3588](#), [3593](#).

Bogotá plateau

[897](#), [897](#).

Bográn, Luis, Latin American leader

[1686](#).

Bohai

[378](#).

Bohemia

[279](#), [417](#), [434](#), [454](#), [455](#), [459](#), [459](#), [483](#), [483](#), [483](#), [486](#), [486](#), [486](#), [513](#), [530](#), [540](#), [540](#), [540](#), [541](#), [541](#), [541](#), [541](#), [541](#), [541](#), [541](#), [541](#), [541](#), [541](#), [542](#), [542](#), [542](#), [544](#), [544](#), [544](#), [544](#), [544](#), [544](#).

[544](#), [544](#), [544](#), [545](#), [555](#), [555](#), [555](#), [556](#), [560](#), [560](#), [560](#), [560](#), [561](#), [561](#), [613](#), [616](#), [616](#), [616](#), [617](#), [617](#), [617](#), [617](#), [617](#), [617](#), [617](#), [618](#), [620](#), [620](#), [620](#), [622](#), [624](#), [634](#), [634](#), [634](#), [634](#), [634](#), [634](#), [635](#), [660](#), [660](#), [662](#), [662](#), [758](#), [759](#), [1026](#), [1073](#), [1073](#), [1087](#), [1089](#), [1089](#), [1089](#), [1090](#), [1090](#), [1102](#), [1242](#), [1243](#), [1244](#), [2013](#), [2021](#), [2021](#), [2021](#); occupation by Germany, [1992](#).

Bohemia-Moravia

[3129](#).

Bohemian Brotherhood

[545](#), [634](#).

Bohemian Mark

[411](#).

Bohemund of Otranto, Crusader

[500](#), [501](#), [501](#), [505](#), [505](#), [505](#).

Böhme, Jakob, German mystic

[624](#).

Bohr, Niels, physicist

[1150](#).

Bohuslän

[761](#), [768](#).

Boii

[228](#), [233](#).

Bois-Reymond, Emil du, physiologist

[1043](#).

Bo Juyi, writer

[370](#).

Bokassa, Jean-Bedel, Central African Republic leader

[2867](#), [4333](#), [4333](#), [4333](#), [4333](#), [4333](#), [4333](#), [4334](#), [4335](#), [4335](#).

Bokhara

[1259](#).

Boland, Frederick H., UN leader

[2808](#).

Boleslav I, duke of Bohemia

[483](#), [483](#).

Boleslav I Chrobry, the Brave

[417](#), [456](#), [483](#), [486](#), [486](#).

Boleslav II, duke of Bohemia

[416](#), [483](#).

Boleslav II, the Bold

[486](#), [486](#).

Boleslav III, Wry-mouth

[486](#), [486](#).



Boleslav IV, king of Poland

[486](#).

Boleslav V, king of Poland

[487](#).

Boleyn, Anne, wife of Henry VIII

[585](#), [586](#), [586](#), [586](#), [586](#).

Bolger, Jim, New Zealand leader

[4317](#), [4317](#), [4317](#).

Bolívar, republic of

[1649](#).

Bolívar, Simón, Latin American leader

[1649](#), [1649](#), [1649](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1651](#), [1651](#),  
[1652](#), [1652](#), [1668](#), [1668](#), [1670](#), [1670](#), [1672](#), [1675](#).

Bolivia

[570](#), [1649](#), [1663](#), [1664](#), [1666](#), [1668](#), [1670](#), [1670](#), [1670](#), [1677](#), [1717](#), [1721](#), [1738](#), [2246](#),  
[2248](#), [2248](#), [2248](#), [2248](#), [2254](#), [2254](#), [2255](#), [2255](#), [2255](#), [2257](#), [2271](#), [3467](#), [3472](#),  
[3473](#), [3476](#), [3477](#), [3520](#), [3536](#), [3538](#), [3538](#), [3548](#), [3549](#), [3549](#), [3550](#), [3550](#), [3551](#),  
[3551](#), [3579](#), [3585](#), [3720](#); independence of, [1649](#); WWI, [1770](#), [2254](#); between Wars,  
[2254](#), [2254](#), [2255](#), [2255](#), [2255](#); tin industry, [2255](#); and U.S., [3536](#), [3538](#), [3538](#), [3538](#),  
[3540](#), [3541](#), [3543](#), [3547](#), [3547](#); Bolivian Revolution, [3538](#); and Russia, [3543](#); cocaine,  
[3545](#), [3547](#).

Bolivian Revolutionary Front

[3540](#).

Bologna

[443](#), [469](#), [614](#), [746](#), [746](#), [1014](#), [1092](#), [1941](#), [1945](#), [1960](#), [2933](#), [2944](#).

Bolo Pasha, German agent in France

[1901](#).

Bolsheviks, Russian extremists

[1262](#), [1703](#), [1703](#), [1752](#), [1756](#), [1756](#), [1772](#), [1774](#), [1784](#), [1787](#), [1788](#), [1817](#), [1817](#),  
[2053](#), [2053](#), [2064](#), [2064](#), [2064](#), [2064](#), [2064](#), [2065](#), [2065](#), [2065](#), [2066](#), [2066](#), [2066](#),  
[2067](#), [2067](#), [2067](#), [2067](#), [2067](#), [2067](#), [2067](#), [2067](#), [2067](#), [2084](#), [2085](#), [2085](#), [2086](#),  
[2087](#), [2096](#), [2097](#), [2098](#), [2102](#), [2103](#), [2114](#), [2115](#), [2160](#), [2335](#), [2463](#), [2490](#), [2593](#).

Boltzmann, Ludwig, physicist

[1148](#).

Bólyai, János, mathematician

[1039](#).

Bolzano

[2925](#), [3037](#).

Bombay

[129](#), [132](#), [327](#), [327](#), [328](#), [648](#), [834](#), [835](#), [836](#), [1351](#), [1367](#), [1394](#), [1396](#), [1396](#), [1397](#),  
[1399](#), [2437](#), [2444](#), [2447](#), [3951](#), [3985](#).

Bombay Association  
[1396](#).

Bombay Presidency Association  
[1398](#).

Bomber Command  
[2550](#).

Bombet, Emile, Ivory Coast leader  
[4354](#).

Bonald, Louis Gabriel Ambroise de  
[1035](#).

Bonaparte, Joseph, brother of Napoleon  
[726](#), [1024](#), [1027](#), [1028](#), [1643](#).

Bonaparte, Joseph Charles, prince  
[1211](#).

Bonaparte, Louis, brother of Napoleon  
[705](#), [1026](#).

Bonaparte, Louis-Napoleon, French leader  
[1082](#), [1083](#), [1084](#), [1085](#), [1086](#).

Bonaparte, Lucien, brother of Napoleon  
[1012](#).

Bonaparte, Napoleon  
*See* [Napoleon I](#).

Bonaparte, Pierre  
[1185](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 12

- Bonapartists, France  
[1083](#), [1189](#).
- Bond, Robert  
[1641](#), [1641](#).
- Bond, William Cranch, astronomer  
[1147](#).
- Bondelswarts Rebellion  
[2577](#).
- Bongo, Albert-Bernard (Omar), Gabon leader  
[4340](#), [4340](#), [4341](#), [4341](#), [4341](#), [4341](#), [4342](#).
- Bonhomme Richard, U.S. ship  
[950](#).
- Boniface, St., Winfrid  
[407](#).
- Boniface, count of Tuscany  
[454](#), [467](#), [534](#).
- Boniface VIII, pope  
[446](#), [446](#), [452](#), [452](#), [452](#), [452](#), [452](#), [452](#), [453](#), [453](#), [469](#), [470](#), [470](#), [470](#), [470](#), [470](#), [470](#), [470](#), [470](#), [470](#), [470](#).
- Boniface of Montferrat, Crusader and king of Salonika  
[505](#), [506](#), [508](#).
- Bonifacio, Andres, Philippine leader  
[1481](#), [1481](#), [1481](#).
- Bonifatius, Roman leader  
[266](#), [266](#), [404](#), [404](#).
- Bonilla, Manuel, Latin American leader  
[1686](#).
- Bonilla, Policarpo, Latin American leader  
[1686](#).
- Bonin Islands

[4237](#), [4237](#).

Bonn  
[2709](#), [2723](#), [2987](#), [2988](#), [2988](#), [2990](#), [2992](#), [3005](#), [3010](#), [3012](#), [3017](#), [3019](#), [3019](#).

Bonnely, Rafael, Dominican leader  
[3737](#).

Bonner, Edward, bishop of London  
[588](#).

Bonner, Elena, wife of Sakharov  
[3290](#).

Bonnet, Georges, French foreign minister  
[1835](#), [1835](#).

Bonneval, Claude Alexandre de  
[807](#).

Bonnici, Carmelo Mifsud, Maltese leader  
[2968](#).

Bonnivert, sieur de, Guillaume Gouffier, French general  
[614](#).

Bono, Emilio De, Italian Fascist leader  
[1945](#).

Bonomi, Ivanhoe, Italian leader  
[1944](#), [1945](#), [1961](#).

Bonsu, Mansa  
[1516](#).

Book of Common Prayer  
[587](#), [588](#), [594](#), [674](#), [695](#).

Book of History, ancient Chinese text  
[854](#).

Book of Kings, Persian  
[813](#).

Book of Lord Shang  
[149](#).

Book of the Dead  
[93](#).

Boole, George, mathematician  
[1147](#).

Boomplaats  
[1552](#).

Boone, Daniel, American pioneer  
[941](#).

Boot, H.A.H, radar researcher  
[1736](#).

Booth, John, missionary  
[1548](#).

Booth, John Wilkes, assassin of Lincoln  
[1590](#).

Bophuthatswana  
[4483](#).

Boqueirao de Pedra Furada  
[28](#).

Bor, Tadeo, Polish commander  
[2126](#).

Borandukht, daughter of Khusrau II and Persian ruler  
[275](#).

Boratini, master of the Polish mint  
[777](#).

Borchgrevink, Carsten, Norwegian explorer  
[996](#).

Borda, Juan Idiarte, Latin American leader  
[1667](#).

Bordaberry, Juan María, Uruguayan leader  
[3530](#), [3531](#), [3531](#).

Bordeaux  
[412](#), [513](#), [513](#), [515](#), [515](#), [521](#), [521](#), [584](#), [599](#), [1005](#), [1006](#), [1029](#), [1031](#), [1178](#), [1188](#),  
[1738](#), [1901](#).

Borden, Gail, producer of evaporated milk  
[987](#).

Borden, Robert L.  
[1639](#), [2222](#).

Borelli, Giovanni  
[640](#).

Borge, Tomás, Nicaraguan leader  
[3675](#).

Borges, Jorge Luis, writer  
[3465](#).

Borgesius, Hendrik Goeyman, Dutch leader  
[1176](#).

Borghese, Camillo  
*See* [Paul V, pope](#).

Borgia, Italian family  
[609](#).

Borgia, Cesare, duke of Romagna  
[609](#), [609](#).

Borgia, Rodrigo Lanzol y  
*See* [Alexander VI, pope](#).

Borgnis-Desbordes, French commander in Africa  
[1511](#).

Boricua People's Army, EPB  
[3732](#).

Boril, ruler of Bulgaria  
[496](#), [496](#).

Boris, crown prince of Bulgaria  
[1121](#).

Boris I, tsar of Bulgaria  
[440](#), [440](#), [440](#), [440](#), [440](#).

Boris II, tsar of Bulgaria  
[441](#).

Boris III, tsar of Bulgaria  
[1304](#), [1951](#), [2160](#), [2165](#), [2167](#), [2168](#), [2169](#), [2173](#).

Boris of Bulgaria  
[435](#).

Borja Cervillos, Rodrigo  
[3570](#).

Borneo  
[27](#), [339](#), [841](#), [1412](#), [1412](#), [1413](#), [1414](#), [1481](#), [2763](#), [3958](#), [4119](#), [4125](#).

Bornholm  
[761](#).

Bornhöved, battle of  
[460](#).

Borno  
[352](#), [354](#), [354](#), [871](#), [871](#), [871](#), [871](#), [1510](#), [1510](#).

Borno, Luis, Haitian leader  
[2316](#), [2316](#).

Borno Empire  
[871](#).

Borobudur  
[339](#).

Borodin, Mikhail Gruzenberg  
[2465](#), [2466](#), [2467](#), [2468](#).

Borodino, battle of  
[1029](#).

Boroughbridge, battle of  
[512](#).

Borromeo, Carlo, archbishop of Milan



[and Dardanelles](#)).

Bosque, Pío Romero, El Salvadorian leader  
[2280](#).

Boston  
[615](#), [926](#), [928](#), [933](#), [934](#), [934](#), [934](#), [934](#), [934](#), [941](#), [941](#), [942](#), [942](#), [946](#), [946](#), [946](#), [947](#), [948](#),  
[961](#), [1575](#), [1575](#), [1594](#); siege of, [947](#).

Boston Massacre  
[943](#).

Boston Port Act, England  
[944](#).

Boston steelyard, England  
[548](#), [548](#).

Boston Tea Party  
[943](#).

Bostra  
[429](#).

Boström, Erik Gustaf, Swedish leader  
[1248](#).

Bosworth Field, battle of  
[516](#).

botany  
[641](#), [1152](#), [1153](#), [1153](#).

Botany Bay  
[689](#), [866](#), [1487](#).

Botev, Christo, Bulgarian leader  
[1299](#).

Botha, Louis, South African leader  
[1558](#), [1558](#), [1560](#), [1768](#), [2574](#), [2576](#).

Botha, P. W., South African leader  
[2694](#), [4470](#), [4487](#).

Bothwell, earl of, James Hepburn  
[588](#).

Botswana  
[365](#), [365](#), [890](#), [1546](#), [2697](#), [4325](#), [4326](#), [4344](#), [4438](#), [4453](#), [4456](#), [4457](#), [4458](#), [4458](#),  
[4458](#), [4458](#), [4458](#), [4474](#); independence, [4458](#).

Botswana Democratic Party, BDP  
[4458](#).

Botswana National Front, BNF  
[4458](#).

Botticelli, Sandro, artist  
[532](#), [536](#).



Bouabid, Maati, Moroccan leader  
[3922](#).

Bouazza, Tayyib, labor leader  
[3919](#).

Bouchain  
[653](#), [659](#).

Bouchard, Lucien, Quebec leader  
[3462](#), [3463](#).

Boucicaut, Jean, French marshal  
[568](#).

Bou Denib, battle of  
[1378](#).

Boudiaf, Muhammad, Algerian leader  
[3925](#), [3936](#), [3936](#).

Boudicca, queen of the Iceni  
[249](#).

Bougainville, Louis Antoine de, French explorer  
[865](#).

Bougainville Island  
[1477](#), [2629](#), [4285](#).

Bougainville Republican Army  
[4285](#).

Bougie  
[601](#), [826](#).

Boulanger, Georges, French leader  
[1194](#), [1194](#), [1194](#).

Boulangists, France  
[1194](#).

Boulogne  
[450](#), [1023](#), [2585](#); conferences, [1708](#), [1818](#).

Boumedienne, Houari, Algerian leader  
[3930](#), [3932](#).

Boun Oum, prince, Laotian leader  
[4095](#), [4095](#), [4096](#), [4096](#).

Bounty, HMS  
[866](#).

Bouquel, French writer  
[716](#).

Bouquier Law, France  
[1006](#).

Bourassa, Robert, Quebec leader

[3457](#).  
Bourbaki, Nicolas, mathematician  
[1730](#).  
Bourbon, cardinal of  
See [Charles X, king of France](#).  
Bourbon, constable de, Spanish commander  
[602](#), [607](#), [614](#).  
Bourbon, duke of  
[723](#).  
Bourbon, royal house  
[523](#), [598](#), [599](#), [622](#), [659](#), [659](#), [659](#), [719](#), [720](#), [724](#), [735](#), [736](#), [737](#), [737](#), [740](#), [909](#), [909](#),  
[911](#), [912](#), [913](#), [1024](#), [1033](#), [1059](#), [1081](#), [1189](#), [1189](#), [2887](#); Spanish branch, [659](#);  
reforms, [1643](#), [1643](#).  
Bourbon Restoration  
[1033](#).  
Bourgeois, Léon, French leader  
[1784](#).  
bourgeoisie  
[1034](#); in Belgium, [1053](#); in France, [1061](#); in Central Europe, [1071](#); in Germany, [1071](#).  
Bourges  
[449](#), [466](#), [522](#).  
Bourgès-Maunoury, Maurice, French leader  
[2849](#).  
Bourguiba, Habib, Tunisian leader  
[2426](#), [2426](#), [3940](#), [3941](#), [3943](#), [3946](#).  
Bourke, Richard  
[1489](#).  
Bouteflika, Abdelaziz, Algerian leader  
[3939](#), [3939](#).  
Bouterse, Deysey, Surinamese leader  
[3631](#), [3632](#), [3634](#).  
Boutros-Ghali, Boutros, UN leader  
[2688](#), [2691](#), [2693](#), [3915](#), [4400](#).  
Bouvet, Pierre, French explorer  
[993](#).  
Bouvet Island  
[2044](#), [2045](#).  
Bouvines, battle of  
[445](#), [450](#), [457](#).  
Bovaradet, Siamese Prince  
[2451](#).

Boves, José Tomás, Latin American leader

[1650](#), [1650](#).

Bowdoin, James, governor of Massachusetts

[952](#).

Bowell, Mackenzie

[1636](#), [1637](#).

Boxer Protocol

[1424](#).

Boxers United in Righteousness, Chinese conservatives

[1424](#).

Boxer Uprising, China

[955](#), [971](#), [1262](#), [1424](#), [1424](#), [1424](#), [1435](#), [1460](#), [1610](#), [2462](#), [2466](#), [2466](#), [2478](#).

Boyacá River, battle of

[1650](#).

boyars, Russian noble families

[489](#), [629](#), [629](#), [629](#), [630](#), [630](#), [630](#), [785](#).

Boyd, Augusto S., Panamanian leader

[2277](#).

Boyd, Lord, governor of Scotland

[518](#).

Boyer, Jean Pierre, Haitian leader

[1695](#), [1696](#), [1696](#), [1696](#).

Boyle, Robert, British scientist

[639](#), [640](#), [640](#), [641](#).

Boyle's law

[640](#).

Boyne, battle of the

[697](#).

Boyoya, Pierre, Burundian leader

[4413](#), [4413](#).

Brabant

[524](#), [595](#), [617](#).

Bracko

[3189](#).

Braddock, Edward, British commander

[940](#).

Bradford, William, governor of Plymouth Colony

[926](#).

Bradlaugh, Charles, English reformer

[1162](#).

Bradman, Don, cricket player

[2546](#).  
Bradshaw, John, English jurist  
[594](#).  
Brady, Matthew, Tasmanian leader  
[1488](#).  
Brady Bill, U.S.  
[3430](#).  
Brady Bonds  
[3573](#).  
Braga, Theophilo, Portuguese leader  
[1208](#).  
Braganza, Constantine de, Portuguese commander  
[831](#).  
Brahe, Per, governor-general of Finland  
[766](#).  
Brahe, Tycho, Danish astronomer  
[638](#), [638](#), [639](#).  
Brahmagupta, Indian scientist  
[131](#).  
Brahmanism  
[66](#), [68](#), [68](#), [73](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [131](#), [132](#), [133](#), [133](#), [135](#), [327](#), [329](#), [330](#),  
[334](#), [335](#), [335](#), [337](#), [847](#), [2432](#).  
Brahmans  
[1394](#).  
Brahmo Samaj, Hindu reform movement  
[1394](#), [1396](#), [1397](#).  
Braila  
[1299](#), [1808](#).  
Braille system  
[637](#).  
Braintree, Massachusetts  
[2197](#).  
Bramante, architect  
[537](#).  
Branas, Alexius, Byzantine general  
[503](#).  
Brandenberger, J. E., developer of cellophane  
[984](#).  
Brandenburg  
[416](#), [456](#), [459](#), [460](#), [541](#), [541](#), [541](#), [544](#), [544](#), [548](#), [550](#), [555](#), [616](#), [620](#), [622](#), [624](#), [652](#),  
[713](#), [754](#), [754](#), [754](#), [754](#), [780](#), [875](#), [1097](#), [1984](#); castle, [460](#).

Brandenburg Estates

[754](#).

Brandt, Willy, German leader

[2668](#), [2731](#), [2731](#), [2731](#), [2982](#), [3000](#), [3002](#), [3005](#), [3005](#), [3006](#), [3006](#), [3006](#), [3006](#), [3008](#), [3019](#).

Brandywine, battle of

[948](#).

Branibor

[416](#).

Branicova

[502](#).

Branković, George, ruler of Serbia

[563](#), [563](#).

Branković, Vuk

[563](#).

Branly, Édouard, inventor

[990](#).

Brant, Joseph, American Indian leader

[1623](#).

Brant, Sebastian, German satirist

[616](#).

Branting, Hjalmar, Swedish leader

[2048](#).

Braque, Georges, artist

[1146](#).

Braschi, Gianangelo

See [Pius VI, pope](#).

Brasidas, Spartan general

[196](#), [196](#), [196](#).

Brasília

[3479](#), [3611](#), [3627](#), [3628](#), [3629](#).

Bratianu, Dmitri, Romanian leader

[1311](#).

Bratianu, Ion, Romanian leader

[1311](#), [1312](#), [1742](#), [1742](#), [1742](#), [1742](#), [1777](#), [2174](#), [2178](#).

Bratislava

[634](#), [3129](#), [3137](#).

Brattelli, Trygve M.

[3057](#), [3057](#), [3058](#), [3059](#).

Brauchitsch, Heinrich von, Nazi commander

[1991](#).

Braun, Ferdinand, inventor  
[1736](#).

Braun, Otto, German leader  
[1980](#).

Braunau, abbot of  
[617](#).

Brazauskas, Algirdas, Lithuanian leader  
[3355](#), [3356](#), [3356](#), [3357](#).

Brazil

[28](#), [281](#), [570](#), [573](#), [573](#), [573](#), [573](#), [574](#), [575](#), [575](#), [579](#), [605](#), [605](#), [605](#), [703](#), [727](#), [727](#), [732](#), [886](#), [894](#), [906](#), [906](#), [914](#), [914](#), [914](#), [915](#), [915](#), [915](#), [916](#), [916](#), [916](#), [917](#), [917](#), [918](#), [918](#), [918](#), [918](#), [918](#), [918](#), [918](#), [953](#), [961](#), [1026](#), [1064](#), [1064](#), [1064](#), [1064](#), [1335](#), [1506](#), [1539](#), [1647](#), [1647](#), [1656](#), [1656](#), [1657](#), [1657](#), [1658](#), [1658](#), [1658](#), [1660](#), [1660](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1666](#), [1667](#), [1667](#), [1667](#), [1669](#), [1677](#), [1738](#), [1825](#), [2238](#), [2241](#), [2270](#), [2270](#), [2271](#), [2602](#), [2640](#), [2641](#), [2642](#), [2665](#), [2963](#), [3465](#), [3467](#), [3475](#), [3475](#), [3475](#), [3477](#), [3478](#), [3479](#), [3487](#), [3520](#), [3523](#), [3527](#), [3549](#), [3551](#), [3552](#), [3607](#), [3611](#), [3612](#), [3613](#), [3616](#), [3617](#), [3618](#), [3619](#), [3625](#), [3626](#), [3626](#), [3627](#), [3628](#), [3628](#), [3628](#), [3629](#), [3739](#); and Africa, [886](#), [887](#), [888](#); empire of, [1647](#); independence of, [1656](#); first republic, [1677](#); WWI, [1677](#), [1770](#), [2270](#), [2270](#), [2270](#); textile industry, [2270](#); between Wars, [2270](#), [2270](#), [2271](#), [2272](#), [2273](#), [2273](#); Great Depression, [2271](#); Revolution of 1930, [2271](#); coffee industry, [2272](#); Estado Nôvo, [2273](#); WWII, [2273](#), [2273](#), [2273](#); post-WWII, [2273](#); and U.S., [3607](#), [3612](#), [3613](#), [3616](#); and Russia, [3609](#); student unrest, [3615](#), [3618](#); economic miracle, [3616](#); Plan Cruzado, [3621](#); Plan Cruzado II, [3621](#); and Asia, [3628](#).

Brazilian Democratic Movement, MDB  
[3617](#).

Braz Pereira Gomes, Wenceslau, Brazilian leader  
[2270](#).

Brazza, Pierre Savorgnan de, colonial administrator  
[1509](#), [1509](#), [1540](#).

Brazzaville  
[1540](#), [2554](#), [2569](#), [4320](#), [4434](#), [4447](#), [4447](#), [4447](#), [4447](#), [4448](#), [4452](#); Accords, [4321](#), [4321](#).

Brazzaville Conference  
[2560](#).

Brda region  
[1296](#).

Breakspear, Nicholas  
*See* [Adrian IV, pope](#).

Brecht, Bertolt, playwright  
[1974](#).

Breckinridge, John C., U.S. leader  
[1584](#).

Breda, treaties of  
[648](#), [675](#), [711](#).

Breguet, Louis, inventor  
[1736](#).

Breisach  
[622](#), [624](#), [656](#), [713](#).

Breisgau, France  
[540](#), [546](#), [653](#).

Breit, G., radar researcher  
[1736](#).

Breitenfeld, battle of  
*See* [Leipzig](#).

Bremen  
[410](#), [456](#), [460](#), [548](#), [685](#), [1781](#); archbishopric of, [624](#).

Bremer, Fredrika, writer  
[1076](#).

Brenner Pass  
[537](#), [1956](#), [2011](#), [2590](#).

Brennus, Gallic chieftain  
[226](#).

Brent, Margaret, Maryland colonist  
[937](#).

Brentano, Heinrich von, German leader  
[2992](#), [2998](#).

Brentford  
[592](#).

Brescia  
[537](#), [537](#), [538](#), [597](#), [607](#).

Breslau  
[486](#), [548](#), [777](#).

Breslau and Berlin, Treaties of  
[660](#), [661](#), [666](#), [755](#).

Brest  
[513](#), [521](#).

Brest-Litovsk  
[1794](#), [2582](#), [2593](#); treaty of, [1752](#), [1774](#), [1774](#), [1782](#), [2066](#), [2085](#), [2096](#), [2102](#); peace conference, [1772](#), [1774](#), [1774](#).

Brethren of the Common Life  
[595](#).

Bretigny, peace of

[513](#), [521](#).

Br  tislav I, prince of Bohemia

[454](#).

Breton, André, artist

[1905](#).

Bretton Woods Conference

[1700](#), [2633](#), [2640](#).

Bretton Woods System

[2640](#), [2640](#), [2640](#), [2640](#), [2667](#), [2668](#), [2676](#), [3390](#).

Breughel, Pieter, Dutch artist

[596](#).

Brezhnev, Leonid I., Russian leader

[2669](#), [2676](#), [3239](#), [3250](#), [3254](#), [3274](#), [3278](#), [3286](#), [3288](#), [3289](#), [3291](#).

Briand, Aristide, French leader

[1197](#), [1198](#), [1714](#), [1717](#), [1755](#), [1771](#), [1824](#), [1828](#), [1901](#), [1901](#), [1909](#).

Brian of Munster, Irish leader

[425](#).

Bridge of Dessau, battle of

[618](#).

bridges

[983](#), [983](#).

Briga, Italy

[2926](#).

Brigantes

[253](#).

Brihaspati

[131](#).

Brihuega

[659](#), [1930](#).

Brill

[548](#).

Brisbane, Australia

[1488](#), [1488](#), [1493](#), [1639](#), [2544](#).

Brisbane, Thomas

[1488](#), [1488](#).

Brissac, count of, Charles de Cossé, French marshal

[599](#).

Brissot, Jacques, French leader

[1003](#).

Bristol



[548](#), [924](#), [1159](#).  
Bristol Fighter, British plane  
[1767](#).  
Britain  
[37](#), [46](#), [46](#), [108](#), [110](#), [240](#), [248](#), [248](#), [248](#), [248](#), [249](#), [251](#), [253](#), [253](#), [255](#), [255](#), [261](#), [261](#),  
[261](#), [262](#), [265](#), [403](#), [408](#), [410](#), [421](#), [421](#), [421](#), [421](#), [421](#), [421](#), [422](#), [425](#), [488](#), [660](#), [723](#),  
[1728](#); island, [18](#), [18](#); WWII, [1838](#).  
Britannia  
[245](#).  
Britannicus, son of Claudius  
[248](#), [248](#).  
British-Afghan Wars  
[1354](#), [1355](#).  
British and Foreign School Society, Dissenters  
[1048](#).  
British Anti-Slavery Squadron  
[1513](#).  
British Association for the Advancement of Science  
[1039](#).  
British Board of Film Censors  
[1840](#).  
British Borneo  
[4106](#), [4130](#).  
British Broadcasting Corporation, BBC  
[1841](#), [1850](#).  
British Caribbean Territories  
[3756](#).  
British Central Africa  
[1548](#).  
British Central Africa Protectorate  
[1547](#).  
British Coal Company  
[2797](#).  
British Columbia  
[28](#), [1630](#), [1630](#), [1640](#), [2234](#), [3450](#).  
British Commonwealth of Nations  
[1699](#), [1713](#), [1817](#), [1818](#), [1839](#), [1841](#), [1844](#), [1847](#), [1863](#), [2217](#), [2530](#), [2538](#), [2633](#),  
[2683](#), [2723](#), [2761](#), [2763](#), [2764](#), [2781](#), [2968](#), [3757](#), [3757](#), [3759](#), [3759](#), [3760](#), [3761](#),  
[3953](#), [3956](#), [3958](#), [3991](#), [4026](#), [4049](#), [4104](#), [4116](#), [4284](#), [4285](#), [4343](#), [4344](#), [4371](#),  
[4477](#); cost of WWII, [2700](#).  
British Cotton Growing Association

[2558](#).  
British East Africa  
[1533](#), [2565](#).  
British East Africa Company  
[1531](#), [1532](#), [1536](#).  
British East India Company  
[841](#), [842](#); in the Philippines, [868](#).  
British East Indies  
[1565](#).  
British Electrical Authority  
[2761](#).  
British Empire  
[959](#), [960](#), [1622](#).  
British Grand Fleet  
[1741](#), [1795](#), [1795](#), [1809](#).  
British Guiana  
[2587](#), [2599](#), [3756](#), [3756](#), [3756](#), [3758](#), [3759](#). *See* [Guyana](#).  
British Honduras  
[2678](#), [3758](#), [3763](#). *See* [Belize](#).  
British Indian Association  
[1396](#).  
British Isles  
[279](#), [412](#), [421](#), [426](#), [426](#), [1839](#), [2619](#).  
British Kaffraria  
[1552](#).  
British Malaya  
*See* [Malaya](#).  
British Ministry of Labour Committee  
[1852](#).  
British Museum, London  
[2589](#).  
British Nationality Act  
[2761](#).  
British Navigation Acts  
[1629](#).



## Subject Index

### Page 13

British North America

[1622](#).

British North America Act

[953](#), [1622](#), [1630](#), [2228](#), [2232](#), [3444](#).

British Petroleum, BP

[1700](#), [2640](#), [2640](#), [3893](#).

British Possessions Act, England

[1628](#).

British Post Office

[2704](#).

British Presbyterian Mission

[1515](#).

British Society of Friends

[1701](#).

British Somaliland

[4390](#); WWII, [2611](#); independence, [4399](#).

British South Africa Company, BSAC

[1547](#), [1548](#), [1548](#), [1556](#).

British Transport Commission

[2760](#).

British Union of Fascists

[1847](#).

British Virgin Islands

[3765](#).

British War

*See* [Opium War](#).

British West Africa

[2559](#).

British West Africa Settlements

[1513](#).

Britons

[421](#).

Brittany

[413](#), [444](#), [445](#), [520](#), [520](#), [521](#), [521](#), [571](#), [598](#), [717](#), [2868](#).

Brittany, duke of

[597](#).

Broach, Barygaza

[133](#), [325](#).

Broadbent, Ed, Canadian leader

[3457](#).

Broadcasting Act of 1968, Canada

[3453](#).

Broad Front, Argentina

[3502](#).

Brock, Isaac, British commander

[1623](#).

Brockdorff-Rantzau, Ulrich von

[1784](#), [1973](#).

Brogie, duke of, Jacques Victor Albert, French leader

[1191](#).

Broglie, Louis-Victor de, physicist

[1729](#).

Brömsebro

[623](#).

Brongniart, Alexandre, mineralogist

[1042](#).

Bronze Age

[14](#), [46](#), [51](#), [84](#), [103](#), [111](#), [160](#), [160](#), [167](#), [169](#), [170](#), [172](#), [173](#).

Brook, Basil

[1880](#).

Brooke, Charles Anthony Johnson, rajah of Sarawak

[1412](#).

Brooke, Charles Vyner

[1412](#).

Brooke, James

[1412](#).

Brook Farm, utopian community

[1563](#).

Brooklyn

[3413](#).

Brooklyn Bridge

[983](#).  
Broom, Robert, paleontologist  
[19](#).  
Brosio, Manlio, NATO leader  
[2725](#).  
Broughton, William, British explorer  
[1437](#).  
Brousse, Paul, French socialist  
[1191](#), [1193](#).  
Brown, Arthur Whitten, aviation pioneer  
[991](#).  
Brown, Charles Brockden, writer  
[1566](#).  
Brown, John, U.S. abolitionist  
[1583](#), [1584](#).  
Brown, Joseph R., designer of universal milling machine  
[985](#).  
Brown, Louise, test-tube baby  
[2704](#).  
Brown, Moses, industrialist  
[1565](#).  
Browne, Thomas  
[594](#).  
Brownists, nucleus of Congregationalists  
[588](#).  
Brown v. Board of Education of Topeka, U.S. Supreme Court decision  
[3398](#).  
Bru, Federico Laredo, Cuban leader  
[2305](#).  
Bruce, Edward, in Ireland  
[519](#).  
Bruce, James, Scottish explorer in Africa  
[880](#).  
Bruce, Robert, claimant to Scottish throne  
[447](#). See [Robert I \(the Bruce\), king of Scotland](#).  
Bruce, Stanley, Australian leader  
[2542](#).  
Brue, André, director of Senegal Company  
[875](#), [875](#).  
Bruges  
[453](#), [548](#), [548](#).

Bruges, battle of  
[1789](#), [1813](#).

Brugg  
[540](#).

Brühl, Heinrich von  
[662](#).

Brule, Etienne, French explorer  
[921](#).

Brum, Baltasar, Uruguayan leader  
[2252](#).

Brundisium  
[237](#).

Brundtland, Gro Harlem, Norwegian leader  
[3060](#), [3060](#), [3061](#).

Brune, Guillaume, French officer  
[750](#).

Brunei  
[1412](#), [1412](#), [1413](#), [1413](#), [4047](#), [4047](#), [4106](#), [4118](#), [4118](#), [4118](#), [4118](#), [4118](#).

Brunei Investment Agency, BIA  
[4118](#).

Brunel, Marc Isambard, engineer and inventor  
[983](#).

Brunelleschi, Filippo, architect  
[536](#), [643](#).

Bruni, Antoine Raymond Joseph de, chevalier D'entrecasteaux  
[866](#).

Brüning, Heinrich, German leader  
[1984](#), [1984](#).

Brünn, treaty of  
[541](#).

Bruno, St., Carthusian leader  
[466](#).

Bruno of Cologne  
*See* [Gregory V, pope](#).

Bruno of Toul  
*See* [Leo IX, pope](#).

Brunschwig, Cécile, French reformer  
[1198](#).

Brunschwig, Hieronymus, artist  
[637](#).

Brunsfels, Otto, botanist

[637](#).  
Brunswick  
[459](#), [618](#), [662](#), [753](#), [1024](#), [1071](#).  
Brunswick, duke of, Friedrich Wilhelm, officer in Napoleonic Wars  
[1026](#).  
Brunswijk, Ronnie, Surinamese leader  
[3632](#).  
Brush, Charles F., developer of public lighting system  
[990](#).  
Brusilov, Aleksei A., Russian commander  
[1756](#), [1756](#), [1756](#), [1760](#), [1776](#), [1792](#), [1802](#).  
Brussels  
[595](#), [595](#), [615](#), [658](#), [959](#), [1738](#), [1789](#), [1789](#), [1890](#), [2479](#), [2585](#), [2619](#), [2711](#), [2726](#),  
[2731](#), [2733](#), [2751](#), [2752](#), [2754](#), [2774](#), [2818](#), [2823](#), [2824](#), [2924](#), [2959](#), [3118](#); congress  
on Africa, [1539](#); Exposition of 1958, [1700](#); conference, [1726](#), [2517](#); liberated in  
WWII, [1893](#); treaty, [2707](#), [2709](#), [2714](#).  
Brussels Act, Belgium  
[1333](#), [1541](#).  
Bruton, John, Irish leader  
[2814](#).  
Bruttium  
[220](#), [222](#), [227](#), [227](#), [232](#).  
Brutus, Dennis, poet  
[4320](#).  
Brutus, Lucius Junius, Roman consul  
[225](#), [225](#).  
Brutus, Marcus Junius, Roman leader  
[241](#), [241](#).  
Bryan, William Jennings, U.S. leader  
[1609](#), [1610](#), [1616](#), [1741](#), [2196](#).  
Bryan-Chamorro canal treaty, U.S.-Nicaragua  
[2283](#), [2283](#).  
Bryansk  
[2593](#), [2596](#).  
Brythons  
[421](#), [424](#), [425](#).  
Buayan  
[867](#), [867](#), [1480](#).  
Bubastis  
[89](#), [94](#).  
Bubble Act, England



685.  
bubonic plague  
511, 513, 521, 534, 541, 544, 546, 557, 583, 601, 1159, 1328, 1385; in Switzerland,  
748.  
Bucaram, Assad, Ecuadorian leader  
3568.  
Bucaram Ortiz, Abdala, Ecuadorian leader  
3572, 3572, 3572.  
Buch, Leopold von, scientist  
1041.  
Buchan, John, writer  
1839.  
Buchanan, Isaac and Peter, Canadian merchants  
1625.  
Buchanan, James, U.S. president  
1583, 1583.  
Bucharest  
1299, 1299, 1314, 1316, 1317, 1742, 1760, 1806, 1807, 2184, 2186, 2643, 2727,  
3250, 3250, 3250, 3254, 3256, 3256, 3258; treaty, 811, 1024, 1113, 1139, 1256, 1258,  
1309, 1311, 1777, 1777, 1782, 2174.  
Bucheze, Philippe, French socialist  
1061.  
Buchlau conference  
1132.  
Buchner, Eduard, chemist  
1153.  
Büchner, Ludwig, philosopher  
1143.  
Buckingham, duke of, George Villiers, English leader  
590, 590, 590, 590, 591, 591, 675.  
Buckingham, 2nd duke of, Henry Stafford  
516.  
Buckinghamshire  
589, 591.  
Buckle, Henry T., historian  
1143.  
Buda  
560, 614, 635, 757, 793, 793, 794, 794, 1087.  
Buda, University of  
561.  
Budapest



1594.  
Buffalo, New York  
1623, 1630.  
Bufi, Ylli, Albanian leader  
3204.  
Buganda  
362, 883, 883, 883, 883, 884, 884, 884, 884, 1506, 1535, 1535, 1535, 1535, 1535,  
1536, 1536, 1536, 1536, 1536, 1536, 1536, 1536, 1537, 4408, 4428, 4428; return of kabaka  
(king), 4408; abolition of monarchy, 4429. *See* Uganda.  
Bugia  
479.  
Buginese  
837, 837, 837, 838.  
Bug River  
804, 808.  
Buhari, Muhammad, Nigerian leader  
4369, 4369.  
Bu Hassun, Wattasid claimant to the Moroccan throne  
823.  
Buhen  
98.  
Buhl, Vilhelm, Danish leader  
3041.  
Buhlul Lodi, ruler of India  
334.  
Buhurizade Mustafa Itri, Ottoman composer  
806.  
Bujumbura  
4413.  
Bukhara  
290, 817.  
Bukharin, Nicolai, Russian leader  
2072, 2078.  
Bukovina  
808, 1740, 1742, 1760, 1792, 1794, 2185, 2635.  
Bulaq  
1367.  
Bulatovic, Momir, Montonegrin leader  
3178.  
Bulawayo  
1547, 1548, 1551, 1552, 1557.

Bulganin, Nikolay A., Russian leader

[2654](#), [3015](#), [3262](#), [3264](#), [3267](#), [3269](#), [3269](#), [3269](#), [3269](#), [3272](#), [3401](#), [3960](#).

Bulgaria

[270](#), [310](#), [310](#), [310](#), [313](#), [412](#), [431](#), [435](#), [435](#), [436](#), [437](#), [437](#), [438](#), [438](#), [440](#), [469](#), [482](#), [483](#), [488](#), [490](#), [494](#), [495](#), [496](#), [499](#), [499](#), [501](#), [503](#), [503](#), [503](#), [508](#), [508](#), [508](#), [509](#), [509](#), [509](#), [510](#), [510](#), [510](#), [562](#), [563](#), [563](#), [808](#), [810](#), [811](#), [955](#), [962](#), [1106](#), [1106](#), [1106](#), [1108](#), [1108](#), [1108](#), [1110](#), [1112](#), [1112](#), [1112](#), [1113](#), [1113](#), [1113](#), [1114](#), [1114](#), [1121](#), [1122](#), [1127](#), [1133](#), [1136](#), [1136](#), [1136](#), [1138](#), [1138](#), [1243](#), [1260](#), [1280](#), [1281](#), [1287](#), [1298](#), [1298](#), [1299](#), [1299](#), [1299](#), [1299](#), [1300](#), [1301](#), [1301](#), [1301](#), [1301](#), [1303](#), [1304](#), [1304](#), [1304](#), [1306](#), [1309](#), [1321](#), [1321](#), [1322](#), [1322](#), [1323](#), [1325](#), [1340](#), [1341](#), [1343](#), [1343](#), [1344](#), [1346](#), [1347](#), [1348](#), [1699](#), [1703](#), [1738](#), [1738](#), [1738](#), [1738](#), [1738](#), [1738](#), [1738](#), [1738](#), [1831](#), [1834](#), [1951](#), [2160](#), [2160](#), [2161](#), [2161](#), [2163](#), [2166](#), [2169](#), [2185](#), [2637](#), [2685](#), [2706](#), [2716](#), [2750](#), [2754](#), [2755](#), [2756](#), [2961](#), [3037](#), [3118](#), [3139](#), [3166](#), [3167](#), [3208](#), [3234](#), [3241](#), [3244](#), [3250](#), [3259](#), [3263](#), [3265](#), [3273](#), [3350](#), [3357](#), [3799](#); first empire, [439](#), [496](#); second empire, [496](#); and Balkan Wars, [1136](#), [1137](#), [1137](#), [1137](#), [1137](#), [1137](#), [1138](#), [1138](#), [1138](#), [1139](#), [1139](#), [1308](#), [1309](#), [1309](#), [1318](#); war with Serbia, [1289](#); and Serbia, [1293](#), [1293](#), [1308](#), [1308](#), [1309](#); and Ottoman Empire, [1299](#), [1299](#), [1299](#), [1304](#), [1307](#), [1309](#), [1347](#); insurrections, [1299](#); and Russia, [1304](#), [1304](#), [1307](#); and Greece, [1308](#), [2149](#), [2164](#), [2170](#); WWI, [1310](#), [1310](#), [1742](#), [1742](#), [1742](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1744](#), [1744](#), [1750](#), [1758](#), [1758](#), [1760](#), [1777](#), [1781](#), [1786](#), [1797](#), [1797](#), [1806](#), [1806](#), [1806](#), [2160](#); and Romania, [1318](#), [1318](#), [1322](#); and Macedonia, [1321](#), [1321](#), [1322](#), [1323](#), [1324](#); Great Depression, [2165](#); and Italy, [2165](#); WWII, [2171](#), [2171](#), [2172](#), [2172](#), [2172](#), [2172](#), [2172](#), [2173](#), [2590](#), [2591](#), [2591](#), [2597](#); and U.S., [2187](#); WWII settlement, [2634](#), [2635](#), [2635](#); Communist, [3234](#), [3235](#), [3235](#), [3236](#), [3237](#), [3238](#), [3238](#), [3238](#), [3239](#), [3239](#), [3239](#), [3239](#); People's Republic, [3234](#); Peace Treaty, [3235](#); Turkish minority, [3239](#), [3239](#), [3239](#), [3241](#); liberalization, [3239](#), [3241](#), [3241](#), [3241](#), [3244](#), [3244](#); People's Republic of Bulgaria, [3241](#).

Bulgarian Academy of Sciences

[1299](#).

Bulgarian Agrarian National Union

[1305](#), [1306](#).

Bulgarian Agrarian People's Union

[3241](#).

Bulgarian Church

[1299](#).

Bulgarian Literary Society

[1299](#).

Bulgarian National Opera

[1306](#).

Bulgarian Revolutionary Central Committee

[1299](#).  
Bulgarian Secret Central Committee  
[1299](#).  
Bulgarian Social Democratic Party  
[3236](#).  
Bulgarian Socialist Party  
[3241](#), [3241](#).  
Bulgarian Workers' Party, Communists  
[2165](#).  
Bulgarophygon, battle of  
[440](#).  
Bulgars  
[278](#), [279](#), [412](#), [427](#), [429](#), [430](#), [431](#), [432](#), [432](#), [433](#), [433](#), [433](#), [433](#), [437](#), [439](#), [440](#), [496](#), [562](#),  
[564](#), [564](#), [566](#).  
Bulge, battle of the  
[2620](#).  
Bulhoek  
[1558](#), [2577](#).  
Bullinamuck, battle of  
[701](#).  
Bullock, William A., inventor of web press  
[985](#).  
Bull Run, battles of  
[1586](#), [1587](#).  
Bulnes, Manuel, Latin American leader  
[1662](#), [1662](#), [1662](#).  
Bülow, (later prince) Bernhard von  
[972](#), [1124](#), [1129](#), [1129](#), [1237](#), [1237](#), [1237](#), [1746](#), [1789](#).  
Bülow, Karl von, German commander  
[1738](#).  
Bunau Varilla, Philippe, French engineer  
[1678](#), [1678](#).  
Bund, Switzerland  
[1226](#).  
Bundelkhand  
[133](#), [325](#), [331](#).  
Bundesbank  
[3025](#).  
Bundesrat, Switzerland  
[1095](#).  
Bundestag

[2987](#).  
Bundu  
[871](#).  
Bunge, Nicholas, Russian official  
[1261](#).  
Bunker Hill, battle of  
[946](#).  
bunraku, Japanese drama form  
[859](#).  
Bunsen, Robert W., chemist  
[1151](#).  
Bunsen burner  
[981](#).  
Bu Nujaym  
[1392](#).  
Bunyoro  
[347](#), [362](#), [883](#), [883](#), [883](#), [883](#), [883](#), [883](#), [883](#), [883](#), [884](#), [884](#), [1508](#), [1535](#).  
Buon, Bartolomeo, sculptor  
[539](#).  
Buonarroti, Filippo, Italian rebel  
[746](#).  
Buonarroti, Michelangelo  
*See* [Michelangelo ~Buonarroti, Italian artist](#).  
Buoncampagni, Ugo  
*See* [Gregory XIII, pope](#).  
Buquoy, Charles Bonaventure, military commander  
[617](#).  
Burckhardt, Jakob, historian and critic  
[537](#), [1143](#).  
Bureau of Corporations, U.S.  
[1621](#).  
Bureau of Indian Affairs, U.S.  
[2201](#).  
Bureau of International Expositions  
[1700](#).  
Bureau of Refugees, Freedmen, and Abandoned Lands  
*See* [Freedmen's Bureau](#).  
Bureau of the Budget, U.S.  
[3420](#).  
Bureaux de Bienfaisance, bureaus of charity  
[1020](#).

Buresch, Karl, Austrian leader

[2005](#), [2006](#).

Burgas

[1304](#).

Burgenland

[1817](#), [1820](#).

Bürgisser, Leodegar, abbot of St. Gallen

[749](#).

Burgos

[420](#), [479](#), [601](#), [601](#), [1929](#), [2893](#).

Burgos, José, religious leader

[1481](#), [1481](#).

Burgoyne, John, British commander

[948](#), [949](#).

Burgundians

[265](#), [402](#), [402](#), [405](#), [407](#), [522](#), [522](#), [522](#), [522](#), [522](#), [523](#).

Burgundy

[405](#), [406](#), [407](#), [407](#), [407](#), [407](#), [410](#), [411](#), [411](#), [411](#), [411](#), [412](#), [413](#), [413](#), [413](#), [417](#), [449](#), [449](#),  
[450](#), [451](#), [454](#), [455](#), [456](#), [457](#), [466](#), [479](#), [480](#), [511](#), [514](#), [515](#), [520](#), [521](#), [521](#), [521](#), [522](#),  
[522](#), [523](#), [523](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [542](#), [548](#), [595](#), [602](#), [613](#), [613](#), [614](#), [659](#), [710](#),  
[759](#), [1001](#); synod of, [466](#).

Burgundy, dukes of

[595](#), [656](#).

burial customs

[1](#), [8](#), [23](#), [31](#), [37](#), [37](#), [47](#), [53](#), [58](#), [60](#).

burial mounds

[98](#).

Burian, Stephen

[1746](#), [1778](#).

Buridan, Jean, scientist

[524](#).

Burid dynasty

[318](#).

Burke, Edmund, historian and philosopher

[645](#), [645](#), [1035](#).

Burke, Robert O., explorer

[1493](#).

Burke Act, U.S.

[1602](#).

Burkersdorf, battle of

[665](#).

Burkina Faso

[4320](#), [4330](#), [4330](#), [4331](#), [4331](#), [4353](#), [4361](#). *See* [Upper Volta](#).

Burleigh, 1st baron

*See* [Sir William ~Cecil, 1st baron Burleigh, English leader](#).

Burlingame, Anson, U.S. envoy

[1418](#).

Burlington Railroad

[1614](#).

Burma

[129](#), [137](#), [339](#), [341](#), [341](#), [341](#), [341](#), [341](#), [341](#), [342](#), [342](#), [375](#), [474](#), [837](#), [844](#), [844](#), [844](#), [844](#), [844](#), [844](#), [845](#), [845](#), [845](#), [845](#), [845](#), [845](#), [846](#), [847](#), [847](#), [847](#), [849](#), [849](#), [853](#), [968](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1403](#), [1403](#), [1403](#), [1404](#), [1404](#), [1406](#), [1407](#), [1418](#), [1420](#), [2443](#), [2448](#), [2483](#), [2686](#), [2687](#), [3096](#), [3269](#), [4021](#), [4048](#), [4048](#), [4048](#), [4048](#), [4048](#), [4049](#), [4049](#), [4050](#), [4050](#), [4051](#), [4052](#), [4052](#), [4052](#), [4053](#), [4053](#), [4053](#), [4054](#), [4054](#), [4055](#), [4055](#), [4056](#), [4056](#), [4057](#), [4057](#), [4057](#), [4057](#), [4057](#), [4058](#), [4058](#), [4059](#), [4059](#), [4059](#), [4060](#), [4060](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4061](#), [4062](#), [4062](#), [4063](#), [4063](#), [4074](#), [4096](#), [4144](#), [4154](#), [4183](#), [4256](#); wars with Great Britain, [1395](#), [1398](#); and Siam, [1405](#); and Great Britain, [2448](#), [2448](#), [2448](#), [2449](#), [2636](#), [4048](#), [4048](#); between Wars, [2448](#), [2448](#); makeup, [2448](#), [4047](#); Great Depression, [2448](#); WWII, [2449](#), [2449](#), [2522](#), [2625](#), [2627](#), [2630](#); economy, [4047](#), [4050](#), [4059](#); Union of Burma, [4049](#); and China, [4051](#), [4052](#), [4054](#), [4055](#), [4056](#), [4056](#), [4056](#), [4056](#), [4058](#), [4059](#); Socialist Republic of the Union of Burma, [4059](#); Union of Myanmar, [4059](#). *See* [Lower Burma](#); [Upper Burma](#).

Burma Road

[2480](#), [2483](#), [2624](#), [2624](#), [2625](#), [2627](#).

Burma Socialist Program Party

[4055](#), [4059](#).

Burmese Wars

[1402](#), [1402](#), [1402](#), [1403](#).

Burnaburiash I, king of Babylon

[86](#).

Burnet, William, governor of New York

[935](#).

Burnham, Forbes, Guianese leader

[3758](#), [3759](#), [3761](#).

Burnside, Ambrose E., Union commander

[1587](#).

Burr, Aaron, U.S. leader

[1566](#), [1568](#), [1569](#).

Burritt, Elihu, U.S. pacifist

[1574](#).



Burroughs, William S., developer of adding machine  
[986](#).

Burrus, Sextus Afranius, Roman general  
[248](#), [249](#).

Bursa  
[309](#), [312](#), [313](#), [813](#), [2321](#), [2321](#).

Burton, Richard, English explorer  
[1508](#).

Burton, Robert, English theologian and writer  
[594](#).

Burtudizus  
[433](#).

Burundi  
[883](#), [884](#), [1506](#), [1537](#), [2694](#), [4410](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4413](#),  
[4413](#), [4413](#), [4414](#), [4414](#), [4414](#), [4414](#), [4414](#), [4420](#), [4420](#), [4427](#), [4450](#).

Burwuri  
[1511](#).

Busa  
[1517](#).

Bu Sa'id dynasty  
[820](#).

Busby, James, British colonial administrator  
[1500](#), [1500](#).

Busch, German, Bolivian leader  
[2256](#), [2256](#), [2256](#).

Busento River  
[403](#).

Bush, George, U.S. president  
[2678](#), [2687](#), [2688](#), [2689](#), [3299](#), [3304](#), [3427](#), [3428](#), [3428](#), [3428](#), [3428](#), [3429](#), [3430](#), [3585](#),  
[3645](#), [3645](#), [3751](#), [4168](#), [4168](#), [4169](#), [4170](#), [4216](#), [4365](#).

Bush, George W., U.S. president  
[3440](#), [3441](#), [3442](#).

Bush, Vannevar, U.S. electrical engineer  
[1730](#), [1730](#).

Bushimai River  
[885](#).

Bushire  
[817](#).

Bushranging Act  
[1488](#).

Busia, Kofi, Ghanaian leader

4344.  
business  
2187, 2238, 2561; international, 1700; supermarket, 2761. *See* economy.  
Bussa Rapids  
1507.  
Bussy, colonial administrator in India  
834.  
Bustamante, Anastasio, Mexican leader  
1687, 1687, 1687, 1688.  
Bustamente, Alexander  
3757.  
Bustamente, Fernando Manuel de, governor of the Philippines  
867, 867.  
Bustamente, José Luis, Peruvian leader  
2263, 3552, 3552.  
Buston, Thomas Fowell, missionary  
1515.  
Bute, 3rd earl of, John Stuart, British prime minister  
688.  
Buthelezi, Mangasuthu Gatsha, South African leader  
4477, 4480, 4485.  
Butler, Benjamin F., Union commander  
1586, 1587.  
Butler, Richard Austen, British leader  
2764.  
Butler, Walter, Irish general  
620.  
Butlerov, Alexander M., chemist  
1152.  
Butlin, Billy, British entrepreneur  
1851.  
Butrus al-Bustani, encyclopedist  
1335.  
Butrus Ghali, Egyptian leader  
1374.  
Butt, Isaac, Irish leader  
1168, 1169.  
Butuan  
867.  
Butung  
843.

Buxtehude, Dietrich, composer

[624](#).

Buyid (Buwayhid) dynasty

[297](#), [298](#), [298](#), [300](#), [300](#), [300](#), [300](#), [300](#), [300](#), [301](#), [301](#).

Buyoya, Pierre, Burundian leader

[4412](#), [4414](#).

Buzurg Alavi, writer

[2341](#).

Bwiti cult, Gabon

[2568](#).

Byblos

[91](#), [91](#), [100](#), [103](#), [103](#), [107](#), [109](#), [109](#), [109](#), [169](#).

Bydgoszcz

[3109](#).

Byng of Vimy, Lord, Julian Hedworth George, Canadian governor-general

[2223](#).

By  d , temple

[386](#).

Byrd, Richard E., explorer

[991](#), [997](#), [998](#).

Byrd, William, English composer

[594](#).

Byrnes, James F., U.S. leader

[2212](#), [2212](#), [2706](#), [2983](#), [3391](#).

Byron, Lord, George Gordon, poet

[1037](#).

Byzantine Empire

[80](#), [270](#), [274](#), [274](#), [274](#), [275](#), [276](#), [276](#), [279](#), [281](#), [285](#), [285](#), [286](#), [287](#), [287](#), [287](#), [287](#), [288](#), [289](#), [290](#), [293](#), [294](#), [295](#), [299](#), [301](#), [302](#), [303](#), [303](#), [305](#), [305](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [312](#), [312](#), [313](#), [313](#), [314](#), [317](#), [317](#), [317](#), [318](#), [375](#), [400](#), [408](#), [408](#), [408](#), [411](#), [411](#), [412](#), [417](#), [417](#), [417](#), [426](#), [426](#), [427](#), [427](#), [427](#), [427](#), [427](#), [429](#), [430](#), [430](#), [431](#), [431](#), [431](#), [431](#), [431](#), [432](#), [433](#), [433](#), [434](#), [435](#), [435](#), [435](#), [436](#), [436](#), [436](#), [436](#), [437](#), [437](#), [437](#), [438](#), [438](#), [438](#), [438](#), [439](#), [439](#), [439](#), [440](#), [440](#), [440](#), [441](#), [442](#), [452](#), [457](#), [468](#), [471](#), [473](#), [473](#), [473](#), [479](#), [483](#), [488](#), [488](#), [488](#), [490](#), [494](#), [494](#), [496](#), [496](#), [496](#), [498](#), [505](#), [506](#), [508](#), [533](#), [558](#), [562](#), [562](#), [562](#), [563](#), [564](#), [568](#), [575](#), [630](#); society, [427](#), [438](#); war with Venice, [502](#); civil war in, [566](#).

## C

Caamaño, José María, Latin American leader

[1671](#).

Cabal, forerunner of English cabinet  
[675](#).  
cabala, Jewish mysticism  
[797](#).  
Caballero, Bernardino, Latin American leader  
[1665](#), [1666](#).  
Cabanagem  
[1677](#).  
Cabañas, José Trinidad, Latin American leader  
[1682](#), [1686](#).  
Cabeçadas, Mendes, Portuguese revolutionary  
[1936](#).  
Cabet, Étienne, reformer  
[1035](#).  
Cabeza de Vaca, Alvar Núñez, Spanish colonial administrator  
[900](#), [903](#), [905](#).  
Cabezas, José Luiz, journalist  
[3504](#).  
cabinet system, England  
[686](#); in Portugal, [729](#).  
Cable and Wireless Act, Great Britain  
[2759](#).  
Cable News Network, CNN  
[2641](#).  
Cabot, John, explorer  
[573](#), [923](#).  
Cabot, Sebastián, explorer  
[900](#), [923](#).  
Cabral, Amilcar, African leader  
[2636](#), [2915](#), [4351](#), [4351](#).  
Cabral, Luiz, Guinea-Bissau leader  
[4351](#).  
Cabral, Pedro Alvares, Portuguese explorer  
[281](#), [573](#), [605](#), [605](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 14

- Cabrera, Manuel Estrada, Guatemalan leader  
[1681](#), [2278](#).
- Cáceres, Andrés Avelino, Latin American leader  
[1670](#).
- Cadamosto, Alvise da, explorer  
[281](#), [358](#).
- Cade, John, English rebel  
[515](#).
- Cadets, Russia  
[1263](#), [1264](#), [1264](#), [1265](#).
- Cadillac, Antoine de, French explorer  
[922](#).
- Cádiz  
[476](#), [603](#), [648](#), [911](#), [957](#), [1028](#), [1028](#), [1062](#), [1063](#), [1929](#).
- Cadmea, citadel of Thebes  
[200](#), [200](#).
- Cadorna, Luigi, Italian general  
[1757](#), [1757](#), [1780](#), [1799](#).
- Caduveo  
[570](#).
- Caecilius Statius, Roman playwright  
[229](#).
- Caecina, Roman general  
[251](#).
- Caen  
[1006](#), [2619](#).
- Caesar, title  
[255](#), [261](#), [261](#), [261](#), [261](#), [262](#), [262](#), [262](#), [457](#).
- Caesar, Gaius  
*See* [Caligula, Roman emperor](#).

Caesar, Julius, Roman leader

[46](#), [218](#), [219](#), [239](#), [240](#), [240](#), [240](#), [240](#), [240](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [242](#), [243](#), [246](#), [246](#), [402](#), [421](#).

Caesariensis

[248](#).

Caetano, Marcello, Portuguese leader

[2914](#), [2915](#).

Cafferata, Geronimo, Peruvian leader

[3557](#).

Cagoulards, French royalists

[1913](#).

Cahokia

[53](#), [280](#), [922](#).

Caicos

[3765](#).

Cai Dai, Vietnamese sect

[2525](#).

Cai E, Chinese leader

[2461](#).

Cai Jing, Chinese leader

[372](#).

Caillaux, Joseph, French leader

[1135](#), [1135](#), [1135](#), [1198](#), [1901](#), [1902](#).

Caillié, René, explorer

[1507](#).

Caingang

[570](#).

Cairo

[287](#), [296](#), [302](#), [317](#), [319](#), [320](#), [323](#), [353](#), [507](#), [507](#), [792](#), [799](#), [800](#), [808](#), [808](#), [810](#), [1010](#), [1119](#), [1327](#), [1335](#), [1346](#), [1347](#), [1366](#), [1366](#), [1366](#), [1367](#), [1372](#), [1372](#), [1373](#), [1373](#), [1384](#), [1699](#), [1752](#), [2353](#), [2355](#), [2359](#), [2363](#), [2364](#), [2379](#), [2416](#), [2643](#), [2655](#), [2661](#), [2673](#), [2678](#), [2681](#), [2690](#), [3771](#), [3778](#), [3783](#), [3786](#), [3821](#), [3845](#), [3876](#), [3901](#), [3903](#), [3904](#), [3905](#), [3909](#), [3910](#), [3910](#), [3912](#), [3917](#), [3918](#), [3927](#), [3947](#); WWI, [1751](#); conference, [2484](#), [2493](#), [2632](#), [2632](#); Metro, [3914](#).

Cairo Agreement

[3845](#).

Cairo Caliphate Congress

[2357](#).

Cairo Declaration

[2632](#).

Cairo University

[2356](#), [2357](#), [2360](#).  
Caisse de la Dette  
[1372](#).  
Cai Yuanpei, educator  
[2464](#).  
Cajamarca  
[898](#).  
Cakchiquel  
[902](#).  
Çakmak, Fevzi, Turkish leader  
[3790](#).  
Cakobau, Fiji  
[1476](#).  
Calabar, Nigeria  
[1515](#), [4323](#).  
Calabar, Domingo Fernandes, Brazilian leader  
[915](#).  
Calabria  
[431](#), [435](#), [466](#), [467](#), [500](#), [827](#), [1224](#).  
Calais  
[512](#), [513](#), [515](#), [521](#), [521](#), [521](#), [586](#), [588](#), [588](#), [588](#), [598](#), [2587](#).  
Calatafimi, battle of  
[1212](#).  
Calatrava  
[476](#).  
calculating devices  
[639](#), [985](#), [986](#), [1039](#).  
Calcutta  
[834](#), [835](#), [835](#), [835](#), [1394](#), [1396](#), [1396](#), [1399](#), [1401](#), [2434](#), [2437](#), [3985](#).  
Caldera Rodríguez, Rafael, Venezuelan leader  
[3601](#), [3603](#), [3604](#).  
Calder Hall, England  
[2769](#).  
Calderón, battle at bridge of  
[1653](#).  
Calderón, Francisco García, writer  
[2241](#).  
Calderón, Pedro, Spanish playwright  
[604](#).  
Calderón, Rafael Angel, Costa Rican leader  
[3690](#).

Calderón Sol, Armando, Salvadoran leader

[3673](#).

Caledonia

[255](#), [421](#).

Caledon River

[1551](#).

calendar

[87](#), [131](#), [241](#); Islamic, [286](#); Persian, [302](#); Japan, [383](#); Maya, [570](#); reform of Pope Gregory XIII, [609](#); Gregorian, [687](#), [1020](#); Chinese, [854](#).

Calhoun, Georgia

[1574](#).

Calhoun, John C., U.S. leader

[1574](#), [1577](#), [1580](#).

Cali

[897](#).

Cali cartel

[3579](#), [3589](#), [3589](#).

California, U.S. state

[33](#), [904](#), [904](#), [904](#), [954](#), [1438](#), [1471](#), [1563](#), [1579](#), [1690](#), [1795](#), [2544](#), [3411](#), [3436](#); Russian settlements, [1256](#), [1259](#); in the Mexican War, [1578](#), [1688](#); gold rush, [1579](#), [1662](#), [1678](#); admission to the Union, [1580](#); and Chinese labor, [1601](#).

California, University of

[3390](#), [3426](#).

Caligula, Roman emperor

[247](#), [248](#), [248](#), [248](#), [252](#).

Calinescu, Armand, Romanian leader

[2184](#), [2184](#).

Calixtines, Bohemian reformers

[544](#).

Calixtus II, pope

[468](#).

Calixtus III, antipope

[469](#).

Callaghan, James, British leader

[2758](#), [2789](#), [2789](#), [2790](#).

Callan

[1164](#).

Callao

[865](#), [865](#), [865](#), [3557](#).

Callbeck, Catherine, Canadian leader

[3458](#).



Callejas, Rafael Leonardo, Latin American leader  
[3697](#), [3698](#).

Calle Lombana, Humberto de la, Latin American leader  
[3589](#).

Calles, Plutarco Elías, Mexican leader  
[2195](#), [2295](#), [2296](#), [2297](#), [2297](#), [2297](#), [2297](#), [2297](#), [2297](#), [2297](#), [2298](#), [2298](#), [2298](#), [2298](#).

Calles-Morrow agreement, U.S.-Mexico  
[2297](#).

Calley, William L., U.S. soldier  
[3422](#).

Callicrates, king of Sparta  
[211](#), [212](#).

Callimachus, Greek poet  
[208](#).

Callinicum  
[427](#).

Callistratus, Athenian leader  
[202](#).

Callistus, Roman freedman  
[248](#).

Caltabeleotta, peace of  
[533](#).

Calvert, Cecilius, 2nd baron Baltimore  
[929](#), [930](#), [930](#), [937](#), [937](#).

Calvert, Charles, 3rd baron Baltimore  
[929](#), [937](#).

Calvert, George, 1st baron Baltimore  
[929](#), [929](#).

Calvin, John, theologian and reformer  
[401](#), [580](#), [595](#), [597](#), [615](#), [615](#), [625](#), [625](#).

Calvinism  
[588](#), [597](#), [609](#), [609](#), [615](#), [615](#), [617](#), [621](#), [624](#), [625](#), [625](#), [632](#), [635](#), [712](#), [1014](#), [1144](#);  
Holland, [595](#), [595](#), [595](#); Africa, [890](#); Americas, [915](#); Low Countries, [1053](#), [1174](#).

Camano, Francisco, Latin American leader  
[3742](#).

Cámara  
[909](#).

Camarda, Demetrio, writer  
[1325](#).

Camarina  
[196](#).

Cambay

[332](#).

Cambodia

[79](#), [131](#), [132](#), [133](#), [135](#), [135](#), [339](#), [340](#), [342](#), [342](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [849](#), [1402](#), [1405](#), [1407](#), [1409](#), [1409](#), [1409](#), [1409](#), [1473](#), [1474](#), [1475](#), [2453](#), [2453](#), [2453](#), [2625](#), [2638](#), [2638](#), [2676](#), [2689](#), [4047](#), [4069](#), [4075](#), [4081](#), [4081](#), [4081](#), [4084](#), [4084](#), [4085](#), [4085](#), [4085](#), [4086](#), [4086](#), [4087](#), [4087](#), [4087](#), [4087](#), [4087](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4090](#), [4090](#), [4091](#), [4091](#), [4092](#), [4095](#), [4096](#), [4100](#), [4101](#), [4101](#), [4113](#), [4255](#), [4256](#), [4256](#), [4264](#), [4264](#), [4268](#), [4269](#), [4272](#), [4275](#), [4275](#), [4276](#), [4277](#); and Siam, [1405](#), [1405](#); between Wars, [2453](#); WWII, [2454](#), [2454](#), [2454](#); and U.S., [3413](#), [3419](#), [3420](#), [4080](#), [4081](#), [4081](#), [4081](#), [4082](#), [4084](#), [4085](#), [4086](#), [4086](#), [4272](#), [4272](#), [4272](#), [4275](#); economy, [4047](#); and France, [4075](#), [4075](#), [4075](#), [4076](#), [4081](#); and Russia, [4077](#), [4081](#), [4081](#); and China, [4078](#), [4080](#), [4081](#), [4086](#), [4087](#), [4087](#), [4088](#), [4163](#); Khmer Republic, [4085](#); Kampuchea, [4086](#), [4087](#), [4088](#), [4088](#), [4088](#); peace, [4089](#); Vietnamese, [4275](#); Chinese, [4275](#).

Cambodian People's Party, CPP

[4091](#).

Cambon, Jules, French envoy

[1135](#).

Cambrai

[524](#), [653](#), [1801](#), [1812](#); treaty of, [602](#), [608](#), [608](#), [614](#).

Cambr sis

[653](#).

Cambridge, Massachusetts

[926](#), [1736](#).

Cambridge University

[446](#), [513](#), [640](#), [1048](#).

Cambyes I, king of Persia

[95](#), [99](#), [123](#), [124](#).

Camden, battle of

[951](#).

Camel, battle of the

[288](#).

cameras

[990](#).

Cameron, Donald, British leader

[2559](#).

Cameron Reforms

[2559](#).

Cameroon

[343](#), [2554](#), [2555](#), [2558](#), [2568](#), [2568](#), [2568](#), [2569](#), [2569](#), [2611](#), [4325](#), [4332](#), [4332](#), [4337](#),

[4432](#), [4432](#), [4433](#); British Northern Cameroon, [4324](#); Southern Cameroon, [4324](#); independence, [4332](#); Republic of Cameroon, [4332](#); Western Cameroon, [4332](#); Federal Republic of Cameroon, [4332](#); United Republic of Cameroon, [4332](#); volcanic gases, [4332](#).

Cameroons

[954](#), [955](#), [1111](#), [1135](#), [1517](#), [1543](#); WWI, [1768](#).

Camillus, Marcus Furius, Roman dictator

[226](#).

Camões, Luis de, Portuguese poet

[605](#).

Campagna

[459](#).

Campaign for Nuclear Disarmament

[2771](#).

Campaña Admirable

[1650](#).

Campania

[220](#), [221](#), [222](#), [222](#), [222](#), [226](#), [227](#), [229](#), [229](#), [230](#), [238](#), [241](#).

Campbell, Angus, inventor

[988](#).

Campbell, Archibald

[1402](#).

Campbell, Kim, Canadian leader

[3458](#).

Campbell-Bannerman, Henry

[1155](#).

Campbell-Swinton, A. A., inventor

[1736](#).

Camp David, Maryland

[2675](#), [3404](#), [3437](#), [3869](#), [3876](#).

Camp David Accords

[3777](#), [3861](#), [3910](#).

Campero, Narciso, Latin American leader

[1668](#).

Camphausen, Rudolf, Prussian leader

[1096](#).

Camp of National Unity

[2123](#).

Campo Formio, treaty of

[760](#), [1009](#), [1017](#).

Campong-Thom

2625.

Cámpora, Hector, Argentine leader

3490, 3490.

Campos, Albizu, Latin American leader

2309, 2309.

Campos, Pedro Albizu, Latin American leader

2309.

Campos Salles, Manoel de, Latin American leader

1677.

Campus Martius

239.

Cam Ranh Bay

4275.

Camras, Marvin, pioneer in sound recording

990.

Camus, Albert, philosopher

2701, 2839, 2849.

Canaan

83, 92, 93, 100, 101, 101, 102, 103, 103, 103, 103, 103, 104, 104, 107, 2376.

Canada

13, 18, 33, 40, 53, 666, 919, 919, 920, 920, 921, 921, 939, 939, 940, 951, 952, 953, 956, 993, 993, 993, 995, 995, 1563, 1572, 1615, 1622, 1699, 1853, 2217, 2217, 2225, 2229, 2273, 2598, 2637, 2638, 2640, 2641, 2642, 2643, 2644, 2664, 2664, 2672, 2673, 2673, 2683, 2688, 2692, 2708, 2714, 2717, 2721, 2730, 2758, 2867, 3254, 3443, 3444, 3444, 3452, 3454, 3455, 3455, 3458, 3463, 3707, 3712, 3759, 4029, 4047, 4066, 4087, 4262, 4451; and French and Indian War, 940; and American Revolution, 947, 947; and India, 1401; and U.S., 1571, 1576, 1625, 1629, 1635, 3391, 3430, 3431, 3443, 3444, 3447, 3449, 3449, 3450, 3450, 3456, 3458; boundary with U.S., 1574, 1576, 1578, 1623, 1625; and Alaska boundary, 1613, 1639; dominion of, 1622, 1623, 1630, 1630, 1630, 1631, 1635, 1635, 1637, 1641; exploration of, 1623, 1623; and War of 1812, 1623, 1623, 1623; rebellion in, 1625, 1629; union of Upper and Lower Canada, 1628; gold rush, 1630; 1878–1914, 1634; and South African War, 1639; WWI, 1801, 2217, 2218, 2219, 2498; WWI cost, 2220; and Great Britain, 2217, 2224, 2226, 2227, 2228, 2229, 2232, 2232, 2233, 3443, 3444, 3445; between Wars, 2217, 2222, 2224, 2226, 2230, 2231, 2232, 2232; Great Depression, 2217, 2227, 2227; and Japan, 2226; and France, 2226, 2229, 2234, 3452, 3453; New Deal, 2231, 2231, 2232, 2232; WWII, 2233, 2233, 2234, 2599, 2608, 2608, 2617, 2619, 2621; economy and society, 3443, 3443, 3456; cold war, 3443; and Russia, 3443, 3446, 3451; and Korea, 3445; and China, 3448, 3451, 3455; centennial of dominion status, 3452; and Gabon, 3453; linguistic rights, 3453, 3454; and Europe, 3454, 3454; and Middle East, 3456; and North America, 3458; fisheries, 3458; and Africa, 3461. *See*

[Canadian-American relations](#); [French Canadians](#); [Japanese Canadians](#); [Quebec](#); [terrorism](#).

Canada Act, England

[1623](#).

Canada First movement

[1630](#).

Canada Paper Company

[1630](#).

Canada-United States Committee on Joint Defense

[3447](#).

Canadian-American relations

[2217](#), [2222](#), [2224](#), [2224](#), [2225](#), [2226](#), [2226](#), [2227](#), [2228](#), [2229](#), [2231](#).

Canadian Armed Services

[3452](#).

Canadian Broadcasting Corporation, CBC

[2229](#), [3445](#).

Canadian Citizenship Act

[3443](#).

Canadian Congress of Labour

[3446](#).

Canadian Immigration Board

[3458](#).

Canadian Labor Congress, CLC

[1635](#), [3446](#).

Canadian Métis Society

[3453](#).

Canadian National Railways

[2217](#), [2229](#).

Canadian Northern Railway

[1638](#), [2217](#).

Canadian Pacific Railway

[956](#), [1634](#), [1635](#), [1635](#).

Canadian Pacific Railway Company

[2229](#).

Canadian Radio Broadcasting Commission

[2229](#).

Canadian Radio-Television Commission, CRTC

[3453](#).

Canadian Reform Conservative Alliance

[3464](#).

Canalejas y Méndez, José, Spanish leader

[1204](#).  
canals  
[956](#).  
Canal-to-Cape Railroad  
[1236](#).  
Canal Zone  
*See* [Panama Canal Zone](#); [Suez Canal Zone](#).  
Cananea Copper Company  
[1692](#).  
Canarese  
[133](#), [327](#), [327](#).  
Canary Islands  
[281](#), [281](#), [572](#), [906](#), [1131](#), [2899](#).  
Canberra, Australia  
[1498](#), [2543](#), [4297](#).  
Canberra Agreement  
[4283](#).  
Cancellaria reliefs  
[246](#).  
Cancuc  
[913](#).  
Candaules, Phrygian king  
[114](#).  
Candelaria, María de la, Maya visionary  
[913](#).  
Candia  
[437](#), [611](#), [745](#), [801](#).  
Candian War  
[745](#).  
Candomblé  
[3465](#).  
Cang Yingxuan, Chinese potter  
[854](#).  
Canmore, Malcolm (Malcolm III), king of Scotland  
[447](#), [447](#).  
Cann, Rebecca, molecular biologist  
[24](#).  
Cannae  
[231](#), [438](#).  
Cannes  
[1033](#).

Canning, earl, Charles John, British leader  
[1396](#).

Canning, George, British leader  
[1045](#), [1046](#), [1275](#).

Cannizzaro, Stanislao, chemist  
[1151](#).

Cano, Guillermo, publisher  
[3583](#).

Cano, Juan Sebastián del, explorer  
[574](#).

Canonchet, chief of the Narragansetts  
[933](#).

canon law  
[1223](#).

Canossa  
[455](#), [468](#), [468](#), [469](#).

Canova, Antonio, Italian artist  
[735](#).

Canovas del Castillo, Antonio, Spanish leader  
[1204](#).

Cantacuzenos, John, Byzantine leader  
[309](#).

Cantave, León, Haitian leader  
[3745](#).

Cantemir, Demetrius, Moldavian scholar  
[806](#).

Canterbury  
[422](#), [422](#), [422](#), [445](#), [469](#); cathedral, [444](#), [446](#).

Canterbury Tales  
[513](#).

Cantillon, Richard, Irish economist  
[645](#).

Canton  
[155](#), [292](#), [1415](#), [1416](#), [1416](#), [2524](#). *See* [Guangzhou](#).

cantonalists, Spain  
[1202](#).

Cantor, Georg, mathematician  
[1148](#).

Canudos  
[1677](#).

Cañuelo, Luis, Spanish writer

[718](#).  
Canute II, the Great  
[422](#), [422](#), [422](#), [426](#), [454](#), [461](#), [486](#).  
Canute VI, king of Denmark  
[461](#).  
Cão, Diogo, explorer  
[281](#).  
Cao Cao, Chinese leader  
[156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [158](#).  
Cao family  
[157](#).  
Cao Pi, Chinese leader  
[156](#), [156](#).  
Cao Xueqin, Chinese writer  
[854](#).  
Cape African franchise  
[2578](#), [2579](#), [2580](#).  
Cape Ann  
[926](#).  
Cape Bojador  
[281](#), [358](#), [869](#).  
Cape Bon  
[322](#).  
Cape Breton Island  
[666](#), [939](#), [940](#).  
Cape Coast  
[874](#), [1513](#).  
Cape Coast Castle  
[876](#), [878](#).  
Cape Cod  
[920](#), [926](#), [932](#), [932](#), [935](#).  
Cape Colony  
[1549](#), [1549](#), [1549](#), [1549](#), [1550](#), [1550](#), [1550](#), [1550](#), [1550](#), [1550](#), [1551](#), [1551](#), [1551](#),  
[1552](#), [1552](#), [1552](#), [1553](#), [1555](#), [1555](#), [1556](#), [1556](#), [1556](#), [1557](#).  
Cape Fear  
[920](#).  
Cape Flattery  
[904](#).  
Cape Gloucester  
[2629](#).  
Capelle, Eduard von, German admiral



[1762](#).  
Cape Matapan, battle of  
[2606](#).  
Cape of Good Hope  
[281](#), [337](#), [365](#), [596](#), [596](#), [866](#), [890](#), [890](#), [890](#), [890](#), [890](#), [890](#), [890](#), [891](#), [892](#), [1524](#).  
Cape Passaro  
[2617](#).  
Cape Peninsula  
[890](#).  
Cape Province  
[38](#), [1558](#).  
Cape St. Roque  
[573](#), [573](#).  
Cape St. Vincent  
[726](#).  
Cape Sunium  
[188](#).  
Capet, Hugh, king of France  
[414](#), [414](#), [414](#), [449](#).  
Capetian dynasty  
[445](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [450](#), [450](#), [450](#), [451](#), [454](#), [520](#), [520](#),  
[520](#), [540](#).  
Cape Town, or Capetown  
[890](#), [890](#), [890](#), [890](#), [891](#), [993](#), [1119](#), [1556](#), [1558](#), [2577](#).  
Cape Verde Islands  
[281](#), [281](#), [359](#), [572](#), [573](#), [605](#), [2672](#), [2915](#), [2916](#).  
capitalism  
[1702](#), [1815](#); in Italy, [534](#); 1800–1914, [1144](#); in the 19th century, [1506](#); in Africa,  
[1553](#).  
Capitol  
[251](#).  
Capitoline Hill  
[224](#), [224](#).  
Capitulary of Heristal  
[411](#).  
Capitulary of Kiersy  
[413](#).  
Capitulary of Mersen  
[413](#).  
Capitulations  
[1712](#), [2318](#), [2322](#), [2325](#), [2334](#), [2336](#), [2340](#), [2354](#), [2366](#), [2367](#), [2367](#), [2372](#), [2379](#),

[2389](#), [2400](#).  
Capo d'Istria, Giovanni  
[1272](#), [1275](#), [1277](#).  
Caporetto Campaign, World War I  
[1757](#), [1757](#), [1805](#), [1941](#).  
Cappadocia  
[111](#), [112](#), [115](#), [124](#), [209](#), [237](#), [240](#), [240](#), [247](#), [275](#), [275](#), [428](#), [435](#).  
Capper-Volstead Act, U.S.  
[2195](#).  
Capponi, Niccolò, leader of Florentine revolt  
[607](#).  
Capreae, Capri  
[247](#), [247](#).  
Caprera  
[1217](#).  
Capri  
[247](#).  
Caprivi, Georg Leo von, German leader  
[1235](#), [1237](#), [1237](#).  
Caprivi Strip, Namibia  
[4476](#).  
Caps, Swedish political party  
[762](#), [763](#), [763](#), [763](#), [764](#).  
Capua  
[223](#), [227](#), [231](#), [232](#), [235](#), [416](#), [458](#), [465](#), [466](#), [467](#), [471](#), [607](#).  
Capuchins, religious order  
[815](#), [874](#), [1332](#); Africa, [875](#), [880](#), [886](#), [892](#); Americas, [910](#).  
Carabobo, battle of  
[1651](#).  
Caracalla, Roman emperor  
[246](#), [255](#), [255](#), [255](#), [255](#), [255](#).  
Caracas  
[897](#), [909](#), [911](#), [1650](#), [1650](#), [1650](#), [1650](#), [2671](#), [3467](#), [3596](#), [3597](#), [3598](#), [3598](#), [3599](#),  
[3602](#), [3606](#).  
Caraccioli, Hector, Honduran leader  
[3694](#).  
Caractacus, British chieftain  
[248](#).  
Caraffa, Gian Pietro  
*See* [Paul IV, pope](#).  
Caralis

110.  
Caramania  
207.  
Carasius, Marcus Aurelius Mausaeus, Roman general and rebel  
261, 261.  
Caratheodory, Alexander, Ottoman envoy  
1108.  
Carazao, Rodrigo, Latin American leader  
3689.  
Carazo, Evaristo, Latin American leader  
1683.  
Carbonari, Charcoal Burners  
1059, 1066, 1066, 1067, 1067, 1067.  
Carbury Hill  
588.  
Carcani, Adil, Albanian leader  
3202, 3203.  
Carcassonne  
452, 479.  
Carchedon  
*See* Carthage.  
Carchemish  
86, 87, 87, 93, 100, 102, 103, 106, 113, 113.  
Cardano, Geronimo, mathematician  
637.  
Cardenal, Ernesto, Nicaraguan priest  
2644.  
Cárdenas, Adán, Latin American leader  
1683.  
Cárdenas, Cuauhtemoc, Mexican leader  
3705, 3706, 3711.  
Cárdenas, Lázaro, Mexican leader  
2298, 2298, 2299, 2299, 2300.  
Cardiff  
2754.  
Cardoso, Fernando Henrique, Brazilian leader  
3479, 3626, 3627, 3627, 3628, 3628, 3628, 3629.  
Cardwell, Edward, British official  
1159.  
Carelia  
628, 630.

Carew, Thomas  
[587](#).

Carews, Norman family  
[425](#).

Carey, George, archbishop of Canterbury  
[2965](#).

Carey, William, English missionary  
[1394](#).

Carey Act, U.S.  
[1607](#).

Caria  
[95](#), [114](#), [186](#), [201](#), [206](#), [218](#).

Carías Andino, Tiburcio, Honduran leader  
[2288](#), [2289](#), [2289](#), [3693](#).

Caribbean  
[2238](#), [2267](#), [2600](#), [2636](#), [2643](#), [2643](#), [2656](#), [3471](#), [3598](#), [3600](#), [3732](#), [3757](#), [3759](#),  
[3762](#); and U.S., [2187](#), [2208](#).

Caribbean federation  
[3756](#).

Caribbean Free Trade Area  
[3760](#).

Caribbean Population Research Center  
[3759](#).

Caribbean Sea  
[570](#), [579](#), [605](#), [895](#), [906](#), [906](#), [908](#), [908](#), [909](#), [909](#), [911](#), [912](#), [919](#), [3428](#).

Caribs  
[570](#), [570](#).

Carinthia  
[415](#), [459](#), [485](#), [494](#), [540](#), [616](#), [2006](#), [3040](#).

Carinus, Marcus Aurelius, Roman emperor  
[258](#), [261](#).

Carl  
*See* [Haakon VII, king of Norway](#).

Carlén, Emelie Flygare, writer  
[1076](#).

Carlists, Spain  
[1045](#), [1203](#).

Carlist War, Spain  
[1045](#), [1062](#), [1203](#), [1204](#).

Carloman, Frankish leader  
[407](#).

Carloman, king of Austrasia

[410](#).

Carloman, king of Bavaria

[409](#), [415](#), [415](#).

Carloman, king of France

[413](#), [483](#).

Carloman, son of Charles the Bald

[413](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 15

- Carlos I, king of Portugal  
[1207](#), [1207](#), [1208](#).
- Carlsbad Decrees, Germany  
[1071](#), [1071](#).
- Carlsbad program, Czechoslovakia  
[2020](#), [2020](#).
- Carlson, Chester Floyd, inventor  
[1736](#), [2641](#).
- Carlsson, Ingvar, Swedish leader  
[3065](#), [3066](#), [3069](#).
- Carmelites, religious order  
[604](#), [815](#); in Africa, [892](#).
- Carmichael, Stokely, civil rights activist  
[3413](#).
- Carmona, Antonio de Fragoso, Portuguese leader  
[1936](#), [1937](#), [1939](#), [2913](#).
- Carnarvon  
[446](#).
- Carnatic  
[129](#), [133](#), [133](#), [324](#), [834](#), [834](#), [836](#).
- Carnegie Steel Company  
[1605](#).
- Carniola  
[459](#), [485](#), [494](#), [540](#), [616](#).
- Carnot, Lazare, French leader  
[1009](#).
- Carnot, Nicolas Sadi, scientist  
[1039](#).
- Carnuntum  
[262](#).

Caro, Miguel Antonio, Latin American leader  
[1673](#).

Carobert of Hungary  
*See* [Charles I, king of Hungary](#).

Carolinas  
[905](#), [905](#), [905](#), [938](#), [938](#), [938](#), [938](#), [938](#), [938](#), [2630](#).

Caroline, U.S. ship  
[1625](#).

Caroline Islands  
[864](#), [1477](#), [1768](#), [2500](#), [2530](#), [4283](#).

Carolingia  
[411](#).

Carolingians  
[276](#), [407](#), [407](#), [407](#), [407](#), [408](#), [408](#), [408](#), [411](#), [411](#), [411](#), [411](#), [411](#), [411](#), [411](#), [411](#), [412](#), [413](#),  
[413](#), [413](#), [414](#), [415](#), [415](#), [415](#), [415](#), [416](#), [417](#), [426](#), [449](#), [449](#), [478](#), [479](#), [479](#), [534](#), [537](#).

Carothers, Wallace H., developer of nylon  
[984](#).

Carpaccio, Vittore, Venetian artist  
[584](#).

Carpathian Mountains  
[402](#), [412](#), [482](#), [1739](#), [1739](#), [1740](#), [1777](#), [1792](#), [1794](#), [1806](#).

Carpatho-Ukraine (Ruthenia)  
[486](#), [1835](#), [1837](#), [2015](#), [2020](#), [2021](#), [2032](#), [2083](#), [3120](#).

Carpentras  
[2878](#).

Carpi, battle of  
[657](#).

Carranza, Venustiano, Mexican leader  
[1621](#), [2290](#), [2292](#), [2292](#), [2292](#), [2292](#), [2292](#), [2293](#), [2293](#), [2293](#), [2294](#), [2294](#), [2296](#), [2296](#),  
[2296](#), [2297](#).

Carrara family  
[538](#).

Carré, inventor  
[986](#).

Carrera, José Miguel, Latin American leader  
[1648](#), [1648](#), [1648](#), [1648](#).

Carrera, Rafael  
[1680](#), [1681](#), [1681](#), [1682](#), [1686](#).

Carrhae  
[216](#), [241](#), [257](#), [272](#), [272](#), [272](#).

Carrier, Jean Baptiste, French leader

[1005](#).  
Carrillo Colina, Braulio, Latin American leader  
[1685](#).  
Carrillo Puerto, Felipe, Mexican Marxist  
[2297](#).  
Carrizal, clash of Americans and Mexicans at  
[2294](#).  
Carson, Rachel, environmentalist author  
[2642](#), [3407](#).  
Cartagena  
[588](#), [660](#), [897](#), [897](#), [906](#), [906](#), [910](#), [911](#), [911](#), [1131](#), [1650](#), [1650](#), [1932](#), [3475](#), [3585](#).  
Cartagena del Chaira, Colombia  
[3591](#).  
Cartel des Gauches, France  
[1901](#), [1905](#).  
cartels  
[1142](#), [1700](#).  
Carter, Howard, archaeologist  
[2354](#).  
Carter, Jimmy, U.S. president  
[2674](#), [2675](#), [2676](#), [3185](#), [3289](#), [3425](#), [3425](#), [3426](#), [3426](#), [3427](#), [3642](#), [3654](#), [3668](#),  
[3676](#), [3678](#), [3679](#), [3742](#), [3777](#), [4162](#), [4218](#).  
Carteret, George  
[935](#).  
Carteret, Philip, English navigator  
[865](#).  
Carthage  
[81](#), [108](#), [108](#), [108](#), [109](#), [110](#), [110](#), [110](#), [185](#), [185](#), [185](#), [189](#), [199](#), [200](#), [202](#), [204](#), [211](#),  
[220](#), [220](#), [220](#), [220](#), [225](#), [226](#), [229](#), [230](#), [230](#), [230](#), [230](#), [230](#), [230](#), [230](#), [231](#), [231](#), [231](#),  
[231](#), [232](#), [232](#), [232](#), [232](#), [234](#), [235](#), [266](#), [322](#), [404](#), [404](#), [429](#), [431](#).  
Carthago Nova  
[228](#).  
Carthusians, religious order  
[466](#).  
Cartier, Jacques, French explorer  
[597](#), [920](#), [920](#).  
Carus, Roman emperor  
[258](#), [258](#), [272](#).  
Carvalho e Melo, José de, Portuguese leader  
[916](#).  
Carver, John, governor of Plymouth Colony



[926](#), [926](#).  
Cary, Lucius  
*See* [Falkland, Lucius Cary, lord, English parliamentarian](#).  
Carystus  
[190](#).  
Casablanca  
[295](#), [529](#), [1132](#), [1132](#), [1378](#), [1378](#), [1699](#), [2614](#), [2615](#), [3919](#), [3919](#), [3922](#), [3924](#).  
Casa da Índia, Portugal  
[918](#).  
Casa de Contratación, Spain  
[908](#), [909](#), [909](#), [911](#).  
Casado, Segismundo, Spanish leader  
[1932](#).  
Casale  
[656](#).  
Casamance  
[4351](#), [4378](#), [4379](#), [4381](#).  
Casanova, Carlos Vides, Salvadoran leader  
[3669](#).  
Casa Pia, Lisbon orphanage  
[731](#).  
Casas Viejas  
[1927](#).  
Casco Bay  
[926](#).  
Casement, Roger  
[1544](#), [1858](#), [1858](#), [2808](#).  
Caserio, Santo, Italian anarchist  
[1195](#).  
Cashel  
[425](#), [425](#); synod of, [444](#).  
Cashin, Michael P., Newfoundland leader  
[2235](#).  
Casimire-Périer, Jean, French leader  
[1187](#).  
Casimir I, the Restorer  
[486](#).  
Casimir II, the Just  
[487](#).  
Casimir III, the Great  
[555](#), [555](#), [555](#).

Casimir IV, king of Poland  
[550](#), [555](#), [556](#), [556](#), [557](#), [632](#).

Caspian Sea  
[116](#), [120](#), [206](#), [272](#), [272](#), [302](#), [319](#), [797](#), [816](#), [1258](#), [1351](#), [2595](#), [3314](#), [3337](#).

Cass, Lewis, U.S. leader  
[1579](#).

Cassa del Mezzogiorno, Italy  
[2929](#).

Cassander, king of Macedonia  
[209](#), [209](#), [209](#), [209](#), [209](#).

Cassano, battle of  
[1011](#), [1011](#).

Cassel, battle of  
[520](#).

Cassel, Ernest  
[1133](#).

Cassian of Marseilles, Christian monk  
[401](#), [406](#).

Cassino  
[2617](#), [2618](#).

Cassiodorus, Flavius Magnus Aurelius, scholar  
[268](#), [406](#).

Cassius, Caius Avidius, Roman general  
[254](#).

Cassius, Lucius Spurius, Roman consul  
[225](#).

Cassius Longinus, Caius, Roman general  
[241](#), [241](#).

Castaneda, Carlos, U.S. leader  
[2210](#).

Castañeda, Salvador, Salvadoran leader  
[2282](#), [3662](#).

Casteau, Belgium  
[2727](#).

Castelar y Ripoll, Emilio, Spanish leader  
[1203](#).

Castelfidaro, battle of  
[1212](#).

Castel Gandolfo  
[2954](#).

Castellfuerte, marqués de, Spanish colonial administrator

[913](#).  
Castelli, Juan José, Latin American commander  
[1649](#).  
Castelo Branco, Humberto, Brazilian leader  
[3613](#), [3614](#).  
Castelo Melhor, of  
[727](#), [727](#), [727](#).  
caste system  
[73](#), [129](#), [129](#), [830](#), [1395](#).  
Caste War, Mexico  
[2293](#).  
Castiglione, Baldassare, Italian writer  
[607](#).  
Castiglione, Francesco  
*See* [Pius VIII, pope](#).  
Castile  
[281](#), [419](#), [420](#), [420](#), [420](#), [420](#), [420](#), [443](#), [444](#), [476](#), [476](#), [478](#), [479](#), [480](#), [480](#), [480](#), [480](#),  
[480](#), [481](#), [511](#), [521](#), [525](#), [525](#), [526](#), [528](#), [528](#), [528](#), [528](#), [529](#), [529](#), [601](#), [601](#), [601](#), [601](#),  
[603](#), [604](#), [613](#), [722](#), [894](#), [894](#), [895](#), [908](#), [909](#), [909](#), [909](#), [909](#), [909](#), [1931](#); union with Aragon,  
[527](#).  
Castilla, Ramón, Latin American leader  
[1670](#), [1670](#), [1670](#), [2243](#), [2243](#).  
Castilla del Oro  
[895](#).  
Castillo Armas, Carlos, Guatemalan leader  
[3649](#), [3649](#), [3649](#), [3649](#), [3650](#).  
Castlebar, battle of  
[701](#).  
Castle of St. Angelo, Rome  
[614](#).  
Castlereagh, viscount, Robert Stewart, English leader  
[1032](#), [1045](#), [1047](#), [1272](#).  
Castracani, Castruccio, lord of Lucca  
[534](#).  
Castro, Cipriano, Latin American leader  
[1675](#), [1675](#), [1676](#), [1676](#), [1676](#).  
Castro, Inez de, murder of  
[528](#).  
Castro, León Cortés, Costa Rican leader  
[2287](#).  
Castro, Pimenta de, Portuguese dictator

1934.  
Castro Jijón, Ramón, Ecuadorian leader  
3567.  
Castro Madriz, José María, Latin American leader  
1685.  
Castro Ruz, Fidel, Cuban leader  
2637, 2644, 2657, 3404, 3406, 3465, 3541, 3567, 3592, 3605, 3659, 3714, 3714, 3714, 3714, 3715, 3715, 3715, 3715, 3715, 3715, 3715, 3715, 3715, 3716, 3716, 3716, 3717, 3717, 3717, 3717, 3718, 3718, 3719, 3720, 3721, 3721, 3721, 3721, 3722, 3722, 3722, 3723, 3724, 3725, 3726, 3726, 3726, 3727.  
Castro Ruz, Raúl, Cuban leader  
3714, 3716, 3726.  
Catalan Center, political party  
1204.  
Catalan Charter of Autonomy  
1926.  
Catalan Grand Company  
565, 565, 565, 565.  
Catalonia  
419, 419, 476, 477, 477, 479, 479, 525, 525, 601, 604, 606, 653, 657, 718, 719, 719, 720, 720, 721, 722, 725, 727, 908, 1034, 1062, 1204, 1204, 1920, 1920, 1921, 1922, 1925, 1926, 1928, 1928, 1929, 1929, 1930, 1931, 1931, 1932, 2892, 2895, 2899, 2901; union with Aragon, 477, 479; separatism, 1921; autonomy, 2898.  
Catalonian Union  
1921.  
Catana  
184, 194, 196, 199.  
Catania  
2617.  
Catargiu, Barbu, Romanian leader  
1314.  
Catargiu, Lascar, Romanian leader  
1317.  
Cateau-Cambrésis, treaty of  
588, 602, 602, 608, 612.  
catechisms  
609, 614.  
Caterpillar tractor  
988.  
Catesby, Robert, English conspirator  
589.

Catharists

[469](#), [544](#).

cathedrals

[443](#).

Catherine, wife of Henry V of England

[522](#).

Catherine I, empress of Russia

[783](#), [785](#), [786](#).

Catherine II, the Great

[578](#), [665](#), [766](#), [770](#), [782](#), [783](#), [788](#), [789](#), [789](#), [789](#), [789](#), [789](#), [789](#), [789](#), [789](#), [790](#), [1437](#);  
Greek Scheme, [1272](#).

Catherine of Aragon, wife of Henry VIII

[585](#), [585](#), [586](#), [586](#), [586](#).

Catherine of Braganza, wife of Charles II of England

[648](#), [674](#), [727](#).

Catherine of Siena

[530](#).

Catholic Action Committee, Czechoslovakia

[3124](#).

Catholic Association

[1051](#), [1051](#), [1052](#).

Catholic Center Party, Germany

[1235](#), [1235](#), [1971](#), [1986](#).

Catholic Church

See [Roman Catholic Church](#).

Catholic Conservatives, Switzerland

[2970](#).

Catholic Defense Association, Great Britain and Ireland

[1165](#), [1166](#).

Catholic Emancipation Act, England

[1051](#), [1068](#).

Catholic emancipation policy, England

[1051](#), [1051](#), [1051](#).

Catholic League

[616](#), [617](#).

Catholic Party, Belgium

[1882](#), [1882](#).

Catholic Party, Italy

[1942](#).

Catholic Popular Action Party

[1928](#).

Catholic Relief Act, Ireland  
[701](#), [701](#).

Catilinarian Conspiracy  
[239](#).

Catiline, Lucius Sergius Catilina  
[239](#), [240](#).

Catinat, Nicholas de, French marshal  
[654](#).

Cato, Marcus Porcius, Roman leader  
[229](#), [240](#), [241](#).

Cato Street conspiracy, England  
[1046](#), [1047](#).

Catroux, Georges, French leader  
[2377](#), [2382](#).

Cattaneo, Carlo, Italian leader  
[1092](#), [1092](#).

Cattaro  
[563](#).

Catullus, Caius Valerius, Roman poet  
[239](#).

Catulus, Quintus Lutatius, Roman consul  
[230](#), [237](#).

Cauca  
[1673](#), [1674](#).

Caucasia  
[274](#), [291](#), [319](#), [319](#), [323](#), [439](#), [532](#), [797](#), [799](#), [806](#), [807](#), [811](#), [812](#), [955](#), [1329](#), [1334](#),  
[1334](#), [1345](#), [1346](#), [1349](#), [1740](#), [1748](#), [1749](#), [1753](#), [2067](#), [2073](#), [2080](#), [2319](#), [2595](#),  
[2627](#), [2637](#).

Cauchy, Augustin-Louis, mathematician  
[1039](#), [1040](#).

Caudine Forks  
[227](#).

Cavagnari, Pierre  
[1108](#).

Cavaignac, Louis, French commander  
[1081](#).

Cavaliers  
[592](#), [674](#), [676](#). *See* [Royalists, English Civil War](#).

Cavendish, Margaret, duchess of Newcastle  
[639](#).

Cavite

[1481](#), [2627](#); mutiny, [1481](#).  
Cavour, Camillo Benso di  
[1091](#), [1210](#), [1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1212](#), [1212](#), [1212](#), [1213](#).  
Cawnpore  
[1396](#).  
Caxton, William, printer  
[516](#).  
Cayenne  
[641](#).  
Cayley, George, aviation pioneer  
[990](#).  
Cayman Islands  
[2636](#), [3765](#).  
Cayuga Indians  
[935](#).  
Ceará  
[915](#), [916](#).  
Ceaușescu, Nicolae, Romanian leader  
[2727](#), [2731](#), [3128](#), [3250](#), [3250](#), [3250](#), [3250](#), [3252](#), [3252](#), [3253](#), [3254](#), [3254](#), [3254](#),  
[3254](#), [3255](#), [3256](#).  
Cebu  
[574](#), [865](#), [867](#).  
Cecil, 1st viscount, Robert, British diplomat  
[1784](#).  
Cecil, William  
[588](#).  
Cecryphaleia  
[192](#).  
Cedar Creek, battle of  
[1589](#).  
cedars of Lebanon  
[101](#), [108](#).  
Cedeño, Arévalo, Venezuelan leader  
[2269](#).  
Cedillo, Saturnino, Mexican leader  
[2299](#).  
Cedras, Raoul, Haitian leader  
[3750](#), [3752](#), [3753](#).  
Celaya, battle of  
[2293](#).  
Celebes

[841](#), [2627](#), [4119](#), [4125](#), [4125](#).  
Celera Genomics Corp  
[2705](#), [3441](#).  
Celestin, Capuchin monk in Africa  
[875](#).  
Celestine I, pope  
[401](#).  
Celestine II, pope  
[468](#).  
Celestine IV, pope  
[458](#).  
Celestine V, pope  
[469](#), [470](#).  
Cellini, Benvenuto, Italian artist  
[597](#), [607](#).  
cells  
[1151](#), [1153](#), [1153](#), [1153](#), [1154](#).  
celluloid  
[984](#).  
cellulose fibers  
[984](#).  
Celman, Miguel Juárez, Latin American leader  
[1660](#), [1660](#).  
Celsius, Anders, scientist  
[761](#).  
Celtiberians  
[228](#), [233](#), [233](#).  
Celts  
[46](#), [209](#), [209](#), [209](#), [222](#), [228](#), [279](#), [402](#), [402](#), [402](#), [421](#), [421](#), [421](#), [421](#), [422](#), [422](#), [424](#),  
[425](#).  
Cem, Ismail, Turkish leader  
[2698](#), [3233](#), [3786](#), [3805](#).  
Cenomani  
[228](#), [233](#).  
censorship  
[1858](#), [1871](#), [3129](#); England, [674](#); 17th century England, [681](#); Portugal, [730](#), [2912](#);  
Italy, [742](#), [744](#), [1947](#); Germany, [1071](#); Central Europe, [1073](#); Prussia, [1096](#); Russia,  
[1258](#), [1258](#), [3294](#), [3300](#); Poland, [1267](#), [3112](#), [3116](#); Ottoman Empire, [1345](#); Libya,  
[1393](#); Austria, [2007](#); Korea, [2489](#), [2491](#), [4203](#), [4212](#); Japan, [2520](#); France, [2850](#);  
Spain, [2894](#), [2896](#); Czechoslovakia, [3134](#); Hungary, [3153](#); Croatia, [3191](#); Greece,  
[3218](#), [3220](#); Romania, [3253](#), [3254](#); Kirghizstan, [3342](#); Uruguay, [3529](#), [3531](#); Peru,



[3561](#); Brazil, [3619](#); Iran, [3786](#), [3830](#); Turkey, [3789](#), [3792](#); Sri Lanka, [4032](#); Maldives, [4044](#); Malaysia, [4114](#); Taiwan, [4184](#); Cameroon, [4332](#).

Censorship Act, Finland  
[1254](#).

census  
[156](#); in Ottoman Empire, [1330](#), [1345](#), [1347](#); in India, [1394](#); in Malaya, [1411](#); U.S., [1617](#).

Center Alliance, Poland  
[3112](#).

Center Party, Cumman na nGaedheal  
[1873](#).

Center Party, Germany  
[1782](#), [1975](#).

Center-Right Hungarian Democratic Forum  
[3156](#).

Center Union Party, Greece  
[3216](#).

Central Administration of the North Sea Route  
[998](#).

Central Africa  
[344](#), [352](#), [869](#), [953](#), [1510](#), [1538](#), [1546](#), [2554](#), [2555](#), [2652](#), [4320](#), [4320](#), [4408](#), [4422](#), [4453](#), [4453](#), [4455](#).

Central African Republic  
[2867](#), [4327](#), [4333](#), [4333](#), [4334](#), [4360](#); independence, [4333](#); student unrest, [4333](#).

Central America  
[28](#), [34](#), [34](#), [40](#), [40](#), [40](#), [40](#), [41](#), [61](#), [570](#), [575](#), [579](#), [896](#), [911](#), [956](#), [961](#), [1099](#), [1655](#), [1680](#), [1680](#), [2274](#), [2278](#), [2600](#), [2643](#), [3475](#), [3478](#), [3637](#), [3658](#); and U.S., [2187](#), [3436](#), [3471](#); WWI, [2274](#).

Central American Common Market, CACM  
[3468](#), [3662](#).

Central American Confederation  
[1680](#), [1681](#), [1682](#), [1685](#).

Central American Conference  
[2274](#).

Central American Court of Justice  
[2274](#), [2274](#), [2283](#).

Central American Defense Council, CONDECA  
[3471](#).

Central Asia  
[67](#), [279](#), [852](#), [962](#), [1259](#), [1261](#), [3271](#), [4158](#).

Central Bank

3525.  
Central Bank, Brazil  
3628.  
Central Bank, Philippines  
4291, 4291.  
Central Bank of Uzbekistan  
3388.  
Central Committee, Austria  
1089.  
Central Committee, Soviet  
2067.  
Central Committee of the Chinese Communist Party, CCP  
4156.  
Central Committee of the Communist Party (CPSU)  
3263, 3300.  
Central Congo  
1545.  
Central Corporative Committee, Italy  
1952.  
Central Electricity Board, Great Britain  
1844.  
Central Europe  
1021, 1034, 1071, 1142, 1230, 1702, 1984, 2718, 2728, 2731, 2734, 2964; between  
Wars, 1829, 1834, 1835; cost of WWII, 2700.  
Central Intelligence Agency, CIA  
2651, 3394, 3406, 3414, 3510, 3511, 3511, 3512, 3642, 3648, 3649, 3649, 3651,  
3696, 3717, 3735, 3736, 3816, 4436.  
Central Pacific Railroad  
989.  
Central Powers  
1266, 1743, 1746, 1748, 1750, 1751, 1753, 1758, 1758, 1759, 1761, 1769, 1772,  
1772, 1773, 1774, 1774, 1774, 1776, 1777, 1807, 1941, 2053, 2064, 2064, 2066,  
2110, 2111, 2113, 2318.  
Central Provinces, India  
836, 1397.  
Central Treaty Organization, CENTO  
2637, 2654, 3771.  
centrifugal cream separator  
1251.  
Cenú  
570.

Ceos

[202.](#)

Cephalonia

[168](#), [501](#).

Cerati, monsignor, Italian educator

[744.](#)

Ceraunus

*See* [Seleucus III Soter, king of Syria](#).

Cerchi, Vieri, Ghibelline leader

[534.](#)

Cerda, Pedro Aguirre, Chilean leader

[2247.](#)

Cerdagne

[477](#), [479](#), [523](#), [597](#), [604](#), [648](#).

Cerealis, Petillius, Roman general

[251](#), [251](#).

Ceres

[1038.](#)

Cerezo Arévalo, Marco Vinicio, Guatemalan leader

[3655](#), [3655](#).

Cerignola, battle of

[607.](#)

Cerna, Vicente, Latin American leader

[1681.](#)

Cerna River

[1797.](#)

Cernavoda

[1806.](#)

Cernigov

[490.](#)



ernik, Oldrich, Czech leader

[3128](#), [3131](#).

Cernius, Jonas, Lithuanian leader

[2094.](#)

Cerro, Luis Sánchez, Latin American leader

[2260.](#)

Cerro Corá

[1665.](#)

Cerro de Pasco, Peruvian firm

[1670](#), [2259](#), [2262](#), [3555](#).

Cerro Gordo, battle of

[1578](#).  
Cerro Maravilla  
[3732](#).  
Cervantes Saavedra, Miguel de, Spanish writer  
[604](#).  
Cesalpino, Andrea, Italian botanist  
[638](#).  
Céspedes, Carlos Manuel de, Cuban leader  
[2303](#), [2303](#).  
Cetewayo, African leader  
[1556](#).  
Cetshwayo, African leader  
[1552](#).  
Cettinje, taken by Austrians  
[1744](#).  
Ceuta  
[323](#), [528](#), [529](#), [1376](#).  
Cévennes  
[714](#).  
Ceyhan, Turkey  
[3804](#).  
Ceylon  
[129](#), [130](#), [131](#), [134](#), [134](#), [158](#), [326](#), [336](#), [336](#), [338](#), [338](#), [339](#), [339](#), [341](#), [341](#), [341](#), [596](#),  
[833](#), [836](#), [1018](#), [1372](#), [2636](#), [2763](#), [3958](#), [4026](#), [4026](#), [4026](#), [4026](#), [4026](#), [4026](#), [4027](#),  
[4027](#), [4028](#), [4028](#), [4028](#), [4028](#), [4028](#), [4028](#), [4029](#), [4029](#), [4030](#), [4030](#), [4031](#), [4031](#), [4032](#),  
[4032](#), [4032](#), [4154](#); and Great Britain, [4026](#), [4027](#); dominion, [4026](#); and U.S., [4026](#);  
and China, [4027](#), [4028](#); student unrest, [4032](#). *See* [Sri Lanka](#).  
Ceylon Worker's Congress, CWC  
[4034](#).  
Cézanne, Paul, artist  
[1146](#).  
Chaadayev, Paul A., writer  
[1258](#).  
Chaban-Delmas, Jacques, French leader  
[2860](#).  
Chabi, Korean king  
[161](#).  
Chablais  
[625](#), [626](#).  
Chabrias, Athenian general  
[201](#), [203](#).

Chacabuco, battle of  
[1648](#).

Chachapoyas  
[898](#).

Ch'a Chi-ch'ol, bodyguard  
[4209](#).

Chaco  
[570](#), [1666](#), [1666](#), [1666](#), [2248](#), [2248](#).

Chaco Boreal  
[2255](#).

Chaco Canyon  
[40](#).

Chacón, Lázaro, Guatemalan leader  
[2278](#).

Chaco War, Bolivia and Paraguay  
[1717](#), [1721](#), [2248](#), [2255](#), [2255](#), [2255](#).

Chad  
[1509](#), [1527](#), [2556](#), [2679](#), [3948](#), [3948](#), [3948](#), [3949](#), [4320](#), [4325](#), [4332](#), [4336](#), [4336](#), [4336](#), [4336](#), [4337](#), [4381](#); independence, [4336](#).

Chadwick, Edwin, British reformer  
[1048](#).

Chadwick Commission, England  
[1049](#).

Chaerea, Cassius, Roman conspirator against Caligula  
[248](#).

Chagadai, Mongol leader  
[374](#).

Chagga  
[347](#).

Chaghadai khanate  
[374](#), [376](#).

Chagri Beg, Seljuk leader  
[301](#).

Chahar, Chinese province  
[852](#), [2476](#), [2481](#).



## Subject Index

### Page 16

Chaillu, Paul du, explorer

[1508.](#)

Chakravarti Rajagopalachari

[3955.](#)

Chakste, J. nis, Latvian leader

[2099.](#)

Chakuamba, Gwanda, Malawian leader

[4461.](#)

Chalcedon

[178](#), [200](#), [275](#), [275](#), [428](#), [429](#); ecumenical council, [401](#).

Chalcidian League

[200](#), [200](#).

Chalcidice

[168](#), [182](#), [182](#), [182](#), [187](#), [200](#), [202](#).

Chalcis

[176](#), [182](#), [182](#), [182](#), [182](#), [184](#), [184](#), [184](#), [184](#), [187](#), [205](#), [210](#), [222](#).

Chalcocondylas, Laonicus, historian

[569.](#)

Chaldeans

[86](#), [87](#), [87](#), [88](#), [88](#), [106](#).

Chaldiran, battle of

[792](#), [812](#).

Chalier, Jacobin mayor of Lyons

[1005.](#)

Challenger, HMS, voyage of investigation

[1152.](#)

Challenger, space shuttle

[2682.](#)

Châlons, battle of

403.  
Chaltin, Louis, Belgian commander  
1525.  
Chalukya dynasty  
133, 325, 326, 326, 326, 326, 326, 326, 326, 326, 327, 327, 327, 327, 327, 328, 328, 328,  
331, 336, 336, 336, 337.  
Cham  
136, 340, 340, 340, 367, 399.  
Chama Cha Mapinduzi, CCM  
4426.  
Chamberlain, Joseph, British leader  
1120, 1162, 1162, 1170.  
Chamberlain, Neville, British leader  
1835, 1835, 1835, 1835, 1835, 1839, 1851.  
Chamber of Deputies, Austria  
1089.  
Chamber of Deputies, France  
1058, 1081, 1191, 1191, 1194, 1194.  
Chamber of Deputies, Italy  
1210, 2950.  
Chamber of Deputies, Portugal  
1065, 1207.  
Chamber of Notables, France  
1053.  
Chamber of Notables, Netherlands  
1058.  
Chambers of Reunion, France  
713.  
Chambord, count of, Henri d'Artois  
1189, 1189, 1190.  
Chambre de comptes, France  
452.  
Chamorro, Diego, Nicaraguan leader  
2283, 3675.  
Chamorro, Emiliano, Nicaraguan leader  
2283, 2283, 2283, 2283.  
Chamorro, Fruto, Latin American leader  
1683.  
Chamorro, Pedro Joaquín, Latin American leader  
1683, 3675, 3676.  
Chamorro, Violeta, Nicaraguan leader



[3677](#), [3678](#), [3683](#), [3683](#), [3683](#), [3684](#).

Champa  
[132](#), [136](#), [340](#), [373](#), [375](#), [398](#), [398](#), [399](#), [399](#), [840](#).

Champagne  
[413](#), [450](#), [1755](#), [1791](#), [1791](#); battles of, [1738](#), [1755](#), [1791](#), [1801](#).

Champanir  
[334](#), [831](#).

Champassak  
[1409](#).

Champaubert, battle of  
[1031](#).

Championnet, Jean, French soldier  
[1011](#).

Champlain, Samuel de, French explorer  
[920](#), [920](#), [921](#), [921](#).

Champlitte, Guillaume de, conqueror of Achaea  
[508](#).

Chan Buddhism  
[158](#), [158](#), [370](#), [373](#), [397](#).

Chancas  
[570](#).

Chancellor, John  
[2389](#).

Chancellor, Richard, British explorer  
[629](#), [993](#).

Chancellorsville, battle of  
[1588](#), [1589](#).

Chan Chan  
[60](#).

Chandella dynasty  
[325](#), [325](#), [331](#).

Chandernagor  
[666](#), [835](#), [835](#).

Chandigarh  
[3978](#).

Chandor  
[327](#).

Chandragupta I, king of India  
[129](#), [130](#), [133](#), [213](#).

Chandragupta II Vikramaditya, king of India  
[130](#).

Chandragupta Maurya

[73](#), [73](#), [213](#).

Chaney, James, civil rights activist

[3409](#).

Changamire Dombo

[889](#).

Changamire Dombo I, ruler of Rozvi Empire

[889](#).

Chang'an, Western Han capital

[137](#), [154](#), [155](#), [156](#), [157](#), [157](#), [158](#), [159](#), [159](#), [324](#), [367](#), [368](#), [368](#), [369](#), [369](#), [370](#), [370](#), [370](#), [378](#), [384](#).

Changchun

[375](#), [1463](#), [1720](#), [2473](#), [2473](#), [4143](#); conference, [2502](#).

Chang Chun-hsiung, Taiwanese leader

[4186](#).

Changchun Railway

[4146](#).

Chang Myŏn, Korean leader

[4200](#), [4201](#), [4201](#), [4202](#).

Changsha

[2468](#), [2469](#), [2485](#).

Changsu, Korean king

[161](#).

Chang Sŏng-p, artist

[1429](#).

Channel ports

[1738](#), [1739](#), [1789](#).

Channel Tunnel

[2727](#), [2794](#), [2882](#).

Chantabun

[1406](#), [1407](#).

Chanute, Octave, aviation pioneer

[990](#).

Chapanoŭ family

[1328](#).

Chapas, Chapotkatas

[325](#).

Chaplin, Charlie, actor

[1816](#).

Chapultepec, battle of





[660](#), [660](#), [752](#).  
Charles VII, king of France  
[515](#), [522](#), [522](#), [533](#).  
Charles VIII, king of France  
[532](#), [533](#), [537](#), [597](#), [607](#).  
Charles VIII, king of Sweden  
[554](#), [554](#).  
Charles IX, king of France  
[598](#), [598](#), [599](#), [599](#), [628](#), [633](#).  
Charles X, king of France  
[599](#), [599](#), [1058](#), [1059](#), [1060](#), [1060](#), [1060](#).  
Charles X, king of Sweden  
[761](#).  
Charles X Gustavus, king of Sweden  
[761](#), [761](#).  
Charles XI, king of Sweden  
[761](#), [761](#), [762](#), [766](#), [768](#).  
Charles XII, king of Sweden  
[657](#), [657](#), [659](#), [761](#), [762](#), [769](#).  
Charles XIII, king of Sweden  
[765](#), [1026](#), [1075](#).  
Charles XIV, king of Sweden  
[1075](#). *See* [Bernadotte, Jean-Baptiste, French general and later king of Sweden](#).  
Charles XVI, king of Sweden  
[3064](#).  
Charles XV of Sweden and Norway  
*See* [Karl XV, king of Sweden and Norway](#).  
Charles, Eugenia, Dominican leader  
[3762](#).  
Charles Albert, elector of Bavaria  
[660](#); proclaimed Holy Roman emperor as Charles VII, [660](#).  
Charles Albert, king of Sardinia-Piedmont  
[1091](#), [1092](#), [1092](#), [1093](#), [1093](#).  
Charles Albert, prince of Carignan  
[1067](#).  
Charles Augustus Christian, duke of the palatinate of Zweibrücken  
[759](#).  
Charles Edward, the Young Pretender  
[687](#).  
Charles Emmanuel I, king of Savoy  
[612](#).

Charles Emmanuel II, king of Savoy  
[612](#), [738](#).

Charles Emmanuel III, king of Savoy  
[739](#).

Charles Felix, king of Piedmont  
[1067](#).

Charles Gustavus  
[776](#).

Charles Gustavus of Pfalz-Zweibrücken  
*See* [Charles X Gustavus, king of Sweden](#).

Charles Martel, Frankish ruler  
[290](#), [407](#), [407](#), [407](#), [407](#), [407](#), [408](#), [419](#).

Charles of Anjou  
[452](#), [452](#), [452](#), [452](#), [459](#), [469](#), [495](#), [507](#), [526](#), [533](#), [533](#), [534](#), [534](#), [564](#); as king of Sicily, [451](#), [459](#), [564](#); as king of Albania, [564](#).

Charles of Durazzo and Naples  
[560](#).

Charles of Ghent  
*See* [Charles I, king of Spain \(later Charles V as Holy Roman emperor\)](#).

Charles of Habsburg  
[658](#), [659](#).

Charles of Lorraine, cardinal  
[598](#).

Charles of Luxemburg  
*See* [Charles IV, Holy Roman emperor](#).

Charles of Naples  
[745](#).

Charles of Nevers, duke of Mantua  
[612](#).

Charles of Sweden  
[768](#).

Charles of Valois  
[520](#), [520](#), [533](#), [540](#).

Charles Peter Ulrik, duke and crown prince of Sweden  
[763](#).

Charles Robert of Anjou  
*See* [Charles I, king of Hungary](#).

Charles the Bad, king of Navarre  
[521](#).

Charles the Bald, duke of Burgundy  
[415](#).

Charles the Bold, duke of Burgundy  
[524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [542](#), [546](#), [595](#), [595](#).

Charles the Great  
*See* [Charlemagne](#).

Charles Theodore, elector Palatine  
[759](#), [759](#).

Charles Theodore, prince-regent of Belgium  
[2818](#).

Charleston  
[938](#), [943](#), [950](#), [951](#), [951](#), [1574](#), [1585](#).

Charles Town  
[938](#).

Charlotte, grand duchess of Luxembourg  
[2835](#), [2836](#), [3000](#).

Charlottetown, conference  
[1630](#).

Charrúa Indians  
[570](#), [1667](#).

chartered companies  
[579](#), [911](#).

Charter Oak  
[934](#).

Charter Oath, Japan  
[1447](#).

Charter of 1663  
[1577](#).

Charter of Amiens  
[1198](#).

Charter of Human Rights and Freedoms, Canada  
[3460](#).

Charter of Rhode Island and Providence Plantations  
[933](#).

Charter of Worms  
[455](#).

charters  
[444](#).

Chartist movement, England  
[1049](#), [1049](#), [1049](#), [1049](#), [1049](#), [1050](#), [1050](#), [1495](#).

Chartres  
[450](#), [452](#), [524](#), [599](#); cathedral, [452](#).

Chase, Salmon Portland, U.S. leader

1580.  
Chashtana, Indian ruler  
132, 132.  
Chatalja  
1137, 1137, 1788.  
Chateaubriand, François René of  
1035, 1037.  
Château Gaillard, France  
445, 450, 450.  
Château-Thierry  
1031, 1781, 1812.  
Chatham, earl of, William Pitt, English leader  
688, 945.  
Chatham Islands  
866.  
Chatichai Choonhavan, Thai leader  
4071, 4071.  
Châtillon, congress of  
1031.  
Châtillon, François d'Andelot  
598.  
Châtillon, Gaspard, admiral of Coligny  
598, 598.  
Châtillon, Sebastien Castellio, cardinal  
598.  
Châtillon brothers  
598.  
Chattahoochee River  
1589.  
Chattanooga  
1588, 1589.  
Chatti  
252, 254.  
Chau  
2524.  
Chaucer, Geoffrey, writer  
513.  
Chaudhri, Fazal Elahi, Pakistani leader  
4007.  
Chaudhry, Mahendra, Fijian leader  
4287, 4287.



Chauhan dynasty  
[331](#).

Chaul, battle of  
[830](#).

Chaumette, Pierre Gaspard, French leader  
[1004](#), [1007](#).

Chaumont, treaties of  
[1031](#).

Chauny  
[1755](#), [1812](#).

Chauri Chaura affair, India  
[2436](#), [2436](#).

Chautemps, Camille, French leader  
[1913](#), [1914](#), [1914](#).

Chauvin, French explorer  
[920](#).

Chávez, Carlos, composer  
[2241](#).

Chavez, Cesar, union leader  
[3411](#).

Chavez, Dennis  
[2204](#).

Chávez, Federico, Latin American leader  
[3522](#).

Chavez Frí, Hugo, Venezuelan leader  
[3592](#).

Chavez Frías, Hugo, Venezuelan leader  
[3604](#), [3605](#), [3605](#), [3605](#), [3606](#), [3606](#), [3727](#).

Chavez Ravene Naval Base  
[2214](#).

Chavin  
[57](#), [63](#).

Chavín de Huantar  
[57](#).

Chayanta  
[913](#).

Chechen-Russian War  
[3370](#).

Chechens  
[3271](#).

Chechnya

[2756](#), [3365](#), [3367](#), [3367](#), [3368](#), [3370](#), [3433](#); and Russia, [3365](#), [3366](#), [3366](#), [3366](#), [3367](#), [3367](#), [3367](#), [3368](#), [3368](#), [3370](#), [3370](#), [3370](#), [3371](#).

Chefoo Convention

[1418](#).

Cheilon, Spartan ephor

[179](#).

Cheka

See [Extraordinary Commission to Combat Counter-Revolution \(Cheka, G.P.U\), Russia](#).

Chekhov, Anton, writer

[1256](#).

Chelebi, Kalender, Anatolian rebel

[793](#).

Chelmsford, baron, Frederic John Napier, viceroy of India

[2432](#), [2432](#).

Chelsea

[2776](#).

Chemin des Dames, taken by French

[1801](#), [1801](#), [1812](#).

chemistry

[1041](#), [1042](#), [1043](#), [1151](#), [1152](#), [1731](#), [1732](#), [1732](#), [1735](#), [2703](#).

chemotherapy

[1154](#).

Chemulpo

[971](#), [1430](#).

Chen Baisha, Chinese philosopher

[851](#).

Chen Boda, Chinese leader

[4156](#), [4164](#).

Chen Cheng, Taiwanese leader

[4182](#).

Chen Duxiu, educator

[2464](#), [2465](#), [2465](#), [2465](#), [2469](#).

Chen dynasty

[158](#), [159](#).

Cheng, Chinese king

[138](#).

Chengde, reign title of Wu-Tsung

[376](#).

Chengdu

[156](#), [368](#).

Cheng Hao, scholar  
[373](#).

Cheng Ho, Zheng He  
[281](#), [339](#), [376](#).

Cheng Yi, scholar  
[373](#).

Cheng-Zhu, Neo-Confucian school  
[373](#), [373](#), [375](#), [851](#), [854](#).

Chengzu, Yongle  
[376](#), [399](#).

Chen Jiongming, Chinese leader  
[2465](#).

Chen Rong, painter  
[373](#).

Chen Shui-bian, Taiwanese leader  
[4178](#), [4186](#).

Chen Yun, Chinese leader  
[4166](#).

Chen Ziming, dissident  
[4169](#).

Cheops  
*See* [Khufu, king of Egypt](#).

Chephren  
*See* [Khafre, king of Egypt](#).

Chera dynasty  
[328](#), [337](#).

Cherasco, treaty of  
[600](#), [612](#), [739](#).

Cherati, Ikhlef, Islamic militant  
[3937](#).

Cherbourg  
[513](#), [521](#), [2619](#).

Cheribon Agreement  
[4119](#), [4120](#).

Cherkassy  
[2597](#).

Chernaiev, Mikhail, Russian general  
[1106](#).

Chernenko, Konstantin  
[3292](#), [3293](#).

Chernobyl, explosion of atomic power station

[2641](#), [2682](#), [2703](#), [2874](#), [3010](#), [3065](#), [3294](#), [3297](#), [3384](#), [3385](#).  
Chernomyrdin, Viktor, Russian leader  
[3369](#).  
Chernyshevsky, Nicholas, Russian leader  
[1260](#).  
Cherokee Indians  
[939](#), [941](#), [1574](#), [1575](#), [1576](#).  
Cherry Society, Japan  
[2511](#).  
Cherry Valley, massacre of, New York  
[949](#).  
Cherson  
[431](#), [438](#).  
Chersonese  
[180](#), [187](#), [189](#), [200](#).  
Chervenkov, Vulko, Bulgarian leader  
[3237](#), [3238](#).  
Chesapeake, U.S. ship  
[1569](#).  
Chesapeake Bay  
[932](#), [937](#), [951](#).  
Chesapeake Indians  
[925](#).  
Chesapeake-Leopard Affair  
[1569](#).  
Cheshme  
[808](#), [809](#).  
Cheslav, Serbian leader  
[494](#).  
Chesney, Francis, British explorer  
[1331](#).  
Chester  
[248](#).  
Chevalier, Michel, economist  
[1035](#).  
Chevron Oil Company  
[4442](#).  
Chewa  
[888](#).  
Chewa-Maravi peoples  
[888](#).

Cheyenne Indians

[1589](#).

Chiang Kai-shek

*See* [Jiang Jieshi \(Chiang Kai-shek\), Chinese leader](#).

Chiang Mai

[330](#).

Chiapas

[570](#), [902](#), [902](#), [913](#), [913](#), [1655](#), [1655](#), [3703](#), [3708](#), [3710](#).

Chiara, battle of

[657](#).

Chiari, Roberto F., Panamanian leader

[3638](#), [3639](#).

Chiavenna

[749](#).

Chibcha Indians

[897](#).

Chicago

[959](#), [984](#), [987](#), [1581](#), [1597](#), [2190](#), [2209](#), [2214](#), [2215](#), [2543](#), [2644](#), [2665](#), [3409](#), [3413](#),  
[3416](#), [3417](#), [3418](#).

Chicago, University of

[3514](#).

Chicago Eight

[3417](#), [3419](#).

Chicago World's Fair

[2644](#).

Chicama River

[60](#).

Chichén Itzá

[55](#), [570](#).

Chichester-Clark, James, Irish leader

[2781](#), [2781](#).

Chichibu rebellion

[1453](#).

Chichimeca

[903](#).

chiefdoms

[14](#), [14](#), [53](#), [53](#).

Chiengmai

[342](#), [342](#), [845](#), [846](#).

Chifley, Joseph B., Australian leader

[4295](#).

Chigi, Fabio

*See* [Alexander VII, pope](#).

Chihuahua

[2290](#).

Chijong, Korean king

[162](#).

Chikunda

[889](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 17

Childe, Vere Gordon, archaeologist

[35](#), [35](#).

Childeric, Merovingian king

[407](#), [407](#).

child labor

[692](#); Great Britain, [1047](#), [1049](#); France, [1061](#), [1061](#), [1191](#), [1195](#); Austria, [1073](#);  
Netherlands, [1174](#); U.S., [1613](#).

child labor laws

[1061](#), [1174](#), [1191](#).

children

[1022](#), [1061](#), [1061](#), [1191](#), [1194](#); 1800–1914, [1037](#), [1142](#); Great Britain, [1160](#), [1163](#);  
U.S., [1613](#).

Children's Act, England

[1163](#).

Children's Allowances Act

[1880](#).

Children's Crusade

[507](#).

Chile

[40](#), [570](#), [570](#), [660](#), [894](#), [898](#), [898](#), [899](#), [899](#), [899](#), [899](#), [908](#), [909](#), [911](#), [961](#), [987](#), [1199](#),  
[1644](#), [1648](#), [1648](#), [1649](#), [1662](#), [1662](#), [1662](#), [1668](#), [1668](#), [1668](#), [1668](#), [1668](#), [1669](#),  
[1670](#), [1670](#), [1670](#), [1670](#), [1670](#), [1699](#), [1718](#), [2238](#), [2241](#), [2245](#), [2245](#), [2246](#), [2246](#),  
[2248](#), [2254](#), [2255](#), [2259](#), [2270](#), [2600](#), [2669](#), [2686](#), [2698](#), [2801](#), [3022](#), [3465](#), [3465](#),  
[3467](#), [3473](#), [3474](#), [3476](#), [3477](#), [3507](#), [3508](#), [3520](#), [3520](#), [3520](#), [3520](#), [3521](#), [3521](#),  
[3521](#), [3521](#), [3538](#), [3538](#), [3552](#), [3579](#); independence of, [1648](#); civil war in, [1663](#);  
WWI, [1795](#), [2245](#); copper industry, [2245](#); between Wars, [2245](#), [2247](#); WWII, [2247](#);  
and Russia, [3508](#); and U.S., [3511](#), [3511](#), [3512](#), [3513](#), [3513](#), [3520](#); and Cuba, [3511](#);  
reforms under Allende, [3511](#).

Chileanization

[3510](#), [3510](#).





[1698](#), [1699](#), [1699](#), [1703](#), [1703](#), [1706](#), [1710](#), [1720](#), [1726](#), [1726](#), [1738](#), [2072](#), [2192](#), [2444](#), [2460](#), [2463](#), [2473](#), [2478](#), [2487](#), [2487](#), [2489](#), [2491](#), [2492](#), [2524](#), [2524](#), [2527](#), [2528](#), [2632](#), [2634](#), [2637](#), [2637](#), [2640](#), [2642](#), [2643](#), [2643](#), [2719](#), [3957](#), [4140](#), [4140](#), [4140](#), [4141](#), [4141](#), [4142](#), [4143](#), [4144](#), [4144](#), [4148](#), [4154](#), [4175](#), [4189](#), [4224](#);  
postclassical, [276](#), [276](#), [277](#), [279](#), [281](#), [367](#), [367](#), [367](#), [370](#), [373](#); and Southeast Asia, [339](#), [339](#), [340](#), [340](#), [340](#), [341](#), [342](#), [1409](#), [1411](#), [2448](#); Tang government, [370](#), [370](#), [370](#), [371](#); Tang military system, [370](#); Song government, [373](#); Song military system, [373](#); Song society, [373](#); Yuan society, [375](#), [375](#); trade with Siam, [847](#), [847](#); treaties with Russia, [852](#), [853](#); and Korea, [855](#), [1419](#), [1419](#), [1420](#), [1421](#), [1429](#), [1430](#), [1430](#), [1431](#), [1431](#), [1431](#), [1432](#), [1432](#), [1432](#), [1432](#), [1436](#), [1451](#), [1453](#), [1454](#), [1456](#), [1457](#), [2493](#), [2493](#), [2634](#); and Japan, [860](#), [1423](#), [1442](#), [1448](#), [1449](#), [1451](#), [1454](#), [1456](#), [1457](#), [1458](#), [1459](#), [4142](#); and Vietnam, [863](#), [863](#), [1473](#), [1474](#), [1474](#); invasion of Vietnam, [863](#); and Philippines, [867](#), [1480](#), [1480](#); and France, [1194](#); and Russia, [1259](#), [1262](#); and Burma, [1403](#), [1404](#); revolution of 1911, [1408](#), [1425](#); Opium War, [1416](#), [1438](#);  
revolutionary societies, [1420](#); foreign concessions in, [1421](#), [1423](#), [1424](#); loans, [1421](#), [1422](#), [1423](#), [1424](#), [1427](#), [1617](#); Boxer Uprising, [1424](#), [1435](#), [1460](#); republic of, [1425](#), [1426](#), [1427](#), [1427](#); revolution of 1913, [1427](#); and Australia, [1492](#), [1496](#); and Africa, [1558](#), [4436](#), [4466](#); and U.S., [1601](#), [2188](#), [2200](#), [2637](#), [3423](#), [4140](#), [4140](#), [4141](#), [4142](#), [4143](#), [4144](#); immigration to Canada, [1634](#); immigration to Latin America, [1670](#);  
WWI, [1770](#), [1795](#), [1795](#), [2460](#), [2460](#), [2461](#), [2462](#), [2462](#), [2462](#), [2463](#), [2463](#), [2463](#);  
WWII, [2459](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2479](#), [2480](#), [2480](#), [2480](#), [2480](#), [2480](#), [2480](#), [2481](#), [2481](#), [2481](#), [2481](#), [2482](#), [2482](#), [2483](#), [2483](#), [2483](#), [2483](#), [2483](#), [2484](#), [2485](#), [2485](#), [2485](#), [2485](#), [2486](#), [2486](#), [2523](#), [2624](#), [2624](#), [2625](#), [2625](#), [2627](#), [2631](#), [2632](#); between Wars, [2459](#), [2464](#), [2464](#), [2464](#), [2464](#), [2464](#), [2465](#), [2465](#), [2465](#), [2465](#), [2465](#), [2465](#), [2466](#), [2466](#), [2467](#), [2469](#), [2469](#), [2469](#), [2469](#), [2470](#), [2470](#), [2471](#), [2471](#), [2471](#), [2472](#), [2473](#), [2473](#), [2473](#), [2474](#), [2474](#), [2475](#), [2476](#), [2476](#), [2476](#), [2477](#), [2477](#); makeup, [2463](#); Warlord Period, [2465](#); Great Depression, [2470](#); Nanjing decade, [2478](#); modern economy, [2478](#); WWII peace, [2486](#); Revolution, [2487](#); student unrest, [2515](#); post-WWII, [2634](#); cold war, [2649](#); Cultural Revolution, [3284](#); and India, [3960](#); Civil War, [4140](#); North China People's Government, [4143](#); and Tibet, [4145](#), [4146](#); starvation, [4150](#), [4150](#). *See* [Chinese Communist Party \(CCP\)](#); [Chinese Nationalists](#); [Chinese People's Republic \(PRC\)](#); [Sino-Japanese relations](#).

China Democracy Party

[4176](#).

China Foundation for the Promotion of Education and Culture

[2466](#).

China Sea

[1412](#).

Chinb n

*See* [Zhenpan](#).

Chincha Islands

1199, 1670.

Chindan Study Society

2493.

Chinese

4175; in Southeast Asia, 838, 840; in Philippines, 867, 868; in Malaya, 1410.

Chinese Communist Party (CCP)

2465, 2465, 2465, 2466, 2467, 2468, 2468, 2469, 2469, 2469, 2469, 2470, 2471,  
2472, 2477, 2477, 2478, 2479, 2481, 2481, 2482, 2482, 2483, 2483, 2483, 2485,  
2486, 2486, 2486, 4140, 4140, 4141, 4141, 4141, 4141, 4141, 4142, 4142, 4142,  
4142, 4143, 4143, 4143, 4143, 4143, 4143, 4144, 4144, 4144, 4146, 4146, 4148, 4149,  
4150, 4150, 4151, 4156, 4157, 4158, 4161, 4161, 4163, 4165, 4165, 4166.

Chinese Eastern Railway

1422, 2072, 2466, 2476.

Chinese Exclusion Act

1601.

Chinese Immigrant Act, New Zealand

1503, 1505.

Chinese Nationalists (Guomindang, GMD)

1426, 1427, 1427, 1703, 2376, 2460, 2463, 2465, 2465, 2465, 2466, 2467, 2468,  
2469, 2469, 2469, 2470, 2470, 2470, 2470, 2472, 2472, 2474, 2475, 2476, 2479,  
2479, 2480, 2481, 2481, 2481, 2481, 2483, 2483, 2484, 2485, 2486, 2486, 2486,  
2508, 2525, 2623, 2624, 2625, 2628, 2855, 3395, 4051, 4051, 4140, 4140, 4141,  
4141, 4141, 4141, 4141, 4142, 4142, 4142, 4142, 4143, 4143, 4144, 4144, 4144,  
4144, 4147, 4160, 4178, 4179, 4180, 4181, 4181, 4184, 4184, 4185, 4185, 4186,  
4253; New Life Movement, 2475; and U.S., 3395, 4146, 4147, 4149, 4150, 4150,  
4150, 4150, 4151, 4173, 4180, 4182, 4182, 4183, 4183, 4183, 4183, 4183,  
4183; and Canada, 3455; economic change in 1970s–1990s, 4183, 4183, 4183, 4183,  
4183, 4183, 4183; and Japan, 4227, 4227, 4227; and Vietnam, 4253, 4253. *See*  
Taiwan.

Chinese National Revolutionary Army

2507.

Chinese People's Government

2465.

Chinese People's Republic (PRC)

1415, 2637, 2637, 2637, 2637, 2641, 2649, 2654, 2664, 2667, 2668, 2668, 2669,  
2690, 2692, 2696, 2696, 2696, 2697, 2714, 2718, 2721, 2722, 2723, 2855, 2864,  
2921, 3150, 3167, 3169, 3200, 3202, 3202, 3249, 3250, 3250, 3265, 3279, 3283,  
3398, 3423, 4093, 4098, 4112, 4145, 4145, 4145, 4145, 4146, 4146, 4147, 4147,  
4148, 4149, 4150, 4150, 4150, 4151, 4152, 4152, 4156, 4157, 4159, 4160, 4161,  
4162, 4162, 4168, 4171, 4172, 4174, 4174, 4175, 4175, 4177, 4177, 4178, 4181,  
4183, 4183, 4183, 4184, 4184, 4184, 4185, 4185, 4186, 4195, 4198, 4199, 4226,

[4255](#), [4256](#), [4275](#), [4279](#), [4294](#), [4320](#); pro-democracy demonstrations, [2685](#); and U.S., [3426](#), [3433](#), [3436](#), [3437](#), [4146](#), [4146](#), [4146](#), [4147](#), [4147](#), [4148](#), [4149](#), [4150](#), [4150](#), [4150](#), [4151](#), [4158](#), [4159](#), [4160](#), [4160](#), [4161](#), [4162](#), [4162](#), [4163](#), [4163](#), [4168](#), [4168](#), [4168](#), [4169](#), [4169](#), [4170](#), [4171](#), [4172](#), [4172](#), [4173](#), [4176](#), [4177](#), [4177](#), [4177](#), [4178](#), [4183](#), [4183](#), [4183](#), [4183](#); and Canada, [3448](#), [3451](#), [3455](#); and Latin America, [3468](#); and India, [3962](#), [3963](#), [3964](#), [3964](#), [3964](#), [3964](#), [3964](#), [3965](#), [3968](#), [3974](#), [4152](#), [4152](#), [4153](#), [4153](#), [4155](#); and Pakistan, [3996](#), [3996](#), [3998](#); and Ceylon, [4027](#), [4028](#); and Southeast Asia, [4047](#), [4128](#), [4135](#); and Burma, [4052](#), [4054](#), [4055](#), [4056](#), [4056](#), [4056](#), [4056](#), [4058](#), [4059](#); and Cambodia, [4078](#), [4080](#), [4081](#), [4086](#), [4087](#), [4087](#), [4088](#), [4163](#); and Laos, [4099](#), [4101](#), [4102](#), [4102](#); and Brunei, [4118](#); proclamation, [4144](#); economy, [4145](#); makeup, [4146](#), [4165](#); and Tibet., [4148](#), [4149](#); Great Leap Forward, [4150](#), [4150](#), [4150](#), [4151](#), [4153](#), [4156](#); and Tibet, [4151](#), [4151](#), [4151](#), [4151](#), [4152](#), [4155](#), [4172](#); after Mao, [4151](#); Cultural Revolution, [4151](#), [4156](#), [4156](#), [4156](#), [4156](#), [4156](#), [4156](#), [4157](#), [4158](#), [4160](#), [4161](#), [4161](#), [4161](#), [4161](#), [4161](#), [4164](#), [4169](#), [4205](#); Socialist Education Campaign, [4153](#); and Africa, [4153](#), [4154](#), [4344](#), [4492](#); and Vietnam, [4163](#), [4255](#), [4257](#), [4268](#), [4269](#), [4275](#), [4275](#), [4275](#), [4276](#), [4277](#), [4277](#), [4278](#); special economic zones, [4163](#); economic change in 1980s and 1990s, [4165](#), [4165](#), [4165](#), [4165](#), [4166](#), [4167](#), [4170](#), [4170](#), [4175](#), [4176](#), [4183](#); democratization movement, [4166](#), [4166](#), [4167](#), [4167](#), [4167](#), [4167](#), [4167](#), [4167](#), [4167](#), [4168](#), [4168](#), [4169](#), [4169](#), [4176](#); and Korea, [4171](#), [4194](#), [4194](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4196](#), [4196](#), [4197](#), [4197](#), [4198](#), [4199](#), [4199](#), [4201](#), [4205](#), [4216](#); and Mongolia, [4187](#), [4187](#); and Japan, [4228](#), [4229](#), [4232](#), [4236](#), [4239](#), [4240](#), [4241](#), [4244](#); and France, [4256](#).

Chinese Revolutionary Alliance

[2524](#).

Chinggis Khan, Mongol leader

[281](#), [303](#), [332](#).

Chinggis Khan, Temujin

[374](#), [374](#), [374](#), [374](#), [374](#), [374](#), [375](#).

Chingleput

[326](#).

Chinhan

[160](#), [161](#).

Chin Hills, Burma

[1404](#).

Chin  ng, Korean king

[377](#).

Chinju Uprising, Korea

[1429](#).

Chinon

[522](#).

Chins

1404.

Chionites

273.

Chios

168, 189, 189, 194, 199, 203, 502, 509, 566, 612, 796, 808, 1273.

Chippewa Plains, battle of

1623.

Chirac, Jacques, French leader

2838, 2865, 2874, 2874, 2883, 2884, 2884.

Chishpish

*See* Teispes, king of Anshan.

Chissano, Joaquim Alberto, Mozambiquan leader

4462, 4463, 4463, 4463, 4464, 4464.

Chita, capital of Far Eastern Republic

2067.

Chitor

327, 830, 830, 831, 832.

Chittagong

833, 834, 2439.

Chittagong Hill Tracts

3971.

Chivington, John, U.S. commander

1589.

Chlopi

2119.

Ch'oe Chae-hy[!], Korean leader

2489.

Ch'oe Che-u, Korean leader

1429, 1432.

Ch'oe Ch'i-w[!], scholar

378, 378.

Ch'oe Ch'ung, scholar

382.

Ch'oe Ch'ung-h[!], Korean leader

380.

Ch'oe family, Korea

380, 382.

Ch'oe Han-gi, Korean scholar and writer

1429, 1429.

Ch[!]-ei, Takano, scholar

1438.

Ch'oe Nam-sn, Korean leader and scholar

1436, 2489.

Ch'oe Tong-jin, Korean leader

2490.

Cho Kwang-jo, Korean scholar


856.

Chola dynasty

133, 326, 326, 326, 327, 328, 328, 328, 328, 328, 336, 336, 336, 336, 336, 336, 337.

Chola Rajaraja, Tamil ruler

338.

Ch'lchong, king of Korea

1429, 1429.

cholera

1328, 1527.

Cholet

1005.

Cholm

1739, 1794.

Cholula

901.

Cho Man-sik, Korean leader


2491, 4190.

Ch'ng Che-du, Korean philosopher

856.

Ch'ng Ho-yong

4209.

Ch'ngjo, king of Korea

856, 1429.

Ch'ng Ku, Korean philosopher

856.

Chongming Island

852.

Chongqing

2479, 2480, 2481, 2483, 2623, 2625.

Ch'ng Sn, Korean artist

856.

Ch'ng Yag-yong, Korean scholar

1429.

Chono

570.

Pong-jun, Ch[?]n

1432.

Ch[?]nt'ae Buddhism

382.

Ch[?]n T'ae-il, Korean protester

4207.

Chopin, Frédéric, composer

1037, 1267.

Cho Pong-am, Korean leader

4201.

Cho Py[?]ng-ok, Korean leader

4201.

Ch[?]sen, Government-General of

2488.

Ch[?]sh[?]

1440, 1441, 1442, 1443, 1443, 1444, 1444, 1445, 1446, 1448, 1452.

Chos[?]n

160, 160, 160, 856, 856, 1429, 1429, 1429. *See* [Korea](#).

Chosroes I

*See* [Khusru I \(Chosroes\), Persian Sassanian king](#).

Chosroes II

*See* [Khosroes II, Persian Sassanian king](#).

Chotusitz, battle of

660.

Chouan hui, Chinese monarchist society

2461.

Chou En-lai

*See* [Zhou ~Enlai, Chinese leader](#).

Chremonidean War

210, 218.

Chremonides, Athenian leader

210.

Chrétien, Jean, Canadian leader

3457, 3458, 3459, 3462, 3464, 3464, 4118.

Chrétien de Troyes, poet

450, 452.

Christchurch  
[1503](#).

Christensen, J. C., Danish leader  
[1253](#).

Christian I, of Oldenburg  
[554](#), [554](#), [554](#).

Christian II, king of Denmark  
[627](#), [627](#), [627](#).

Christian III, king of Denmark  
[627](#).

Christian IV, king of Denmark  
[618](#), [618](#), [619](#), [622](#), [627](#), [627](#), [627](#).

Christian V, king of Denmark  
[768](#), [772](#).

Christian VI, king of Denmark  
[769](#).

Christian VII, king of Denmark  
[768](#), [770](#).

Christian VIII, king of Denmark  
[1077](#), [1077](#), [1077](#), [1078](#).

Christian IX, king of Denmark  
[1251](#), [1251](#).

Christian X, king of Denmark  
[1251](#), [2038](#), [2039](#), [2041](#), [2041](#), [3042](#).

Christiana, queen of Sweden  
[761](#).

Christian August of Norway  
[765](#).

Christianbourg Castle, Accra  
[876](#).

Christian Democratic Left Party, Spain  
[2891](#).

Christian Democratic Party, DCG  
[3655](#).

Christian Democratic Party, Germany  
[2987](#).

Christian Democratic Party, PDC  
[3509](#).

Christian Democratic Party, PDC  
[3664](#).

Christian Democratic Union, CDU

[2982](#), [2994](#), [3026](#).  
Christian Democrats, Germany  
[2983](#).  
Christian Democrats, Italy  
[2926](#).  
Christian Frederick, Danish prince  
[1076](#).  
Christiania  
*See* [Oslo \(Christiania\)](#).  
Christianity  
[74](#), [80](#), [80](#), [80](#), [80](#), [80](#), [129](#), [250](#), [254](#), [259](#), [260](#), [260](#), [260](#), [262](#), [262](#), [263](#), [265](#), [268](#),  
[268](#), [268](#), [268](#), [268](#), [271](#), [272](#), [273](#), [273](#), [273](#), [273](#), [274](#), [275](#), [279](#), [279](#), [283](#), [285](#), [286](#),  
[319](#), [400](#), [427](#), [437](#), [439](#), [440](#), [456](#), [460](#), [476](#), [483](#), [498](#), [505](#), [530](#), [555](#), [557](#), [562](#), [580](#),  
[584](#), [584](#), [584](#), [586](#), [588](#), [591](#), [595](#), [599](#), [603](#), [604](#), [609](#), [609](#), [613](#), [624](#), [627](#), [633](#), [672](#),  
[686](#), [695](#), [712](#), [741](#), [742](#), [764](#), [783](#), [791](#), [792](#), [822](#), [827](#), [847](#), [906](#), [958](#), [1068](#), [1143](#),  
[1144](#), [1473](#), [1658](#), [1709](#), [1846](#), [2647](#), [2955](#); postclassical period, [276](#), [279](#), [401](#), [401](#),  
[401](#), [401](#), [401](#), [401](#), [401](#), [408](#); Celtic, [279](#), [421](#), [424](#), [425](#), [425](#), [425](#); Sufism, [306](#);  
Africa, [360](#), [361](#), [363](#), [869](#), [869](#), [877](#), [879](#), [879](#), [885](#), [886](#), [887](#), [1506](#), [1506](#), [1514](#),  
[1515](#), [1522](#), [1523](#), [1524](#), [1535](#), [1536](#), [2554](#), [2558](#); Saxony, [410](#); Danes, [416](#); Britain,  
[421](#), [421](#), [422](#), [422](#); Scandinavia, [426](#), [461](#), [461](#), [463](#), [463](#), [464](#), [464](#), [464](#); Byzantium,  
[427](#); and Teutonic Knights, [460](#); Spain, [475](#), [601](#), [601](#), [894](#); Eastern Europe, [483](#), [483](#);  
Poland, [486](#), [486](#); Russia, [488](#), [488](#), [783](#); Hungary, [491](#), [491](#); Morocco, [822](#); Southeast  
Asia, [837](#); Japan, [857](#), [857](#), [857](#), [858](#), [859](#), [859](#), [859](#), [860](#), [1450](#), [2520](#); Philippines,  
[867](#), [868](#); New World, [894](#); Latin America, [899](#); New Spain, [901](#); Americas, [908](#), [909](#),  
[910](#), [910](#), [910](#), [910](#), [912](#), [912](#), [918](#), [918](#); France, [1007](#); and anti-Semitism, [1235](#);  
China, [1417](#), [1417](#), [1417](#), [1424](#); Korea, [1419](#), [1429](#); Vietnam, [1473](#), [1473](#), [1474](#);  
Pacific Islands, [1477](#); New Zealand, [1500](#), [1500](#), [2551](#); U.S., [1565](#); Nazi Germany,  
[1986](#); Egypt, [2358](#); Algeria, [2423](#); postwar, [2702](#); U.S. fundamentalism, [3427](#);  
Mexico, [3701](#).  
Christian League, Romania  
[2182](#).  
Christian National Union, Hungary  
[2024](#).  
Christian of Anhalt, military commander  
[617](#).  
Christian of Brunswick  
[618](#).  
Christian Phalangists, Lebanon  
[3846](#).  
Christians  
[249](#), [257](#), [259](#), [261](#), [281](#), [281](#), [285](#), [286](#), [286](#), [287](#), [299](#), [309](#), [320](#), [322](#), [323](#), [419](#), [419](#),



[438](#), [443](#), [505](#), [507](#), [568](#), [727](#), [826](#), [1105](#), [1127](#), [1335](#), [1350](#), [1701](#), [2320](#); in former Byzantine areas, [287](#); Abbasid period, [295](#); Byzantine Empire, [301](#), [317](#); Mongols, [305](#); Georgia, [307](#); Ottoman Empire, [309](#), [309](#), [310](#), [313](#), [322](#), [809](#), [1259](#), [1334](#), [1334](#), [1339](#); Maghrib, [323](#), [323](#); Africa, [346](#), [346](#), [360](#), [360](#), [360](#), [1535](#), [1536](#), [1536](#), [1561](#), [1562](#), [2554](#); China, [369](#), [1415](#); early, [401](#); Spain, [419](#), [419](#), [419](#), [419](#), [420](#), [475](#), [475](#), [475](#), [476](#), [477](#), [525](#), [525](#), [525](#), [525](#); Hungary, [491](#); Middle East, [505](#), [567](#), [805](#), [1334](#), [1334](#); Portugal, [605](#), [727](#), [730](#); Denmark, [771](#); Lebanon, [805](#), [1333](#), [1333](#), [1335](#), [1335](#), [2379](#), [2379](#), [2379](#), [2380](#), [2383](#), [2698](#), [3842](#), [3845](#), [3847](#), [3849](#), [3849](#), [3850](#), [3850](#), [3853](#); Iran, [815](#), [816](#), [1349](#); Morocco, [822](#), [823](#); Mediterranean area, [823](#); Algiers, [826](#); North Africa, [827](#); India, [832](#), [1398](#), [2437](#); Southeast Asia, [839](#); Japan, [858](#), [859](#); Vietnam, [863](#), [1473](#); Philippines, [867](#), [1485](#); New England, [933](#); France, [1014](#); Crete, [1121](#), [1337](#), [1346](#), [1346](#); Damascus, [1332](#); and accusations of ritual murder, [1332](#); Aleppo, [1333](#); Montenegro, [1334](#); Bosnia and Herzegovina, [1335](#); Balkan Peninsula, [1340](#); Albania, [1348](#); Algeria, [1381](#); Turkey, [2320](#); Syria, [2373](#); Palestine, [2386](#), [2386](#), [2386](#); Iraqi Nestorians, [2405](#); Tunisia, [2426](#); Korea, [2489](#), [2493](#); Brazil, [3618](#); fundamentalists, [3774](#); Burma, [4063](#); Nigeria, [4325](#), [4373](#), [4373](#); Sudan, [4404](#), [4404](#).

Christian Socialists

[1998](#), [1999](#), [2000](#), [2001](#), [2002](#), [2003](#), [2003](#), [2003](#), [2004](#), [2004](#), [2005](#), [2006](#), [2008](#), [2029](#).

Christian Social Party

[1235](#), [2822](#).

Christian Social Union, CSU

[2982](#), [3002](#).

Christianson, Frederick, fur trader and explorer

[932](#).

Christie, Agatha, writer

[1839](#).

Christina, mother of Charles Emmanuel II of Savoy

[612](#).

Christina, queen of Sweden

[628](#), [761](#).

Christine de Pisan, historian

[524](#).

Christmas Island

[2770](#), [3407](#).

Christophe, Henri, Haitian leader

[1696](#), [1696](#), [1696](#).

Christopher I, king of Denmark

[461](#), [461](#).

Christopher II, king of Denmark

[551](#), [551](#), [551](#).

Christopher III, king of Denmark, Norway, and Sweden  
[554](#), [554](#).

Christopher, Warren, U.S. leader  
[3864](#).

Chrysler Corporation  
[2206](#), [2217](#), [3434](#).

Chrysoloras, humanist  
[534](#).

Chrysopolis  
[262](#).

Chu  
[138](#), [138](#), [138](#), [139](#), [139](#), [139](#), [139](#), [139](#), [139](#), [139](#), [140](#), [145](#), [153](#).

Chuan Leekpai, Thai leader  
[4072](#), [4073](#).


Chubais, Anatoly B., Russian leader  
[3368](#).

Chukwuemeka `Odumegwu-Ojukwu, Nigerian leader  
[4320](#).

Chumash Indians  
[33](#).



Chumong, Korean leader  
[160](#).

Chun, prince  
[1420](#), [1424](#).

Ch'ungch'  ng  
[1432](#).

Chungjong, king of Korea  
[856](#).

Chunnel  
[2874](#).

Ch  n Tu-hwan, Ch  n Doo Hwan  
[4209](#), [4210](#), [4210](#), [4210](#), [4210](#), [4211](#), [4211](#), [4212](#), [4212](#), [4212](#), [4214](#).

Chupas  
[898](#).

Chuquisaca  
[1649](#); congress of, [1649](#).

Church, Richard  
[1275](#).

Church, W. H., developer of cellophane  
[984](#).

Church Act, Finland

[1254](#).

Church Court of Paris

[1021](#).

Church Fathers, early theologians

[401](#), [401](#), [406](#), [408](#).

Churchill, John

*See* [Marlborough, John Churchill, 1st duke of, English commander](#).

Churchill, Randolph

[1162](#), [1162](#).

Churchill, William, English journalist

[1332](#).

Churchill, Winston

[1699](#), [1839](#), [1854](#), [1856](#), [2210](#), [2214](#), [2388](#), [2484](#), [2486](#), [2587](#), [2587](#), [2590](#), [2593](#),  
[2608](#), [2615](#), [2621](#), [2621](#), [2625](#), [2632](#), [2632](#), [2632](#), [2634](#), [2637](#), [2645](#), [2707](#), [2711](#),  
[2712](#), [2714](#), [2758](#), [2758](#), [2758](#), [2764](#), [2765](#), [2766](#), [2768](#), [2776](#), [2845](#), [3167](#), [3207](#),  
[3390](#), [3398](#), [4198](#).

Church Missionary Society, CMS

[878](#), [1513](#), [1514](#), [1514](#), [1515](#), [1529](#), [1535](#), [1535](#), [1536](#); in New Zealand, [1476](#).

Church of England

*See* [Anglican Church](#).

Church of Ireland

[1168](#), [1168](#), [2811](#).

Church of Mary the Virgin, Jerusalem

[460](#).

Church of St. Sophia, Constantinople

[427](#).

Church of the Holy Apostles, Paris

[407](#).

Church of the Holy Sepulcher, Jerusalem

[507](#).

Church of the Lord, Aladura

[2558](#).

Church of the New Jerusalem

[645](#).

Churubusco, battle of

[1578](#).

Ch  shingura Incident

[861](#).

Chu Si-gy  ng, scholar

[1436](#), [2488](#).

Chutus

133.

Chvalkovsky, František, Czech leader

2021.

Chwezi dynasty

362, 362.

Chydenius, Anders, Swedish leader

763.

Ciampi, Carlo, Italian leader

2951.

Ciano, Galeazzo, Italian Fascist leader

1835, 1957.

Cibalae

262.

Ciboney

570.

Cicero, Marcus Tullius, Roman orator

238, 239, 240, 240, 241, 241, 246, 401.

Cid, el, Spanish hero

476, 476.

Ciénaga

2267.

Cierna

3128.

Cierva, Juan de la, inventor

1736.

Cilicia

104, 111, 112, 113, 114, 115, 206, 209, 209, 209, 213, 213, 218, 218, 240, 240, 240, 245, 253, 315, 435, 502, 505, 1751.

Cilician Gates

255.

Çiller, Tansu, Turkish leader

3800, 3801.

Cimarosa, Domenico, Italian composer

735.

Cimbri

235, 236.

Cimmerians

87, 114, 114, 114, 118.

Cimon, Athenian leader

190, 190, 190, 191, 191, 191, 192, 193.

Cimoszewicz, Włodzimierz

[3118](#).  
Cimpina-Ploiesti oil fields, Romania  
[1318](#).  
Cincinnati  
[1605](#).  
Cincinnatus, Lucius Quinctius, Roman general  
[225](#).  
Cineas, ambassador for Pyrrhus  
[227](#).  
cinema  
[990](#), [1609](#), [1707](#), [1707](#), [1816](#), [2187](#), [2317](#), [2341](#), [2641](#); India, [1399](#), [2443](#); Technicolor, [1736](#); sound, [1736](#); propaganda films, [1839](#); U.S., [2191](#); Turkey, [2318](#); Egypt, [2358](#); Palestine, [2390](#); postwar Europe, [2702](#); Iceland, [3087](#); Latin America, [3465](#); Africa, [4320](#). *See* [communications](#); [culture](#).  
Cinema Nôvo, Brazil  
[3465](#).  
Cinna, Lucius Cornelius, Roman consul  
[237](#).  
Cinque Ports  
[446](#).  
Ciorbea, Romanian leader  
[3259](#).  
Circars  
[129](#).  
Circassia  
[299](#), [319](#), [319](#), [320](#), [955](#), [1333](#), [1345](#).  
Circassians  
[320](#), [792](#), [802](#), [808](#), [812](#), [813](#), [813](#), [1372](#).  
Cisalpine Gaul  
[228](#), [229](#), [233](#), [240](#), [240](#), [241](#), [241](#), [241](#), [246](#).  
Cisalpine Republic  
[746](#), [749](#), [1009](#), [1017](#).  
Cisjuran Burgundy  
[411](#), [415](#).  
Cispadane Republic  
[746](#).  
Cisplatine Province  
[1677](#).  
Cistercians, religious order  
[443](#), [443](#), [444](#), [444](#), [450](#), [460](#), [476](#), [477](#), [479](#), [507](#).  
Citadel, Mexico

[2291](#).  
cities  
[62](#), [65](#), [1034](#).  
Citium, Cyprus  
[193](#), [3806](#).  
Citizens' Movement for Democratic Action Party, ROAD  
[3112](#).  
Citizens Union Party, Georgia  
[3331](#).  
Citraën, André, industrialist  
[1909](#).  
city-states  
[83](#), [103](#).  
Ciubuc, Ion, Moldovan leader  
[3362](#).  
Ciudad Real  
[1923](#).  
Ciudad Trujillo  
[2314](#), [3736](#).  
Civic Democrats, ODS  
[3138](#).  
Civic Guard, Germany  
[1096](#).  
Civic Union  
[3363](#).  
Civil Authorities (Special Powers) Act, Great Britain  
[1864](#).  
Civil Code, Mejelle  
[1339](#), [1346](#).  
Civil Code, France  
[1018](#).  
Civil Constitution of the Clergy, France  
[1001](#).  
civil disobedience  
[2232](#); Pakistan, [4006](#), [4008](#); South Africa, [4320](#); Sierra Leone, [4383](#).  
Civili, Julius, leader of the Batavians  
[251](#).  
Civilista Party, Peru  
[1670](#), [1670](#), [1670](#).  
civil rights  
[3400](#), [3411](#), [3411](#), [3430](#); U.S., [3390](#), [3390](#), [3391](#), [3392](#), [3392](#), [3393](#), [3398](#), [3400](#), [3400](#),

[3400](#), [3402](#), [3405](#), [3406](#), [3406](#), [3407](#), [3408](#), [3408](#), [3409](#), [3409](#), [3410](#), [3411](#), [3411](#), [3411](#), [3413](#), [3415](#), [3415](#), [3415](#), [3417](#), [3421](#); busing, [3422](#), [3425](#); affirmative action, [3426](#), [3433](#), [3436](#); reverse discrimination, [3426](#). *See* [African Americans](#); [gay rights](#); [race](#).

Civil Rights Act, U.S.  
[1592](#), [1592](#), [1595](#), [1601](#), [3402](#), [3405](#), [3409](#).

Civil Rights Commission, U.S.  
[3402](#).

civil service  
[370](#); Great Britain, [1156](#), [1159](#); Ottoman Empire, [1331](#); U.S., [1601](#).

Civil Service Commission, Canada  
[1639](#).

Civil Service Commissions, England  
[1156](#).

Civil Service Law, Germany  
[1986](#).

Civil War  
[954](#), [1102](#), [1397](#), [1563](#), [1563](#), [1563](#), [1586](#), [1587](#), [1587](#), [1587](#), [1587](#), [1588](#), [1588](#), [1588](#), [1589](#), [1590](#), [1622](#), [1630](#).

Civil Wars, in England  
[577](#), [591](#), [592](#), [592](#), [593](#), [593](#).

Civil-Works Emergency Relief Act, U.S.  
[2203](#).

Civita  
[1217](#).

Cixi, Chinese empress dowager  
[1417](#), [1418](#), [1419](#), [1423](#), [1424](#), [1424](#), [1424](#), [1424](#).

Claes, Willy, NATO leader  
[2752](#).

Clan na Gael, Irish nationalists  
[1168](#).

Clapeyron, Émile, physicist  
[981](#).

Clapperton, Hugh, explorer  
[1507](#), [1507](#).

Clare, Irish county  
[694](#), [1051](#).

Clarendon, Edward Hyde  
*See* [Hyde, Sir Edward, earl of Clarendon, English leader and Cabal member](#).

Clarendon, assize of  
[444](#).

Clarendon Code, England  
[674](#).

Claret, Father, confessor of Isabella II of Spain  
[1199](#).

Clark, George Rogers, American commander  
[950](#).

Clark, Helen, New Zealand leader  
[4318](#), [4319](#).

Clark, Joseph, Canadian leader  
[3456](#).

Clark, J. Reuben, U.S. diplomat  
[2198](#).

Clark, Mark W., U.S. commander  
[4197](#).

Clark, William, U.S. explorer  
[1568](#).

Clarke, James F., American missionary  
[1299](#).

Clark Memorandum, U.S.  
[2198](#).

classicism  
[1060](#).

Classicus, Julius, Gallic leader  
[251](#).

Claude, Georges, inventor  
[1736](#).

Claudel, Paul, playwright  
[1903](#).

Claudian, Latin poet  
[260](#).

Claudius, Roman emperor  
[246](#), [246](#), [248](#), [248](#), [248](#), [248](#), [248](#), [248](#), [248](#), [248](#), [421](#).

Claudius II, Roman emperor  
[257](#), [257](#), [258](#).

Claudius, Appius, later Caecus  
[227](#), [227](#).

Claudius Pulcher, Appius, Roman consul  
[230](#).

Clausewitz, Karl von, Prussian army officer  
[1026](#).

Clausius, Rudolph, physicist



[981](#), [1147](#).  
Claverhouse, John Graham, 1st viscount of Dundee  
[679](#).  
Clay, Henry, U.S. leader  
[1574](#), [1576](#), [1576](#), [1577](#), [1580](#).  
Clayton Anti-Trust Act, U.S.  
[1621](#).  
Clayton-Bulwer Treaty, United States and Great Britain  
[1099](#), [1680](#).  
Clazomenae  
[177](#).  
Cleander, Marcus Aurelius, Roman praetorian prefect  
[254](#).  
Cleisthenes, Athenian leader  
[187](#), [187](#), [187](#).  
Cleitus, murder of  
[207](#).  
Clemenceau, Georges, French leader  
[1194](#), [1195](#), [1784](#), [1784](#), [1784](#), [1901](#), [1901](#), [1901](#), [1901](#), [1902](#), [2378](#).  
Clemens, Samuel Langhorne  
*See* [Twain, Mark, writer](#).  
Clement, prince of Bavaria  
[653](#).  
Clement II, pope  
[454](#), [466](#).  
Clement IV, pope  
[459](#).  
Clement V, pope  
[446](#), [453](#), [470](#), [470](#), [530](#), [530](#), [530](#), [540](#).  
Clement VI, pope  
[530](#), [530](#).  
Clement VII, pope  
[522](#), [531](#), [586](#), [586](#), [607](#), [609](#), [609](#), [614](#), [614](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 18

- Clement VIII, pope  
[609](#).
- Clement IX, pope  
[712](#), [736](#).
- Clement X, pope  
[736](#).
- Clement XI, pope  
[737](#).
- Clement XII, pope  
[737](#).
- Clement XIII, pope  
[737](#).
- Clement XIV, pope  
[737](#).
- Clément, Jacques, French monk  
[599](#).
- Clementine space project  
[3432](#).
- Clement of Alexandria, bishop  
[259](#).
- Clement of Rome, bishop  
[259](#).
- Cleombrotus, king of Sparta  
[202](#).
- Cleomenes I, king of Sparta  
[179](#), [187](#), [187](#), [187](#), [187](#).
- Cleomenes III, king of Sparta  
[208](#), [210](#), [210](#), [211](#), [211](#).
- Cleon, Athenian leader  
[196](#), [196](#).

Cleonymus  
[210](#).

Cleopatra I, queen of Egypt  
[218](#).

Cleopatra VII, queen of Egypt  
[218](#), [219](#), [241](#), [242](#), [242](#), [242](#), [242](#).

Cleopatra Thea, queen of Syria  
[215](#).

Clerical-Liberal coalition, Belgian political party  
[1056](#).

Clerical Party, France  
[1179](#).

Clericals, Belgian political party  
[1053](#), [1171](#), [1171](#), [1171](#).

Clerides, Glavcos, Greek leader  
[3811](#), [3811](#).

Clermont, first commercial steamboat  
[648](#), [989](#).

Clermont  
[468](#), [505](#).

Clermont-Ferrand  
[1194](#).

Cleve-Jülich  
[754](#).

Cleveland  
[990](#), [2665](#), [3400](#), [3401](#), [3413](#), [3415](#).

Cleveland, Grover, U.S. president  
[1602](#), [1602](#), [1603](#), [1605](#), [1606](#), [1606](#).

Cleves  
[652](#), [754](#).

Cleves, duke of  
[615](#).

Cleves-Jülich, dynastic line  
[616](#).

Clichy massacre  
[1913](#).

Clifford, Hugh Charles  
[2559](#), [2559](#).

Clifford, 1st baron, Thomas, Cabal member  
[675](#).

climate



Clovis, New Mexico  
[28](#).

Clovis people  
[28](#).

Cluniac reforms  
[444](#), [449](#), [454](#), [466](#), [467](#), [467](#), [476](#), [479](#), [505](#).

Cluny  
[422](#); abbey, [466](#).

Clusium  
[225](#).

Clyde River  
[421](#).

Cnidus  
[174](#), [199](#).

Coahuila  
[904](#).

coal  
[1575](#).

Coal and Steel Community  
[2713](#), [2719](#), [2726](#).

Coal Industry Act, Australia  
[4295](#).

Coalition for a Unified and Democratic Bosnia-Herzegovina  
[3189](#).

Coalitions Law, France  
[1182](#).

coal mines acts, Great Britain  
[1162](#), [1846](#).

Coard, Bernard, Grenadian leader  
[3764](#).

Coast Survey, U.S.  
[1041](#).

Coates, Gordon, New Zealand leader  
[2551](#), [2551](#).

Coats Land  
[2047](#).

Cobbett, William, British journalist and reformer  
[1046](#).

Cobden-Chevalier Treaty, Anglo-French  
[1158](#), [1181](#).

Cobh

[1877](#).  
Coburg, duke of, Friedrich Josias, French general  
[1007](#).  
Coca-Cola  
[2640](#), [3654](#).  
Coche, treaty of  
[1675](#).  
Cochin China  
[337](#), [830](#), [1404](#), [1409](#), [1473](#), [1473](#), [1473](#), [1474](#), [1474](#), [1475](#), [1475](#), [2524](#), [4253](#), [4255](#).  
Cochrane, Thomas  
[983](#), [1275](#).  
Cocos Island  
[1795](#).  
Cocteau, Jean, French writer  
[1903](#).  
Code Noir  
[713](#).  
Code of Canon Law, revision of  
[609](#).  
Code of Criminal Law, Holy Roman Empire  
[760](#).  
Code of Hammurapi  
[85](#), [86](#), [122](#).  
Codex Fredericianus Marchicus, Prussia  
[755](#).  
Codex Justinianus  
[260](#), [427](#).  
Codex Theodosianus  
[260](#), [266](#).  
Codoudal, conspirator against Napoleon  
[1015](#).  
Codreanu, Corneliu Z., Romanian Fascist  
[2182](#), [2183](#), [2183](#).  
Coele-Syria  
[209](#), [213](#), [214](#), [218](#).  
Coercive Acts, England  
[944](#).  
Coeur, Jacques, French merchant  
[523](#).  
coffee  
[880](#), [1547](#), [1672](#), [1677](#), [1681](#), [1682](#), [1683](#), [1683](#), [1685](#), [1685](#), [1685](#), [2561](#); introduced

into the Ottoman Empire, [795](#); introduced in Iran, [816](#).

Coffin Texts  
[92](#).

Cohens v. Virginia, U.S. Supreme Court decision  
[1574](#).

Coignet, Edmond, engineer  
[984](#).

Coimbra  
[480](#), [528](#), [528](#).

Coke, Edward  
[584](#), [590](#).

Cokerill, William, British industrialist  
[1053](#).

Colbert, Jean-Baptiste, French leader  
[707](#), [711](#), [714](#), [728](#).

Colchester  
[421](#).

Colchis  
[274](#).

cold war  
[1705](#), [1706](#), [2636](#), [2637](#), [2638](#), [2641](#), [2641](#), [2644](#), [2645](#), [2645](#), [2645](#), [2649](#), [2658](#),  
[2668](#), [2674](#), [2987](#), [3016](#), [3390](#), [3443](#), [3768](#), [3950](#), [3957](#), [4047](#), [4088](#), [4295](#), [4315](#),  
[4320](#), [4396](#), [4400](#), [4430](#); nonalignment, [2637](#); decline, [2637](#); end, [2637](#), [2638](#), [2688](#),  
[3299](#); Korean War, [2650](#). *See* [Russia](#); [United States](#).

Cole, Henry  
[1155](#).

Cole, Thomas, artist  
[1577](#).

Coleman, Edward, confessor of duchess of York  
[676](#).

Coleridge, Samuel Taylor, poet  
[1037](#), [1046](#).

Colette, writer  
[1903](#).

Colfax, Schuyler, U.S. leader  
[1595](#).

Coligny, Gaspard de, French commander  
[920](#).

Colijn, Hendryk, Dutch leader  
[1896](#), [1898](#).

Colima

[902](#).  
Colindres, Vicente Mejía, Honduran leader  
[2289](#).  
collectivization  
  See [agriculture](#).  
Collège de France  
[597](#).  
college of cardinals  
[467](#), [609](#).  
College of Fort William, India  
[1394](#).  
College of San Salvatore, Italy  
[741](#).  
College of Surgeons, London  
[687](#).  
College of Technology, Ghana  
[4324](#).  
College of William and Mary, Williamsburg  
[937](#).  
Collegio della Provincie  
[739](#).  
Collegium Nobilium, Poland  
[781](#).  
Collett, Camilla, writer  
[1247](#).  
Colley, Thomas, chimney sweep  
[687](#).  
Collies, John S., U.S. leader  
[2201](#).  
Collins, canon in Anglican Church  
[2771](#).  
Collins, Michael, Irish leader  
[1863](#), [1864](#), [1864](#).  
Collo  
[526](#).  
Collor de Mello, Francisco, Brazilian leader  
[3623](#), [3625](#), [3625](#), [3625](#).  
Collot d'Herbois, Jean Marie, French leader  
[1005](#).  
Colmar, Thomas de, inventor  
[985](#).



Co Loa

[51](#).

Cologne

[409](#), [416](#), [443](#), [455](#), [505](#), [523](#), [541](#), [548](#), [548](#), [650](#), [653](#), [656](#), [657](#), [659](#); peace conference at, [651](#).

Coloma

[1579](#).

Coloman I, king of Hungary

[492](#), [492](#).

Colombe, Michel, French artist

[600](#).

Colombey-Borny, battle of

[1185](#).

Colombia

[908](#), [1649](#), [1651](#), [1655](#), [1668](#), [1671](#), [1672](#), [1678](#), [1678](#), [1678](#), [1678](#), [2261](#), [2264](#), [2267](#), [2267](#), [2267](#), [2275](#), [2275](#), [2644](#), [2698](#), [2757](#), [3466](#), [3473](#), [3475](#), [3475](#), [3575](#), [3575](#), [3576](#), [3579](#), [3589](#), [3593](#), [3685](#), [3727](#); United States of, [1673](#); and U.S., [2192](#), [3577](#), [3580](#), [3583](#), [3588](#), [3593](#); WWI, [2267](#); between Wars, [2267](#), [2267](#), [2268](#), [2268](#); coffee industry, [2267](#); Great Depression, [2267](#), [2268](#); WWII, [2268](#), [2268](#); La Violencia, [3575](#); and Russia, [3578](#); cocaine, [3579](#), [3579](#), [3580](#), [3581](#), [3583](#), [3584](#), [3584](#), [3585](#), [3585](#), [3585](#), [3586](#), [3587](#), [3587](#), [3588](#), [3588](#), [3589](#), [3589](#), [3590](#), [3592](#), [3593](#), [3593](#), [3628](#), [3629](#); summary of violence, [3592](#).

Colombian Liberal Party

[3591](#).

Colombian Treaty

[2192](#).

Colombo

[2673](#), [4027](#), [4028](#), [4030](#), [4032](#), [4032](#), [4036](#), [4036](#), [4039](#).

Colombo, Cristoforo

*See* [Christopher ~Columbus, explorer](#).

Colombo, Emilio, Italian leader

[2940](#).

Colombo Plan

[3958](#), [4066](#), [4104](#), [4124](#), [4229](#).

Colón, Cristóbal

*See* [Christopher ~Columbus, explorer](#).

“Colonels' Coup”

[3666](#).

Colonia, Portuguese territory

[906](#), [906](#), [906](#), [906](#), [907](#), [907](#), [915](#).

Colonial Currency Act, England

[941](#).  
Colonial Development and Welfare Act  
[2559](#).  
Colonial Development Corporation  
[4324](#).  
colonialism  
[2554](#), [2559](#), [2667](#); 18th century, [578](#); 1800–1914, [963](#), [1114](#), [1123](#), [1136](#); in Africa, [1111](#), [1506](#), [1506](#), [1511](#), [1517](#), [1517](#); Southeast Asia, [1402](#), [1402](#); North Africa, [2317](#); Middle East, [2317](#); end, [2636](#), [2636](#), [2636](#), [2636](#), [2638](#); decolonization, [2700](#).  
Colonists Association, Kenya  
[1533](#).  
colonization  
[914](#), [1611](#), [2530](#); Pacific Islands, [52](#); 1500–1800, [579](#), [579](#), [584](#); Africa, [885](#), [888](#), [889](#), [1176](#), [1506](#); Latin America, [894](#), [894](#), [895](#), [895](#), [897](#), [897](#), [900](#); North America, [905](#), [920](#), [920](#), [920](#), [921](#), [924](#), [924](#), [924](#), [924](#), [924](#), [924](#), [924](#), [926](#), [926](#), [926](#), [930](#), [931](#), [937](#), [938](#); New World, [906](#); Americas, [908](#), [908](#), [908](#), [911](#), [912](#), [913](#), [914](#), [914](#), [914](#), [915](#); New England, [926](#), [926](#), [926](#), [926](#), [927](#), [928](#), [928](#); British, [953](#); French, [953](#); 1800–1914, [953](#), [954](#), [969](#), [1236](#), [1236](#); Australia, [1487](#).  
Colonization Commission, Germany  
[1269](#).  
Colonna, Roman family  
[452](#), [470](#), [470](#), [609](#).  
Colonna, Sciarra  
[453](#), [470](#).  
Colophon  
[175](#).  
Colorado  
[40](#), [1603](#), [1607](#), [1618](#), [3400](#), [3414](#); territory, [1594](#).  
Colorado Fuel and Iron Company  
[1620](#).  
Colorado Party, Latin America  
[1665](#), [1667](#), [1667](#), [1667](#), [2252](#), [2252](#), [3522](#), [3523](#), [3525](#), [3525](#), [3528](#).  
Colorado River  
[903](#), [903](#).  
Colored Farmers National Alliance and Cooperative Union  
[1605](#).  
Colored Women's League  
[1609](#).  
Colosio Murrieta, Luis Donaldo, Mexican leader  
[3707](#), [3708](#).  
Colosseum



2231.  
COMECON  
*See* Council for Mutual Economic Assistance (COMECON).  
Comenius, John Amos, writer and educator  
757.  
Comintern  
*See* Communist International (Comintern); Third International (Comintern).  
Comissão de Liberaç de São Tomé and Príncipe  
4374.  
Comité consultatif supérieur du Commerce et de l'Industrie  
1906.  
Comité d'action pour le renouveau, CAR  
4387.  
Comité national de secours et d'alimentation, Belgium  
1882.  
Comité national d'organisation, Cameroon (CNO)  
4433.  
Comité Révolutionnaire Militaire, Dahomey  
4329.  
Commagene  
87, 215, 247.  
Commerce and Alliance, treaties of, U.S. and France  
949.  
Commercial Code, Ottoman Empire  
1333.  
Commercial Company of Brazil  
918.  
commercialization  
579, 579, 579, 579, 579, 581; Africa 1500–1800, 579; U.S., 1563.  
Commercial Revolution  
579.  
Commines, Philippe de, chronicler  
524.  
Commissariat Général du Plan, CGP  
2839, 2846, 2850, 2856, 2857, 2861, 2866, 2871.  
Commission of Akershus  
772.  
Commission of Finance, Poland  
781.  
Commission on Campus Unrest  
3420.

Commission on Civil Rights, U.S.  
[3421](#).

Commission on Industry and Trade, France  
[1188](#).

Commission on Life and Work  
[1701](#).

Commission on the Disappearance of Persons, CONADEP  
[3495](#).

Committee for the Liberation of Albania  
[1326](#).

Committee of General Security, France  
[1004](#), [1004](#).

Committee of National Liberation, France  
[1918](#).

Committee of Public Order, Hungary  
[1087](#), [1087](#), [1087](#).

Committee of Public Safety, France  
[1004](#), [1005](#), [1005](#), [1188](#).

Committee of Safety, Austria  
[1089](#).

Committee of Union and Progress, Young Turk group  
[1346](#), [1347](#), [1347](#), [1347](#), [1348](#).

Committee on Homosexual Offences and Prostitution, Great Britain  
[2770](#).

Committees for the Defense of the Revolution, Cuba  
[3716](#).

committees of correspondence, in the American colonies  
[943](#).

Committee to Reelect the President, U.S.  
[3423](#).

Committee of Union and Progress  
[1348](#).

Commodus, Roman emperor  
[253](#), [254](#), [254](#), [254](#), [255](#).

common law  
[444](#), [446](#), [516](#).

Common Market  
[2700](#), [2700](#), [2718](#), [2719](#), [2721](#), [2773](#), [2774](#), [2774](#), [2778](#), [2783](#), [2784](#), [2849](#), [2854](#),  
[2858](#), [2860](#), [2862](#), [2972](#), [3000](#), [3035](#), [3037](#), [3050](#), [3062](#), [3216](#); and Great Britain,  
[2722](#), [2723](#), [2723](#), [2724](#), [2724](#), [2728](#), [2728](#), [2728](#), [2728](#); and Africa, [2722](#); and  
agriculture, [2725](#); and merger, [2726](#); and Eastern Europe, [2731](#).

Commonwealth Immigrants Act, Great Britain  
[2779](#).

Commonwealth of Australia  
*See* [Australia](#).

Commonwealth Office  
[2777](#), [2780](#).

Commonwealth of Independent States, CIS  
[2687](#), [3333](#), [3336](#), [3389](#).

Commonwealth of Indians  
[912](#).

Commonwealth of the Spanish  
[912](#).

Commonwealth Party, Great Britain  
[1856](#).

Communal Assembly, France  
[1188](#).

Communal Council, Italy  
[741](#).

Communal Government Acts, Norway  
[1076](#).

Communards  
*See* [Paris Commune](#).

communications  
[1146](#), [1816](#), [2229](#), [2703](#), [2704](#), [2704](#), [2704](#), [2765](#), [2859](#), [2865](#), [2896](#), [2942](#), [3407](#);  
postclassical Europe, [400](#); Western Europe, [443](#); 17th and 18th century England, [681](#),  
[683](#); 1800–1914, [956](#), [959](#), [959](#), [961](#), [985](#), [989](#), [989](#), [990](#), [990](#), [990](#), [990](#), [1119](#), [1180](#),  
[1284](#), [1393](#); Ottoman Empire, [1330](#); Middle East, [1332](#), [1334](#), [1334](#), [1335](#), [1336](#),  
[2317](#); Iran, [1349](#), [1350](#), [1350](#), [1350](#), [1350](#); Afghanistan, [1355](#), [1357](#); Egypt, [1367](#),  
[1367](#), [1371](#), [1372](#), [1374](#); Morocco, [1376](#); Tunisia, [1389](#), [1389](#), [1389](#), [1390](#), [1391](#);  
Libya, [1393](#), [1393](#), [1393](#); India, [1394](#), [1397](#); China, [1418](#), [2478](#); Australia, [1494](#); U.S.,  
[1570](#), [1574](#), [1574](#), [1580](#), [1609](#), [1610](#), [2204](#); Canada, [1639](#); North Africa, [2317](#); first  
official Saudi newspaper, [2410](#); first periodical in Kuwait, [2413](#); Cambodia, [2453](#);  
Vietnam, [2524](#); Africa, [2559](#); satellites, [2641](#), [2673](#); information technologies, [2641](#);  
telecommunications pact, [2693](#); press, [2850](#); South Yemen, [3892](#). *See* [censorship](#);  
[cinema](#); [radio](#); [space exploration](#).

Communications Act, U.S.  
[2204](#).

Communications Satellite Corporation, COMSAT  
[2641](#), [2704](#).

Communism  
[1703](#), [1703](#), [1703](#), [1703](#), [1705](#), [1706](#), [1706](#), [1725](#), [1814](#), [1815](#), [1829](#), [1833](#), [2187](#),

[2708](#), [2709](#), [2715](#), [2724](#); East Indies, [1896](#); Italy, [1941](#), [2637](#); Spain, [1954](#); Germany, [1971](#), [2709](#); Austria, [1998](#); Russia, [2065](#), [2068](#), [2068](#), [2072](#), [2072](#), [2081](#); Baltic region, [2084](#), [2084](#); Estonia, [2105](#), [2105](#); Albania, [2137](#); Latin America, [2242](#), [2253](#), [2269](#), [2271](#), [2273](#), [2273](#), [2280](#), [2280](#), [2281](#), [2298](#), [3467](#), [3468](#); Cuba, [2303](#), [2306](#), [2306](#), [3717](#), [3721](#); Japan, [2515](#), [2520](#); Malaya, [2636](#); France, [2637](#); cold war, [2637](#), [2637](#), [2721](#); splits after 1960s, [2637](#); decline, [2637](#); Eastern Europe, [2677](#), [2685](#), [2700](#), [2700](#), [2716](#), [2748](#); Roman Catholic Church, [2953](#); Switzerland, [2970](#); U.S., [3390](#), [3391](#), [3392](#), [3393](#), [3394](#), [3394](#), [3407](#), [3407](#); tricontinental, [3471](#); Chile, [3508](#), [3511](#); Venezuela, [3600](#); Afghanistan, [3832](#); South Yemen, [3893](#); India, [3961](#), [3962](#); Southeast Asia, [4065](#), [4069](#), [4069](#), [4256](#), [4256](#); Cambodia, [4085](#), [4086](#), [4086](#), [4086](#), [4088](#); Laos, [4093](#), [4094](#), [4096](#), [4100](#), [4101](#), [4102](#); Malaysia, [4110](#); Brunei, [4118](#); Indonesia, [4121](#), [4124](#), [4125](#), [4125](#), [4132](#), [4132](#), [4135](#); China, [4149](#), [4150](#), [4150](#), [4150](#), [4156](#), [4156](#), [4156](#), [4158](#); Sino-Soviet split, [4155](#); Korea, [4190](#), [4195](#); South Korea, [4192](#); Vietnam, [4259](#), [4264](#); democratization, [4277](#); Australia, [4298](#).

Communist Council of Action, South Africa  
[2577](#).

Communist Information Bureau, Cominform  
[2706](#), [2707](#), [2714](#), [2717](#), [3093](#), [3166](#), [3166](#), [3166](#), [3199](#), [3209](#); disbanding, [3270](#).

Communist International (Comintern)  
[2464](#); first congress, [2464](#); second congress, [2464](#); and China, [2465](#), [2465](#), [2465](#), [2465](#), [2469](#), [2469](#), [2471](#), [2492](#), [2524](#). See [Third International \(Comintern\)](#).

Communist Labor Party, U.S.  
[2190](#).

Communist League  
[1050](#).

Communist Manifesto  
[1050](#), [1143](#), [1143](#), [1424](#).

Communist Party  
[1703](#), [1703](#), [1703](#), [1704](#), [1716](#), [1814](#), [1899](#), [1901](#), [1910](#), [1910](#), [1912](#), [1914](#), [1928](#), [1929](#), [1932](#), [1938](#), [1944](#), [1945](#), [1948](#), [1973](#), [1973](#), [1978](#), [1979](#), [1980](#), [1983](#), [1984](#), [1984](#), [1984](#), [1986](#), [1986](#), [1986](#), [2053](#), [2075](#), [2155](#), [2182](#), [2455](#), [2464](#), [2465](#), [2486](#), [2820](#), [2839](#), [2866](#), [3126](#), [3126](#), [3128](#), [3128](#), [3130](#), [3130](#), [3131](#), [3131](#), [3133](#), [3134](#), [3134](#), [3234](#), [3300](#), [3371](#), [3393](#), [3398](#), [3609](#), [3968](#), [4048](#), [4049](#), [4049](#), [4049](#), [4140](#), [4189](#), [4291](#); Great Britain, [1841](#), [1855](#); Ireland, [1873](#); France, [1902](#), [2524](#), [2866](#); Italy, [1944](#), [1944](#), [2926](#), [2927](#), [2934](#), [2941](#); Germany, [1973](#), [1986](#), [2985](#), [2985](#); Austria, [1998](#), [3028](#); Czechoslovakia, [2013](#), [2014](#), [2016](#), [2020](#), [3120](#), [3123](#), [3123](#), [3126](#), [3127](#), [3128](#), [3128](#), [3132](#), [3133](#); Slovakia, [2021](#); Hungary, [2022](#), [2023](#), [2023](#), [3020](#), [3141](#), [3142](#), [3143](#), [3144](#), [3146](#), [3147](#); Finland, [2056](#), [2059](#); Russia, [2066](#), [2067](#), [2068](#), [2068](#), [2068](#), [2073](#), [2074](#), [2076](#), [2077](#), [2078](#), [3264](#), [3278](#), [3279](#), [3283](#), [3288](#), [3297](#), [3300](#), [3304](#), [3332](#); Yugoslavia, [2128](#), [3164](#), [3166](#), [3168](#), [3172](#), [3172](#), [3176](#); Albania, [2142](#), [2143](#), [2143](#), [3198](#), [3203](#), [3203](#), [3204](#), [3205](#); Bulgaria, [2160](#), [2162](#),

[2163](#), [2164](#), [2165](#), [2166](#), [2167](#), [3234](#), [3236](#), [3237](#), [3237](#), [3239](#), [3240](#), [3241](#), [3241](#), [3241](#), [3244](#); Romania, [2178](#), [2725](#), [3245](#), [3245](#), [3246](#), [3248](#), [3249](#), [3250](#), [3254](#), [3257](#); U.S., [2190](#), [2199](#), [2201](#), [3393](#); Canada, [2224](#); Latin America, [2243](#), [3471](#); Brazil, [2270](#), [3612](#); Turkey, [2327](#); Egypt, [2354](#); India, [2437](#), [2438](#), [3965](#), [3968](#), [3969](#), [3970](#), [3970](#); Indonesia, [2456](#), [4133](#); Korea, [2490](#), [2492](#), [2492](#); Japan, [2520](#), [4223](#), [4225](#), [4227](#); Indochina, [2524](#), [2525](#), [2526](#), [4255](#); Vietnam, [2525](#), [2525](#), [2527](#), [2529](#), [4082](#), [4253](#), [4276](#), [4276](#), [4277](#), [4278](#), [4278](#); Philippines, [2534](#), [2535](#); and Nazism, [2593](#); end in Eastern Europe, [2685](#); Europe, [2706](#); Spain, [2896](#), [2896](#); West Germany, [3004](#); East Germany, [3011](#), [3014](#), [3020](#), [3022](#); Poland, [3096](#), [3096](#), [3096](#), [3096](#), [3098](#), [3100](#), [3102](#), [3110](#), [3111](#), [3112](#); Greece, [3207](#), [3208](#), [3228](#); Lithuania, [3299](#), [3352](#), [3353](#); Armenia, [3306](#); Belorussia, [3315](#); of the Soviet Union (CPSU), [3316](#); Belarus, [3316](#); Estonia, [3323](#); Georgia, [3325](#); Kazakh, [3332](#), [3332](#); Kirghizstan, [3340](#), [3344](#); Latvia, [3348](#); Moldova, [3358](#), [3360](#); Russian Federation, [3366](#); Tajikistan, [3373](#); Turkmenistan, [3377](#); Ukraine, [3381](#); Argentina, [3485](#); Chile, [3508](#), [3509](#); Bolivia, [3538](#); Peru, [3552](#); Ecuador, [3567](#); Venezuela, [3596](#), [3597](#); Panama, [3640](#); Guatemala, [3649](#); Mexico, [3701](#); Afghanistan, [3834](#); Iraq, [3879](#); Bangladesh, [4017](#); Nepal, [4046](#), [4046](#); Southeast Asia, [4047](#); Burma, [4050](#), [4058](#), [4059](#); Thailand, [4067](#), [4067](#); Laos, [4100](#); Malaysia, [4114](#); Mongolia, [4188](#); South Africa, [4470](#), [4481](#), [4482](#). *See* [Central Committee of the Communist Party \(CPSU\)](#); [Chinese Communist Party \(CCP\)](#); [Third International \(Comintern\)](#).

Communist Party Dissolution Act, Australia  
[4299](#).

Communist Popular Socialist Party, PSP  
[3714](#), [3717](#).

Community of Sovereign Republics  
[3367](#).

Comneni dynasty  
[502](#), [502](#).

Comnenus, David, Byzantine leader  
[508](#), [508](#).

Como  
[537](#), [537](#).

Comonfort, Ignacio, Mexican leader  
[1691](#).

Comoros Islands  
[366](#), [892](#), [2696](#), [4410](#), [4411](#), [4415](#), [4416](#), [4416](#), [4416](#), [4492](#); independence, [4415](#).

Compagnie des Indes Orientales, France  
[922](#).

Compagnie d'Occident, France  
[922](#).

Compagnie Indes Orientales, France



[834](#), [835](#).  
Companies Act, Canada  
[2230](#).  
Company Law, Korea  
[2488](#), [2490](#).  
Company of Jesus  
[1066](#).  
Company of the Hundred Associates  
[921](#).  
Company of the West, founded by John Law  
[715](#).  
Companys, Luis, Catalanian leader  
[1928](#), [1928](#).  
compass  
[281](#), [282](#), [373](#), [375](#).  
Compiègne  
[522](#), [1782](#), [2586](#); German attack, [1781](#).  
Compisteguy, Juan, Uruguayan leader  
[2252](#).  
Compostela, Mexico  
[903](#).  
Comprehensive Test Ban Treaty  
[2692](#), [3371](#), [3439](#), [3987](#).  
Compromise of 1107, England  
[444](#).  
Compromise of 1850  
[1580](#), [1581](#).  
Compulsory Military Service Act, Canada  
[2219](#).  
computerized axial tomography (CAT) scanner  
[2704](#).  
computers  
[1730](#), [2703](#), [2703](#), [2866](#), [3392](#); Mark I, [1730](#); ENIAC (Electronic Numerical Integrator and Calculator), [1734](#); Harvard IBM Automatic Sequence Controlled Calculator, [1734](#); electronic digital, [2641](#); World Wide Web, [2686](#); defeat of Kasparov by Deep Blue, [2693](#); personal computer, [3425](#).  
Comstock Lode, Nevada  
[1595](#).  
Comte, Auguste, philosopher  
[1035](#), [1035](#).  
Conarky, Guinea



[1588](#), [1588](#), [1589](#), [1589](#), [1589](#), [1589](#), [1590](#), [1590](#), [1590](#).

Confédération des Association Tribales du Katanga, CONAKAT

[4449](#).

Confédération Générale des Travailleurs Tunisiens

[2426](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 19

- Confédération Générale du Travail, CGT  
[2841](#), [2842](#).
- Confederation of Bar, Poland  
[781](#).
- confederation of Cologne  
[548](#).
- Confederation of Finnish Trade Unions, SAK  
[2056](#).
- Confederation of Independent States  
[2636](#).
- Confederation of Indigenous Nationalities of Ecuador, CONAIE  
[3569](#).
- Confederation of Labor, CGT  
[1914](#).
- Confederation of Labor, Italy  
[1223](#).
- Confederation of Mexican Workers, CTM  
[2298](#), [2298](#).
- Confederation of Milhaud, France  
[599](#).
- Confederation of Popular Forces, CFP  
[3569](#).
- Confederation of Targowicz  
[782](#).
- Confederation of the Equator  
[1677](#).
- Confederation of the Rhine  
[1024](#), [1025](#), [1030](#).
- Conference of Foreign and Finance Ministers of Latin America  
[3475](#).

Conference of Gela  
[196](#).

Conference of Non-Aligned Nations  
[2667](#), [2670](#), [2682](#), [2685](#), [2688](#).

Conference of Rulers, Malaysia  
[4108](#).

Conference of the Coast  
[2380](#).

Conference of the Committee on Disarmament  
[2667](#).

Conference of the Non-Aligned Nations  
[2673](#), [2676](#), [2679](#).

Conference on Security and Cooperation in Europe, CSCE  
[2637](#), [2672](#), [2750](#), [3204](#).

Conference on the Law of the Sea  
[2658](#).

Confession of Augsburg  
[614](#), [615](#), [619](#), [628](#).

Confession of Faith, Scotland  
[588](#).

Confirmation of Chartres  
[446](#).

Confiscation Acts, U.S.  
[1586](#), [1587](#).

Conflans, treaty of  
[648](#).

Confucianism  
[141](#), [141](#), [144](#), [146](#), [147](#), [154](#), [154](#), [155](#), [156](#), [156](#), [156](#), [158](#), [158](#), [279](#), [283](#), [368](#), [370](#),  
[371](#), [373](#), [375](#), [377](#), [378](#), [378](#), [378](#), [379](#), [382](#), [382](#), [382](#), [383](#), [398](#), [398](#), [399](#), [580](#), [852](#),  
[854](#), [1429](#), [2464](#), [2475](#), [2524](#), [2526](#); Japan, [279](#), [859](#), [861](#), [861](#), [1437](#); Korea, [279](#), [377](#),  
[856](#), [856](#); Southeast Asia, [837](#); China, [851](#); Vietnam, [863](#), [863](#), [1473](#), [1473](#), [1473](#).

Confucius, Chinese philosopher  
[68](#), [141](#), [142](#), [143](#), [144](#), [152](#), [158](#), [378](#), [854](#), [1425](#), [4161](#).

Congo  
[348](#), [348](#), [885](#), [954](#), [1123](#), [1172](#), [1378](#), [1541](#), [1541](#), [1542](#), [1542](#), [1542](#), [1543](#), [1543](#),  
[1543](#), [1543](#), [1544](#), [2569](#), [2571](#), [2571](#), [2636](#), [2638](#), [2638](#), [2644](#), [2658](#), [2658](#), [2821](#),  
[2852](#), [4449](#), [4449](#), [4434](#), [4449](#), [4449](#), [4449](#), [4449](#), [4449](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#);  
Democratic Republic of the Congo (Zaire), [2697](#), [4410](#), [4411](#), [4423](#), [4423](#), [4424](#),  
[4425](#), [4430](#), [4431](#), [4431](#), [4434](#), [4434](#), [4435](#), [4442](#), [4443](#), [4444](#), [4449](#), [4452](#), [4452](#),  
[4452](#), [4452](#), [4453](#), [4453](#), [4453](#), [4453](#), [4454](#), [4454](#), [4454](#), [4456](#), [4456](#), [4468](#), [4468](#),  
[4470](#), [4476](#); Republic of the Congo (Brazzaville), [4327](#), [4446](#), [4446](#), [4446](#), [4448](#),

[4452](#); People's Republic of the Congo (PCT), [4446](#), [4446](#); independence, [4449](#).  
Congo Free State  
[1119](#), [1540](#), [1544](#), [1544](#), [1544](#), [1544](#). *See* [Belgian Congo](#).  
Congo Independent State  
[1540](#).  
Congo Reform Association  
[1544](#).  
Congo River  
[281](#), [363](#), [885](#), [908](#), [954](#), [964](#), [964](#), [1112](#), [1112](#), [1135](#), [1508](#), [1509](#), [1509](#), [1509](#), [1509](#),  
[1509](#), [1509](#), [1509](#), [1517](#), [1539](#), [1540](#), [1540](#), [1540](#), [2569](#).  
Congregationalists  
[588](#).  
Congregation of the Oratory, founded by St. Peter Neri  
[609](#).  
Congress, Argentina  
[1661](#).  
Congress, Colombia  
[1673](#).  
Congress, India  
[3971](#), [3975](#).  
Congress, Paraguay  
[1665](#).  
Congress, Peru  
[1670](#).  
Congress, U.S.  
[952](#), [1040](#), [1564](#), [1564](#), [1565](#), [1567](#), [1574](#), [1574](#), [1574](#), [1575](#), [1576](#), [1576](#), [1577](#), [1580](#),  
[1580](#), [1583](#), [1586](#), [1587](#), [1587](#), [1588](#), [1589](#), [1589](#), [1589](#), [1590](#), [1591](#), [1591](#), [1592](#),  
[1592](#), [1592](#), [1593](#), [1594](#), [1594](#), [1594](#), [1595](#), [1595](#), [1596](#), [1596](#), [1599](#), [1601](#), [1601](#),  
[1602](#), [1604](#), [1606](#), [1606](#), [1609](#), [1609](#), [1615](#), [1616](#), [1620](#), [1688](#), [1780](#), [2201](#).  
Congressional Union, later the National Woman's Party  
[1621](#).  
Congress Kingdom of Poland  
*See* [Poland](#).  
Congress of Arab Music  
[2363](#).  
Congress of Corinth  
[205](#), [205](#).  
Congress of Europe  
[2707](#).  
Congress of Industrial Organizations, CIO  
[2187](#), [2206](#), [2232](#), [3392](#), [3400](#).

Congress of Italian Working Men, Genoa  
[1221](#).

Congress of Oppressed Austrian Nationalities, Rome  
[1778](#).

Congress of Racial Equality, CORE  
[3406](#), [3413](#).

Congress of Sivas  
[2321](#).

Congress of South African Trade Unions, COSATU  
[4480](#).

Congress of Soviets  
[2067](#).

Congress of the People  
[4470](#).

Congress of the World Anti-Communist League, Paraguay  
[3523](#).

Congress of Verona  
[1062](#).

Congress on Racial Equality, CORE  
[3409](#).

Congress Party, India  
[2447](#), [3950](#), [3951](#), [3951](#), [3952](#), [3952](#), [3959](#), [3968](#), [3968](#), [3969](#), [3969](#).

Congress System  
[1045](#).

Conjeeveran  
[327](#).

Connacht, also Connaught  
[425](#), [425](#), [694](#).

Connaught, duke of, Arthur, governor-general of Canada  
[1639](#).

Connecticut  
[426](#), [928](#), [928](#), [932](#), [933](#), [933](#), [933](#), [933](#), [933](#), [934](#), [934](#), [934](#), [944](#).

Connecticut River  
[928](#), [935](#), [939](#).

Conon, Persian commander  
[199](#), [199](#), [199](#), [200](#).

Conquest of the Desert, Argentina  
[1660](#).

Conrad, duke of Lorraine  
[416](#).

Conrad, duke of Masovia

[487](#).  
Conrad, son of emperor Henry IV  
[455](#), [468](#).  
Conrad I, German king  
[415](#), [415](#).  
Conrad II, the Salian  
[411](#), [454](#), [466](#), [466](#), [472](#), [486](#), [491](#).  
Conrad III, German king  
[449](#), [456](#), [456](#), [456](#), [505](#).  
Conrad IV, Holy Roman emperor  
[458](#), [459](#), [459](#).  
Conrad, Frank, radio pioneer  
[1736](#).  
Conrad, Joseph, writer  
[1839](#).  
Conradi, Maurice, Swiss assassin  
[1966](#).  
Conradin, son of emperor Conrad IV  
[459](#).  
Conradiners  
[415](#).  
Conrad of Masovia, duke of Poland  
[460](#).  
Consalvi, Ercole, cardinal  
[1032](#), [1066](#), [1067](#).  
conscription  
[370](#), [371](#), [1387](#), [1814](#), [1839](#), [1853](#), [1855](#), [1860](#), [1986](#), [2009](#), [2209](#), [2220](#), [2761](#), [3413](#);  
Vietnam, [398](#); France, [1010](#), [1198](#), [1904](#); Belgium, [1172](#); Scandinavia, [1248](#); Finland,  
[1254](#), [1255](#); Egypt, [1367](#); Japan, [1450](#); U.S. South, [1587](#); U.S., [1588](#), [2187](#), [2210](#),  
[2211](#), [2599](#), [3390](#), [3392](#), [3394](#), [3395](#), [3414](#), [3418](#), [3425](#); Russia, [2067](#); Canada, [2217](#),  
[2219](#); Puerto Rico, [2308](#); Ottoman Empire, [2318](#); Iran, [2338](#), [3778](#); Afghanistan,  
[2347](#); Korea, [2493](#); Australia, [2537](#), [2538](#), [2538](#), [4302](#); New Zealand, [2551](#), [4315](#);  
Africa, [2555](#); West Germany, [2993](#); Denmark, [3048](#); conscientious objection, [3420](#);  
Iraq, [3778](#); Israel, [3856](#); North Yemen, [3894](#); Kuwait, [3898](#); Cambodia, [4087](#); Sudan,  
[4406](#).  
Conscription Act, Russia  
[1254](#).  
Conscription Act, U.S  
[1588](#).  
Conseil national économique consultatif  
[1906](#).



Conseil privé, France

[1180](#), [1180](#).

Conseil Suprême Révolutionnaire, CSR

[4492](#).

Conselheiro, Antonio, Latin American leader

[1677](#).

conservation of energy

[1040](#).

conservatism

[1035](#), [1035](#), [1045](#); Central Europe, [1071](#); Italy, [1091](#); France, [1188](#); Germany, [1230](#); Russia, [1257](#).

Conservative Party, Great Britain

[1703](#), [1839](#), [1839](#), [1841](#), [1842](#), [1842](#), [1846](#), [1847](#), [2758](#).

Conservative Party, CP

[4482](#).

Conservatives, Canada

[1634](#), [1639](#).

Conservatives, England

[1155](#), [1157](#), [1159](#), [1162](#), [1162](#), [1162](#), [1170](#).

Conservatives, France

[1083](#).

Conservatives, Germany

[1237](#).

Conservatives, Romania

[1314](#), [1315](#), [1316](#), [1317](#).

Conservatives, Spain

[1204](#), [1206](#).

Conservatives, Switzerland

[1229](#).

conservatism

[1059](#); Switzerland, [1070](#).

Consolidated Gold Mines

[1556](#).

conspiracy laws

[1180](#).

Conspiracy of the Tavoras, Portugal

[729](#).

Conspiracy to Murder Bill, England

[1157](#).

Constable, John, artist

[1037](#), [1046](#).

Constance  
[456](#), [469](#), [546](#); council of, [514](#), [531](#), [531](#), [531](#), [541](#), [544](#); union of, [524](#).

Constance, daughter of Manfred  
[459](#).

Constance, queen of the Germans  
[456](#), [457](#), [471](#), [471](#).

Constance, wife of Pedro III of Aragon  
[526](#).

Constans, Roman emperor  
[262](#), [262](#).

Constans II, Constantinus  
[429](#), [430](#), [430](#), [430](#).

Constant, Benjamin, French jurist  
[1033](#), [1060](#).

Constantia  
[275](#).

Constantine, Algeria  
[1381](#), [1381](#), [1382](#), [1383](#), [1385](#), [1386](#).

Constantine, Gaul  
[262](#).

Constantine, Roman usurper  
[403](#).

Constantine, Russian grand duke  
[1267](#).

Constantine I, king of Greece  
[1283](#), [1283](#), [1743](#), [1743](#), [1743](#), [1758](#), [1759](#), [1759](#), [2144](#), [2144](#), [2145](#), [2145](#), [2145](#),  
[2146](#).

Constantine I, the Great  
[260](#), [260](#), [260](#), [260](#), [261](#), [261](#), [261](#), [261](#), [261](#), [261](#), [262](#), [262](#), [262](#), [262](#), [262](#), [262](#), [262](#), [262](#), [262](#),  
[268](#), [401](#), [401](#), [411](#), [469](#), [505](#).

Constantine II, king of Greece  
[3216](#), [3217](#), [3218](#).

Constantine II, Roman emperor  
[265](#), [266](#).

Constantine IV, Pogonatus  
[430](#), [430](#).

Constantine IX, Monomachus  
[498](#), [499](#), [499](#).

Constantine V, Kopronymos  
[432](#), [432](#), [432](#), [432](#).

Constantine VI, Porphyrogenetos

[432](#), [433](#), [433](#).  
Constantine VII, Porphyrogenetos  
[436](#), [436](#), [437](#), [438](#), [441](#).  
Constantine VIII, Byzantine emperor  
[498](#), [498](#).  
Constantine X, Dukas  
[499](#), [500](#), [500](#).  
Constantine XI, Byzantine emperor  
[313](#), [568](#).  
Constantine dynasty  
[261](#), [262](#).  
Constantinescu, Emil, Romanian leader  
[3257](#).  
Constantinople  
[53](#), [80](#), [260](#), [260](#), [261](#), [262](#), [268](#), [270](#), [275](#), [275](#), [275](#), [275](#), [276](#), [286](#), [289](#), [289](#), [302](#),  
[311](#), [313](#), [401](#), [403](#), [403](#), [403](#), [403](#), [404](#), [406](#), [406](#), [408](#), [408](#), [408](#), [409](#), [410](#), [410](#), [411](#),  
[411](#), [412](#), [427](#), [427](#), [427](#), [427](#), [428](#), [428](#), [429](#), [429](#), [429](#), [430](#), [430](#), [431](#), [431](#), [431](#), [433](#),  
[434](#), [434](#), [435](#), [435](#), [436](#), [436](#), [437](#), [437](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#), [438](#),  
[439](#), [439](#), [439](#), [440](#), [440](#), [440](#), [441](#), [441](#), [441](#), [442](#), [466](#), [468](#), [473](#), [473](#), [473](#), [474](#), [474](#),  
[488](#), [488](#), [488](#), [488](#), [488](#), [492](#), [494](#), [495](#), [497](#), [497](#), [500](#), [501](#), [502](#), [502](#), [502](#), [503](#), [504](#),  
[504](#), [505](#), [506](#), [507](#), [508](#), [508](#), [509](#), [509](#), [510](#), [510](#), [532](#), [534](#), [538](#), [542](#), [558](#), [562](#), [564](#),  
[564](#), [564](#), [565](#), [565](#), [566](#), [566](#), [567](#), [568](#), [568](#), [568](#), [568](#), [569](#), [575](#), [630](#), [791](#), [793](#), [794](#),  
[795](#), [795](#), [796](#), [796](#), [797](#), [797](#), [797](#), [797](#), [800](#), [800](#), [800](#), [801](#), [801](#), [801](#), [801](#), [802](#), [803](#),  
[803](#), [803](#), [805](#), [805](#), [805](#), [806](#), [806](#), [807](#), [807](#), [808](#), [808](#), [808](#), [808](#), [808](#), [808](#), [809](#), [809](#), [810](#),  
[811](#), [811](#), [811](#), [826](#), [827](#), [869](#), [966](#), [967](#), [970](#), [1099](#), [1106](#), [1107](#), [1108](#), [1120](#), [1137](#),  
[1137](#), [1272](#), [1275](#), [1278](#), [1299](#), [1304](#), [1326](#), [1748](#), [1749](#), [1769](#), [1771](#), [1788](#), [1788](#),  
[2067](#), [2072](#), [2141](#), [2320](#), [2322](#), [2322](#), [2322](#), [2329](#), [2330](#); ecumenical council, [401](#), [408](#);  
council, [430](#), [435](#); University of, [438](#); schism with Rome, [499](#); fall of, [507](#); treaty of,  
[538](#), [1139](#), [1309](#); siege of, [568](#); conference, [962](#), [1106](#), [1107](#), [1112](#); patriarch of, [1314](#).  
Constantinople Agreement  
[1749](#).  
Constantinus II, Roman emperor  
[262](#), [262](#).  
Constantius I, Roman emperor  
[261](#), [261](#), [261](#), [261](#), [261](#), [262](#).  
Constantius II, Roman emperor  
[262](#), [262](#), [262](#), [262](#), [262](#), [263](#), [268](#), [273](#).  
Constantius III, Roman emperor  
[266](#), [266](#).  
Constantza  
[1319](#), [1806](#).

Constituent Assembly, France

[999](#).

Constitution, ship

[1572](#).

Constitution, U.S.

[952](#), [952](#), [1563](#), [1563](#), [1564](#), [1565](#), [1572](#), [1608](#), [1611](#), [3395](#); Eleventh Amendment, [1565](#); Twelfth Amendment, [1566](#); Thirteenth Amendment, [1589](#), [1590](#), [1591](#); Fourteenth Amendment, [1592](#), [1593](#), [3398](#); Fifteenth Amendment, [1594](#); Sixteenth Amendment, [1620](#); Seventeenth Amendment, [1620](#); Nineteenth Amendment, [2187](#), [2191](#), [3421](#); Eighteenth Amendment, [2188](#); Twentieth Amendment, [2201](#); Twenty-first Amendment, [2201](#); Twenty-fifth Amendment, [3414](#), [3424](#).

Constitution Act, Canada

[3456](#).

Constitution Act, England

[1497](#).

Constitution Act, New Zealand

[1502](#).

Constitutional Convention, South Africa

[1558](#).

Constitutional Convention, U.S.

[952](#), [952](#).

Constitutional Democratic Rally

[3946](#).

Constitutional Democrats, Russia

[2064](#).

constitutionalism

[584](#).

Constitutionalists, Finland

[1255](#), [1255](#).

Constitutionalists, Peru

[1670](#).

Constitutional Party, Rhodesia

[4456](#).

Constitutional Reform Party, Egypt

[1374](#).

constitutions

[632](#), [2116](#), [2119](#), [2122](#), [3091](#), [3095](#), [3110](#), [3115](#); Hungary, [635](#), [1239](#), [1245](#), [3144](#); Carolinas, [938](#); U.S., [952](#), [952](#); New Zealand, [953](#); 1800–1914, [957](#), [957](#), [957](#), [957](#), [977](#); Mexico, [957](#), [1691](#), [2294](#), [2296](#); Japan, [957](#), [1454](#), [4223](#); Spain, [957](#), [1062](#), [1062](#), [1062](#), [1062](#), [1199](#), [1201](#), [1204](#), [1925](#), [1925](#), [2892](#), [2897](#), [2897](#); Persia, [977](#), [977](#); Turkey, [978](#), [2326](#), [3793](#), [3797](#), [3808](#); France, [999](#), [1001](#), [1002](#), [1005](#), [1008](#), [1009](#),

[1013](#), [1033](#), [1060](#), [1082](#), [1084](#), [1086](#), [1177](#), [1185](#), [1191](#), [1191](#), [2840](#), [2840](#), [2850](#), [2879](#), [2886](#), [4321](#); Netherlands, [1053](#), [1174](#), [1894](#), [2832](#); Portugal of 1820, [1064](#); Portugal, [1064](#), [1065](#), [1938](#), [2917](#), [2918](#), [2919](#); Switzerland, [1070](#), [1094](#), [1095](#), [1227](#), [1228](#); Germany, [1072](#), [1098](#), [1098](#), [1232](#), [1234](#), [1234](#), [1972](#), [1973](#), [1986](#); Norway, [1075](#), [1076](#), [3057](#); Denmark, [1078](#), [1251](#), [1251](#), [1253](#), [2038](#), [3044](#); Austria, [1089](#), [1090](#), [1090](#), [1098](#), [1241](#), [1999](#), [2003](#), [2008](#); Prussia, [1097](#), [1098](#), [1098](#); Piedmont, [1210](#); Schleswig-Holstein, [1251](#); Greece, [1275](#), [1278](#), [2151](#), [3219](#), [3223](#); Montenegro, [1297](#); Bulgaria, [1300](#), [1301](#), [1301](#), [3238](#); Jewish community, [1336](#); Ottoman Empire, [1342](#), [1342](#); Iran, [1352](#), [1352](#), [3821](#); Tunisia, [1389](#), [1389](#), [1390](#), [3943](#); China, [1424](#), [1426](#), [2460](#), [2472](#), [4141](#); Philippines, [1483](#), [2534](#), [2535](#), [2535](#), [4292](#), [4293](#); New South Wales, [1490](#); Cape Colony, [1552](#); Cádiz, [1643](#); Argentina, [1659](#), [3483](#), [3485](#), [3502](#); Chile, [1662](#), [2245](#), [3514](#); Peru, [1670](#), [2259](#), [2261](#), [3555](#), [3562](#); Ecuador, [1671](#), [2264](#); Venezuela, [1675](#), [2269](#), [3605](#), [3605](#); Ireland, [1865](#), [1876](#), [1876](#); Belgium, [1884](#), [2824](#); Weimar Constitution, [1974](#); Vienna, [2008](#); Czechoslovakia, [2014](#), [3123](#), [3128](#), [3129](#); Finland, [2054](#), [3079](#); Russia, [2067](#), [2071](#), [2076](#), [2082](#), [3261](#), [3288](#); Lithuania, [2088](#), [2093](#); Latvia, [2098](#), [2099](#); Estonia, [2104](#), [2106](#), [2106](#), [2107](#), [2108](#), [3321](#); Yugoslavia, [2128](#), [2132](#), [3165](#), [3172](#), [3173](#), [3173](#), [3173](#), [3174](#), [3174](#); Albania, [2137](#), [2140](#), [3202](#), [3203](#); Romania, [2177](#), [3247](#), [3256](#); Canada, [2231](#), [3454](#), [3456](#); Uruguay, [2252](#), [2253](#), [3528](#); Brazil, [2273](#), [2273](#), [3608](#), [3615](#), [3618](#), [3622](#); Nicaragua, [2285](#), [3682](#); Honduras, [2289](#), [3694](#); Haiti, [2315](#), [2316](#), [3747](#); Afghanistan, [2347](#), [2349](#), [3832](#), [3833](#); Egypt, [2355](#), [2361](#), [3908](#); Syria, [2376](#), [3839](#), [3842](#); Lebanon, [2379](#); Transjordan, [2398](#); Iraq, [2401](#), [3882](#); Siam, [2451](#); Africa, [2559](#); Gold Coast, [2559](#), [4321](#); Ethiopia, [2562](#); Gibraltar, [2922](#), [2923](#); Italy, [2926](#), [2933](#); Malta, [2968](#); East Germany, [2986](#), [3011](#), [3018](#); West Germany, [2987](#); Sweden, [3062](#), [3065](#); Slovakia, [3136](#); Czech Republic, [3136](#); Serbia, [1284](#), [1285](#), [1291](#), [1291](#), [3176](#); Croatia, [3176](#); Kazakhstan, [3333](#); Kirghizstan, [3342](#), [3344](#); Russian Federation, [3364](#), [3364](#); Tajikistan, [3376](#); Turkmenistan, [3378](#); Ukraine, [3384](#); Uzbekistan, [3388](#); Paraguay, [3525](#); Colombia, [3576](#), [3578](#), [3586](#); Surinam, [3630](#), [3632](#); Panama, [3638](#); Guatemala, [3652](#); El Salvador, [3662](#), [3663](#); Cuba, [3722](#), [3921](#); Puerto Rico, [3730](#); Cyprus, [3810](#); Israel, [3857](#); Jordan, [3871](#); North Yemen, [3891](#), [3893](#); Kuwait, [3896](#), [3898](#); Morocco, [3920](#), [3921](#), [3921](#); India, [3956](#), [3956](#); Pakistan, [3993](#), [4001](#), [4004](#), [4008](#); Bangladesh, [4017](#); Ceylon, [4026](#); Sri Lanka, [4032](#), [4033](#), [4036](#); Tamil, [4034](#); Burma, [4048](#), [4059](#); Thailand, [4068](#), [4071](#); Cambodia, [4089](#); Laos, [4093](#), [4096](#), [4101](#), [4102](#); Malay, [4104](#); Malaysia, [4113](#); Indonesia, [4128](#); Mongolia, [4187](#); Korea, [4211](#), [4212](#); Vietnam, [4258](#), [4260](#), [4265](#), [4265](#), [4269](#), [4276](#); Fiji, [4286](#); Nigeria, [4321](#), [4324](#), [4370](#); Niger, [4327](#), [4365](#), [4365](#); Upper Volta, [4330](#); Cameroon, [4332](#); Equatorial Guinea, [4338](#), [4338](#); Gabon, [4341](#); Liberia, [4355](#); Mali, [4361](#); Kenya, [4417](#); Uganda, [4429](#); Congo, [4446](#), [4450](#); Mozambique, [4464](#); South Africa, [4483](#), [4485](#).

Constitutions of Clarendon, England

[444](#).

Consulate, France

[999](#), [1012](#), [1013](#), [1014](#), [1014](#), [1020](#).  
consumerism  
[1142](#), [1146](#), [1162](#).  
Consumer Product Safety Commission, U.S.  
[3423](#).  
Contadora  
[3475](#), [3475](#).  
Conte, Lansana, Guinean leader  
[4349](#), [4350](#).  
Contestado movement, Brazil  
[1677](#).  
Conti, prince of, Louis Armand  
[748](#).  
Conti, Michelangelo dei  
See [Innocent XIII](#), pope.  
Conti, Nicolo di, traveler to Southeast Asia  
[844](#).  
Continental Army  
[946](#), [946](#), [950](#).  
Continental Association, American colonies  
[944](#).  
Continental Congress  
[947](#), [947](#), [947](#), [949](#), [949](#), [952](#), [952](#), [952](#); first, [944](#); second, [946](#).  
Continental System, trade embargo against Great Britain  
[731](#), [771](#), [1020](#), [1021](#), [1024](#), [1026](#), [1026](#), [1029](#), [1066](#), [1070](#).  
Continental Union Association, Canada  
[1635](#).  
contraband, in WWI  
[1741](#), [1741](#), [1741](#).  
Contras, Nicaragua  
[3428](#), [3679](#), [3682](#), [3683](#), [3684](#), [3684](#), [3689](#), [3689](#), [3695](#), [3696](#).  
Contratación  
[911](#).  
Contreras Sepúlveda, Manuel, Chilean leader  
[3519](#), [3519](#).  
Control Faction, Japan  
[2511](#).  
Conventicle Act, England  
[674](#), [675](#).  
Conventicle Act, Norway  
[772](#).

Convention Act, England

[701](#).

Convention for a Democratic South Africa, CODESA

[4482](#).

Convention of Uppsala

[628](#).

Convention on International Trade in Endangered Species

[2642](#).

Convention on the Prevention of Genocide

[2648](#).

Convention on the Suppression of Terrorism

[2736](#).

Convention Parliament, England

[673](#), [678](#), [679](#).

Convention People's Party, Ghana

[4324](#), [4344](#).

Convention People's Party, CPP

[4320](#), [4324](#).

convicts

[1487](#), [1487](#), [1487](#), [1487](#), [1488](#), [1488](#), [1489](#), [1489](#), [1490](#), [1490](#), [1491](#), [1494](#).

convoy fleets

[1763](#).

Conway Cabal, to relieve Washington's command

[949](#).

Cook, Frederick Albert, U.S. explorer

[997](#).

Cook, James, English explorer

[865](#), [866](#), [866](#), [866](#), [993](#), [994](#), [1487](#), [1500](#).

Cook, Joseph, Australian leader

[1498](#), [1499](#).

Cooke, Jay, U.S. financier

[1595](#).

Cooke, William F., developer of telegraph

[989](#).

Cook Islands

[1478](#), [1479](#), [1505](#), [4283](#), [4316](#).

Coolidge, Calvin, U.S. president

[2193](#), [2194](#), [2195](#), [2195](#), [2197](#), [2309](#), [2534](#).

Cooper, James Fenimore, writer

[1563](#), [1566](#).

Cooper, L. Gordon, Jr., astronaut

[3408](#).  
Cooper, Peter, manufacturer and philanthropist  
[989](#).  
Cooper, William, Canadian leader  
[1625](#).  
Co-operative Commonwealth Federation Party, Canada  
[2234](#).  
cooperative movement, Bulgaria  
[1306](#).  
Cooperative Union, Sweden  
[1249](#).  
Cooper-Church Amendment, U.S.  
[4272](#).  
Cooper-Hewitt, Peter, inventor  
[1736](#).  
Copán  
[55](#), [570](#).  
Copenhagen  
[461](#), [461](#), [551](#), [768](#), [768](#), [768](#), [768](#), [769](#), [771](#), [772](#), [773](#), [775](#), [1026](#), [1077](#), [1077](#), [1233](#),  
[1568](#), [2038](#), [2041](#), [2691](#), [3048](#), [3051](#), [3053](#), [3069](#); treaty of, [648](#), [761](#); WWII, [2608](#).  
Copenhagen, University of  
[554](#).  
Copernicus, Nicolaus, Polish astronomer  
[637](#), [638](#), [638](#), [639](#).  
Copland, Aaron, composer  
[2191](#).  
Coplé, battle of  
[1675](#).  
Coplton, Judith, Justice Department employee  
[3393](#).  
copper  
[83](#), [363](#), [861](#), [1541](#), [1633](#).  
Copperbelt, Rhodesia and Zambia  
[2572](#), [2573](#), [4408](#), [4455](#), [4465](#).  
Copper Workers Confederation, Chile  
[3514](#).  
Coprosperity Sphere  
[2632](#).  
Coptic, language  
[285](#).  
Coptic Christians, Egypt



[2681](#), [3910](#), [3913](#).  
Coptic Communal Council  
[1371](#).  
Coptic Congress, Asyut  
[1374](#).  
copyright laws  
[1180](#).  
Coral Sea, battle of the  
[2531](#), [2627](#).  
Corazao, Valentin Paniagua, Peruvian leader  
[2698](#).  
Corbeil, treaty of  
[451](#), [479](#).  
Corbie, monastery  
[411](#).  
Corbiesdale  
[669](#).  
Corbulo, Cnaeus Domitius, Roman general  
[248](#), [249](#).  
Corcyra  
[168](#), [178](#), [190](#), [195](#).  
Cordeliers, French political party  
[1001](#), [1003](#).  
Cordero, Luis, Latin American leader  
[1671](#).  
Córdoba  
[419](#), [419](#), [419](#), [419](#), [419](#), [427](#), [476](#), [479](#), [479](#), [584](#), [900](#), [1644](#), [1647](#), [2242](#), [3488](#), [3490](#),  
[3503](#), [3505](#); mosque of, [419](#); convention of, [1653](#).  
Córdoba, Liga de, Argentina  
[1660](#).  
Cordobazo  
[3488](#).  
Cordón, Eusebia Rodolfo, Latin American leader  
[3663](#).  
Córdova, Gonzalo, Ecuadorian leader  
[2264](#).  
Córdova, Hernández de, Spanish explorer  
[901](#).  
Córdova, Jorge, Latin American leader  
[1668](#), [1668](#).  
Corelli, Arcangelo, Italian musician and composer

735.  
Corentyne  
3760.  
Corfu  
168, 178, 500, 501, 502, 503, 509, 564, 567, 1745, 1758, 1822, 1946, 2719.  
Corfu Channel  
2638, 2649, 3198.  
Corinth  
170, 175, 176, 178, 178, 179, 179, 179, 179, 182, 184, 191, 192, 192, 193, 195, 195,  
197, 197, 199, 199, 204, 205, 210, 210, 211, 212, 229, 234, 502, 505, 568.  
Corinthian architecture  
239, 246.  
Corinthian War  
199.  
Corisco  
4338.  
Cork  
1859, 1864.  
Cornaro, Catherine, widow of James of Lusignan  
539.  
Corn Laws, England  
1046, 1047, 1049, 1052, 1077, 1622, 1628, 1629.  
Cornu, Mme., favorite of Napoleon III  
1312.  
Cornwall  
444, 585.  
Cornwallis, Charles  
836, 836, 951, 951, 951, 1394.  
Cornwallis's Code, for India  
836.  
Cornwall Woolen Manufacturing Company  
1630.  
Coronado, Francisco Vázquez de, Spanish explorer  
903, 903.  
Coronation Charter, England  
444.  
Coronel  
1741, 1795.  
Corporation Act, England  
674, 674, 1051.  
Corporation for Public Broadcasting

[3414](#).  
corporations  
[961](#), [1034](#); and Fourteenth Amendment, [1592](#); U.S., [1604](#), [1609](#), [1618](#), [1621](#), [1621](#);  
Canada, [1639](#); multinational, [1700](#).  
corporatism  
[1704](#), [1815](#).  
Corps législatif, France  
[1181](#), [1182](#), [1184](#), [1187](#).  
Corpus Iuris Civilis  
[260](#).  
Corrales, José Miguel, Costa Rican leader  
[3691](#).  
Correggio, Allegri da, Italian artist  
[607](#).  
Corregidor, battle of  
[2627](#).  
Correia, Paulo, Guinea-Bissau leader  
[4351](#).  
Correia Garçáo, Portuguese writer  
[727](#).  
Correns, Carl, botanist  
[1153](#).  
Corresponding Society, London  
[690](#).  
Corrientes  
[1647](#), [1665](#), [3488](#).  
corsairs  
*See* [piracy](#).  
Corsi, Italian family  
[468](#).  
Corsica  
[110](#), [185](#), [231](#), [234](#), [293](#), [410](#), [412](#), [468](#), [470](#), [526](#), [533](#), [745](#), [746](#), [828](#), [1006](#), [1836](#),  
[1956](#), [2885](#), [2885](#).  
Corsican Liberation Front  
[2679](#).  
Corsini, Lorenzo  
*See* [Clement XII, pope](#).  
Corso, Donati, Guelf leader  
[534](#).  
Cort, Henry, English metallurgist  
[647](#).

Cortenuova, battle of  
[458](#).

Cortes, Portugal  
[728](#), [1064](#), [1064](#), [1064](#), [1207](#), [1656](#), [1656](#).

Cortes, Spain  
[601](#), [604](#), [606](#), [718](#), [720](#), [957](#), [1062](#), [1062](#), [1199](#), [1199](#), [1201](#), [1203](#), [1204](#), [1481](#), [2894](#).

Cortés, Hernán (or Hernando), Spanish explorer  
[281](#), [505](#), [901](#), [901](#), [901](#), [901](#), [901](#), [901](#), [902](#), [902](#), [903](#), [903](#), [903](#).

Corti, Lodovico  
[1108](#).

Coruña, battle of  
[1028](#).

Corvée, forced labor in France  
[716](#), [1473](#).

Cos  
[199](#), [203](#), [203](#), [210](#), [218](#).

Cosa, Juan de la, explorer  
[572](#).

Cosgrave, William T., Irish leader  
[1864](#), [1872](#), [1873](#).

Cosic, Dobrica, Yugoslavian leader  
[3178](#), [3179](#).

Cossack Brigade, Iran  
[2335](#).

Cossacks  
[629](#), [629](#), [630](#), [630](#), [631](#), [657](#), [776](#), [784](#), [993](#), [1351](#).

Cossiga, Francesco, Italian leader  
[2925](#), [2946](#).

Costa, Gomes da, Portuguese revolutionary  
[1936](#), [1936](#).

Costa e Silva, Arthur da, Brazilian leader  
[3614](#), [3615](#), [3616](#).

Costa Gomes, Francisco da, Portuguese leader  
[2916](#).

Costa Rica  
[1655](#), [1655](#), [1655](#), [1655](#), [1683](#), [1685](#), [1738](#), [2274](#), [2275](#), [2283](#), [2286](#), [2287](#), [3468](#),  
[3475](#), [3676](#), [3686](#), [3686](#), [3686](#), [3686](#), [3686](#), [3687](#), [3688](#), [3688](#), [3689](#), [3689](#), [3689](#), [3689](#),  
[3689](#), [3690](#), [3691](#), [3691](#), [3691](#), [3692](#), [3692](#), [3694](#), [3739](#); WWI, [2274](#); between Wars,  
[2287](#); WWII, [2287](#); and U.S., [3686](#), [3686](#), [3688](#), [3689](#), [3689](#), [3689](#), [3689](#), [3689](#), [3689](#).

Costello, James A., Irish leader  
[2805](#), [2807](#), [2807](#).

Cotabato, sultanate of

[867](#), [1480](#).

Cotentin

[413](#).

Cotti, Flavio, Swiss leader

[2979](#).

cotton

[380](#), [876](#), [988](#), [1366](#), [1395](#), [1396](#), [1397](#), [1513](#), [1538](#), [1573](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 20

Cotton Control Act, U.S.

[2202](#).

cotton gin

[1565](#).

Cottrell, Frederick G., physical chemist

[986](#).

Coty, René, French leader

[2838](#), [2846](#), [2850](#).

Coughlin, Paula A., Tailhook victim

[3434](#).

Council for Ireland

[1862](#).

Council for Mutual Economic Assistance (COMECON)

[2700](#), [2708](#), [2719](#), [2723](#), [2724](#), [2732](#), [2732](#), [2732](#), [2737](#), [2738](#), [2741](#), [2743](#), [2743](#),  
[2746](#), [2748](#), [3079](#), [3093](#), [3128](#), [4275](#); dissolution, [2749](#), [2749](#).

Council for New England

[926](#), [926](#), [926](#), [928](#).

Council of Basel

[597](#).

Council of Blood, Netherlands

[595](#).

Council of Chalcedon

[80](#), [268](#).

Council of Dadiso

[273](#).

Council of Education Ministers

[2745](#).

Council of Ephesus

[268](#).

Council of Europe

[2700](#), [2708](#), [2709](#), [2710](#), [2735](#), [2736](#), [2736](#), [2737](#), [2738](#), [2741](#), [2745](#), [2746](#), [2747](#),  
[2748](#), [2748](#), [2749](#), [2749](#), [2750](#), [3113](#), [3135](#), [3155](#), [3255](#), [3258](#); money laundering,  
[2748](#); Convention on Minority and Regional Languages, [2750](#); Human Rights Prize,  
[3110](#).

Council of Federated Trade Unions, CFTU  
[2344](#).

Council of Five Hundred, France  
[1009](#), [1012](#).

Council of Flanders  
[1882](#).

Council of Four, Paris Peace Conference  
[1784](#), [1784](#).

Council of Ministers, Russia  
[3261](#).

Council of Nationalities, Russia  
[2076](#).

Nicaea, Council of  
[268](#), [273](#).

Council of People's Commissars, Russia  
[2065](#), [2067](#), [3261](#).

Council of Resistance, Netherlands  
[1898](#).

Council of Seleucia  
[273](#).

Council of State, France  
[1086](#).

Council of State, Poland  
[3095](#).

Council of State, Switzerland  
[1095](#).

Council of Ten, Paris Peace Conference  
[1784](#).

Council of the Ancients, France  
[1009](#).

Council of the Indies, Spain  
[867](#), [909](#), [909](#), [910](#), [1481](#).

Council of the League  
[1785](#).

Council of Trade Unions, Australia  
[2544](#).

Council of Trent

[584](#), [604](#), [609](#), [609](#), [609](#), [632](#).  
Council on Environmental Quality  
[3419](#).  
Counter-Reformation  
[626](#), [633](#), [635](#), [635](#).  
Country Party, Australia  
[2541](#), [2548](#), [4298](#).  
Counts' War, civil war in Denmark  
[627](#).  
coup d'état of Brumaire, France  
[1012](#).  
Coup Maupéou, France  
[717](#).  
Coup of 22 Floréal, France  
[1010](#).  
Courbet, Gustave, writer  
[1146](#).  
Courland  
[460](#), [632](#), [667](#), [1740](#), [1794](#).  
Courtaulds, synthetic fibers  
[1700](#).  
Courten, William  
[931](#).  
Courtenay, William, archbishop  
[514](#).  
Court of Appeal, England  
[1161](#), [1162](#).  
Court of Common Pleas, England  
[446](#), [690](#).  
Court of Exchequer, England  
[446](#).  
Court of King's Bench, England  
[446](#).  
Court of King's High Bench, England  
[688](#).  
Courtrai  
[653](#); battle of the \_Spurs, [453](#).  
courts  
[444](#), [446](#); Russia, [1259](#); Egypt, [1371](#); Africa, [1515](#).  
Couthon, Georges, French leader  
[1005](#).



Coutras, battle of  
[599](#).

Covadonga, battle of  
[420](#).

Covenant, League of Nations  
[1784](#).

Covenanters  
*See* [Solemn League and Covenant \(Covenanters\)](#).

Covenant of Anjala  
[766](#).

Coventry  
[2587](#).

Coverdale, Miles, translator of the Bible  
[587](#).

Covilhã, Pedro de, explorer  
[281](#).

Coward, Noel, playwright  
[1839](#).

Cow Protection Movement, India  
[1398](#).

Cox, Henry, British leader  
[2397](#).

Cox, James M., U.S. leader  
[2191](#).

Cox, Percy  
[2399](#).

Cracow  
[1088](#), [1268](#), [1739](#), [1740](#), [1792](#), [1793](#), [2621](#); free state of, [1267](#), [1268](#). *See* [Kraków](#).

Cradock, Christopher  
[1795](#), [1795](#).

Craig, James  
[1863](#), [1864](#), [1879](#).

Craiova  
[1806](#), [2185](#).

Cranach, Lucas, German artist  
[616](#).

Cranmer, Thomas, archbishop of Canterbury  
[586](#), [586](#), [586](#), [588](#), [594](#).

Crassus, Lucius Licinius  
[229](#).

Crassus, Marcus Licinius

[216](#), [216](#), [237](#), [238](#), [238](#), [240](#), [240](#), [240](#), [240](#), [241](#), [243](#).  
Craterus, Macedonian general  
[209](#).  
Crawford, William H., U.S. leader  
[1574](#).  
Craxi, Bettino, Italian leader  
[2945](#), [2946](#).  
Cray Research and Control Data  
[2641](#).  
Crazy Horse, American Indian leader  
[1597](#).  
Crécy  
[512](#), [513](#), [520](#), [544](#).  
Credit-Anstalt, Austria  
[1700](#), [1720](#), [1829](#), [1829](#), [1984](#), [2005](#).  
Crédit Mobilier  
[1178](#), [1231](#); scandal, [1595](#).  
Credit Suisse Group  
[2979](#).  
Cree Indians  
[1626](#).  
Creek Indians  
[1572](#).  
Crefeld, battle of  
[663](#).  
Crema  
[538](#).  
Cremera River  
[225](#).  
Crémieux Decree, Algeria  
[1383](#).  
Cremona  
[231](#), [251](#), [251](#), [468](#), [540](#), [607](#), [1960](#).  
Crenides, later Philippi  
[203](#).  
creoles, American-born Spaniards  
[909](#), [911](#), [911](#), [912](#), [913](#); of Latin America, [1643](#), [1643](#), [1644](#), [1645](#), [1648](#), [1648](#), [1650](#),  
[1650](#); in Mexico, [1653](#), [1653](#); in Central America, [1655](#).  
Crescentii, Roman family  
[465](#).  
Crescentius I, duke of the Romans

[465](#).  
Crescentius II, king of the Romans  
[417](#), [417](#), [466](#).  
Crespo, Daniel Fernández, Uruguayan leader  
[3528](#).  
Crespo, Joaquín, Latin American leader  
[1675](#), [1675](#).  
Crespy, treaty of  
[608](#).  
Cresson, Edith, French leader  
[2879](#).  
Crete  
[66](#), [84](#), [168](#), [169](#), [169](#), [169](#), [169](#), [170](#), [171](#), [171](#), [174](#), [184](#), [208](#), [289](#), [434](#), [437](#), [507](#),  
[508](#), [569](#), [604](#), [611](#), [745](#), [801](#), [801](#), [980](#), [1121](#), [1122](#), [1122](#), [1132](#), [1136](#), [1138](#), [1138](#),  
[1274](#), [1277](#), [1279](#), [1279](#), [1279](#), [1280](#), [1280](#), [1328](#), [1331](#), [1345](#), [1367](#), [1758](#), [2154](#),  
[2156](#), [2590](#), [2591](#), [2591](#), [2591](#), [2606](#); and Greece, [1280](#), [1282](#); revolt in, [1337](#), [1346](#),  
[1346](#); and Egypt, [1367](#).  
Crick, Francis H. C., geneticist  
[2703](#).  
Crimea  
[240](#), [314](#), [431](#), [431](#), [431](#), [558](#), [629](#), [631](#), [789](#), [789](#), [807](#), [808](#), [809](#), [809](#), [1334](#), [1774](#),  
[2067](#), [2593](#), [2597](#), [2621](#), [3268](#), [3383](#); autonomy within Ukraine, [3381](#); independence,  
[3382](#).  
Crimean War  
[1100](#), [1155](#), [1180](#), [1199](#), [1211](#), [1239](#), [1258](#), [1259](#), [1312](#), [1334](#), [1334](#), [1334](#), [1334](#).  
Crime of 1873, U.S. silver legislation  
[1599](#).  
Criminal Code Amendment Act, Canada  
[3454](#).  
Criminal Law Amendment Act, England  
[1160](#).  
Criminal Law Amendment Act, Ireland  
[1875](#).  
Cripps, Stafford  
[2446](#).  
Crisa, Cirrha  
[182](#).  
Crispi, Francesco, Italian leader  
[1219](#), [1220](#), [1220](#), [1221](#), [1222](#).  
Crispus, Flavius Julius, son of Constantine I  
[262](#).

Cristea, Miron, Romanian patriarch  
[2183](#), [2184](#).

Cristero Revolt, Mexico  
[2297](#).

Cristiani, Alfredo, Salvadoran leader  
[3670](#), [3671](#), [3672](#).

Cristóbal, Diego, Peruvian leader  
[913](#).

Critias, Athenian leader  
[199](#).

Crittenden compromise, U.S.  
[1584](#).

Crivelli, Carlo, Venetian artist  
[584](#).

Croatia  
[440](#), [482](#), [492](#), [494](#), [494](#), [494](#), [494](#), [502](#), [502](#), [560](#), [560](#), [563](#), [804](#), [805](#), [1073](#), [1073](#),  
[1074](#), [1074](#), [1087](#), [1238](#), [1239](#), [1239](#), [1245](#), [1245](#), [1246](#), [1779](#), [2127](#), [2127](#), [2127](#),  
[2127](#), [2128](#), [2129](#), [2130](#), [2130](#), [2130](#), [2131](#), [2131](#), [2133](#), [2134](#), [2134](#), [2134](#), [2687](#),  
[3165](#), [3174](#), [3176](#), [3176](#), [3177](#), [3177](#), [3177](#), [3177](#), [3178](#), [3178](#), [3186](#), [3190](#), [3190](#),  
[3191](#), [3192](#), [3192](#), [3192](#), [3192](#); Serbs, [3176](#), [3176](#), [3176](#), [3177](#), [3177](#); independence,  
[3177](#), [3190](#), [3190](#), [3190](#).

Croatian Democratic Community, HDZ  
[3176](#), [3190](#).

Croatia-Slavonia  
[1787](#).

Crocco, G. A., inventor  
[1736](#).

Croesus, king of Lydia  
[114](#), [177](#), [177](#).

Croix de feu, French Fascist group  
[1912](#).

Cro-Magnons  
[25](#), [25](#), [25](#), [27](#).

Cromwell, Oliver  
[593](#), [593](#), [668](#), [670](#), [671](#), [672](#), [674](#), [693](#), [695](#); as commander of Ironsides army, [592](#),  
[592](#); as governor general of Ireland, [668](#), [693](#), [693](#), [693](#), [694](#), [694](#), [695](#); as lord  
protector, [671](#), [671](#).

Cromwell, Richard, lord protector  
[673](#).

Cromwell, Thomas, minister to Henry VIII  
[586](#), [587](#).

Croning, Johannes, metallurgist  
[1733](#).

Cronstadt  
[1117](#).

Crookes, William, physicist  
[1148](#).

Crop Loan Act, U.S.  
[2202](#).

Cross, James R., British official  
[3455](#), [3455](#), [3455](#).

Crosser-Dill Railway Labor Act, U.S.  
[2203](#).

Croton  
[178](#), [184](#), [185](#), [185](#).

Crowder, Enoch, U.S. diplomat  
[2301](#), [2302](#).

Crowley, Donald J., U.S. diplomat  
[3741](#).

Crown Lands Ordinance, England  
[1533](#).

Crown Point  
[940](#), [946](#).

Crowther, Samuel Ajayi, African leader  
[1514](#).

Croydon  
[2587](#).

Crozat, Antoine, French colonizer  
[922](#).

Cruetz, Gustaf Philip, writer  
[761](#).

Crusades  
[281](#), [299](#), [302](#), [302](#), [311](#), [313](#), [313](#), [313](#), [318](#), [318](#), [318](#), [318](#), [318](#), [319](#), [319](#), [320](#), [322](#), [451](#),  
[452](#), [455](#), [457](#), [460](#), [460](#), [488](#), [501](#), [504](#), [504](#), [504](#), [505](#), [508](#), [508](#), [508](#), [560](#), [561](#), [568](#),  
[601](#); First, [302](#), [318](#), [468](#), [501](#), [505](#); Second, [302](#), [318](#), [449](#), [456](#), [502](#), [505](#); Eighth,  
[322](#), [507](#); Third, [444](#), [450](#), [457](#), [471](#), [496](#), [503](#), [505](#); Albigensian-Waldensian, [450](#); of  
Frederick II, [458](#); Albigensian, [469](#), [507](#); Fourth, [473](#), [504](#), [505](#), [507](#); Children's, [507](#);  
Fifth, [507](#); Sixth, [507](#); Seventh, [507](#).

Cruz, Apolinario de la, Philippine leader  
[1480](#).

Cruz, Juan de la, Spanish poet  
[604](#).

Cruz e Silva, Portuguese writer

[727](#).

Crvenkovski, Branko, Macedonian leader

[3195](#).

Crysler's Farm, battle of

[1623](#).

Crystal Palace, London

[959](#), [984](#), [1155](#), [1700](#).

Csepel Island

[3147](#).

Csurka, István, Hungarian leader

[3153](#), [3158](#).

Ctesiphon

[254](#), [255](#), [263](#), [272](#), [272](#), [272](#), [273](#), [275](#), [275](#), [286](#), [287](#), [292](#), [429](#), [1750](#).

Ctesiphon-Seleucia

[216](#).

Ctesipius, Greek physicist and inventor

[208](#).

Cuadra, Vicente, Latin American leader

[1683](#).

Cuautehmóc, Mexica ruler

[901](#), [901](#).

Cuba

[572](#), [572](#), [666](#), [724](#), [895](#), [908](#), [908](#), [909](#), [961](#), [1506](#), [1609](#), [1643](#), [1657](#), [1693](#), [1693](#), [1738](#), [1738](#), [2301](#), [2301](#), [2302](#), [2316](#), [2600](#), [2644](#), [2657](#), [2659](#), [2675](#), [2684](#), [3455](#), [3465](#), [3465](#), [3468](#), [3469](#), [3470](#), [3471](#), [3475](#), [3478](#), [3485](#), [3592](#), [3599](#), [3605](#), [3606](#), [3642](#), [3651](#), [3659](#), [3676](#), [3689](#), [3689](#), [3714](#), [3714](#), [3714](#), [3716](#), [3717](#), [3717](#), [3717](#), [3719](#), [3720](#), [3721](#), [3721](#), [3722](#), [3722](#), [3722](#), [3725](#), [3725](#), [3725](#), [3726](#), [3726](#), [3735](#), [3739](#), [3762](#), [3764](#); revolution in, [1481](#).

Cuban Communist Party, PCC

[3721](#), [3721](#).

Cuban Federation of Women

[3716](#), [3721](#).

Cubas Grau, Raúl, Paraguayan leader

[3525](#), [3525](#), [3526](#), [3526](#).

cubism

[1146](#).

Cucutá, congress of

[1651](#).

Cuestas, Juan Lindolfo, Latin American leader

[1667](#).



[375](#), [378](#), [1425](#), [2464](#), [2466](#), [2478](#), [2478](#), [2483](#), [4147](#), [4149](#), [4151](#), [4156](#), [4156](#), [4158](#), [4165](#); Korea, [377](#), [382](#), [1429](#), [2488](#), [2490](#), [2491](#); Japan, [384](#), [384](#), [384](#), [385](#), [385](#), [385](#), [386](#), [386](#), [391](#), [396](#), [396](#), [396](#), [396](#), [396](#), [1437](#), [1437](#), [1471](#), [2494](#), [2520](#), [2520](#), [2520](#), [2520](#), [2520](#), [2665](#), [4238](#); Vietnam, [399](#), [399](#); postclassical Europe, [406](#), [406](#), [406](#), [410](#); Greco-Roman, [406](#), [408](#); Romano-German, [408](#); Ottonians, [416](#), [417](#), [417](#); Spain, [419](#), [476](#), [479](#), [1921](#), [2895](#); Britain, [421](#); England, [422](#), [446](#), [516](#), [516](#); Ireland, [425](#), [425](#), [425](#); Scandinavia, [426](#), [426](#), [426](#); Byzantium, [427](#), [435](#), [438](#), [438](#), [502](#), [569](#); Western Europe, [443](#), [511](#); France, [452](#), [524](#), [2839](#), [2841](#), [2849](#), [2855](#), [2861](#), [2869](#), [2869](#), [2874](#); Russia, [490](#), [1256](#), [1258](#), [1260](#), [1261](#), [2068](#), [2068](#), [2074](#), [2656](#), [3263](#), [3272](#), [3280](#), [3284](#), [3301](#); Florence, [534](#); Milan, [537](#); Venice, [539](#); 1500–1800, [584](#); England 1500–1800, [594](#); Low Countries, [596](#); French Renaissance, [600](#); Spain 1500s–1600s, [604](#), [604](#); Italy 1400s–1500s, [607](#); Germany 1500–1800, [616](#); Thirty Years' War, [624](#), [624](#); Poland, [633](#), [1267](#), [1267](#), [2119](#); Hungary, [636](#), [2029](#); 17th and 18th centuries, [645](#), [646](#), [646](#), [646](#); France, 1700s, [707](#); Spain, 1600s–1700s, [718](#); Portugal, 1600s–1700s, [727](#); Italy, 1600s–1700s, [735](#); Switzerland, [749](#), [751](#); Scandinavia, 1600s–1700s, [761](#); Iceland, 1600s–1700s, [775](#); Russia, 1700s, [785](#); Middle East 1500–1800, [791](#); Iran, 1500s–1600s, [813](#); India, 1500–1800, [830](#), [830](#), [832](#), [832](#), [833](#), [834](#), [835](#), [835](#); Southeast Asia, 1500–1800, [840](#), [841](#), [844](#), [847](#); China, 1500–1800, [851](#), [851](#), [851](#), [852](#), [854](#); Korea, 1500–1800, [855](#); Japan, 1500–1800, [857](#), [859](#), [859](#), [861](#), [861](#); Pacific Islands, 1500–1800, [864](#); Americas, [912](#), [912](#), [918](#); 1800–1914, [958](#), [958](#), [1034](#), [1035](#), [1035](#), [1037](#), [1037](#), [1037](#), [1037](#), [1037](#), [1037](#), [1142](#), [1143](#), [1143](#), [1146](#), [1146](#), [1146](#), [1146](#); Victorian, [1050](#); Denmark, [1077](#); Finland, [1080](#), [2055](#), [2056](#); Germany, [1231](#), [1235](#), [1974](#), [2988](#); Balkan Peninsula, [1271](#); Greece, [1272](#); Serbia, [1284](#); Bulgaria, [1304](#), [1306](#), [1306](#); Albania, [1325](#); Middle East, [1335](#), [2317](#), [3768](#), [3839](#); Turkey, [1348](#), [2326](#), [2333](#), [3794](#), [3796](#), [3799](#); Iran, [1350](#), [2341](#), [2341](#), [2341](#), [3782](#), [3817](#), [3817](#), [3819](#); Egypt, [1370](#), [1372](#), [2351](#), [2355](#), [2357](#), [2357](#), [2363](#), [2684](#), [3903](#), [3911](#), [3911](#), [3912](#), [3913](#), [3915](#), [3915](#), [3916](#); India, [1394](#), [1399](#), [3957](#); Maoris, [1500](#), [1500](#); Madagascar, [1561](#); U.S., [1563](#), [1563](#), [1600](#), [2191](#), [2196](#), [2199](#), [3401](#), [3412](#), [3414](#), [3417](#), [3417](#); Latin America, [1657](#), [2241](#), [2241](#), [2241](#), [2241](#), [3465](#), [3465](#), [3465](#), [3465](#); international, [1701](#); modern, [1816](#), [1816](#), [1839](#); popular, [1816](#), [1816](#), [1816](#), [2702](#), [2774](#), [2776](#); commercial holiday camp, [1851](#); Italy, [1952](#), [2932](#), [2935](#), [2942](#); Norway, [2044](#); socialist realism, [2068](#); mass, [2187](#); North Africa, [2317](#), [3768](#); Hebrew, [2391](#); Iraq, [2407](#), [3882](#); Indonesia, [2456](#); Nigeria, [2682](#); South Africa, [2687](#); postwar Europe, [2701](#), [2702](#); fashion, [2776](#); West Germany, [3008](#); Sweden, [3066](#); Iceland, [3087](#); Canada, [3448](#), [3448](#), [3451](#); Peru, [3559](#); Colombia, [3575](#); Venezuela, [3595](#); Guatemala, [3655](#); Cuba, [3714](#), [3721](#); Syria, [3843](#); Palestinians, [3845](#); Israel, [3862](#); Algeria, [3930](#), [3933](#). *See* [art](#); [literature](#); [music](#).

Cumae

[182](#), [184](#), [190](#), [222](#), [222](#), [227](#).

Cumaná

[897](#).



Cumann na Gaedheal, Ireland

[1170](#).

Cumans

[488](#), [489](#), [493](#), [494](#), [496](#), [496](#), [501](#), [501](#), [503](#).

Cumberland, England

[444](#).

Cumberland River

[1587](#).

Cunard, Samuel, British ship owner

[961](#), [1625](#).

Cundinamarca, republic of

[1650](#).

Cundinamarca

[1672](#).

cuneiform

[83](#), [85](#), [86](#), [87](#), [88](#), [101](#), [102](#), [112](#), [117](#), [121](#).

Cunha, Luis da, Portuguese writer

[727](#).

Cunningham, Allan, explorer

[1488](#).

Curaçao

[961](#).

curia, papal

[452](#), [465](#), [467](#), [467](#), [468](#), [530](#), [530](#), [609](#), [1223](#).

Curia Iulia

[239](#).

Curie, Marie Sklodowska, physicist

[1149](#).

currency

[114](#), [140](#), [176](#), [178](#), [180](#), [186](#), [229](#), [255](#), [255](#), [260](#), [332](#), [1720](#), [2118](#), [2640](#), [2640](#), [2669](#), [2670](#), [2671](#), [2673](#), [2676](#), [2693](#); Umayyad dynasty, [290](#); paper money, [305](#); Ottoman Empire, [313](#); Mamluks, [320](#); Africa, [362](#); China, [375](#); Europe, [400](#), [2739](#), [2746](#), [2753](#), [2753](#), [2756](#), [2825](#), [2833](#), [2836](#), [2884](#), [2884](#), [2885](#), [2910](#), [2951](#), [3026](#), [3053](#), [3082](#); Florence, [534](#); Spain, [718](#), [2909](#); Portugal, [728](#); Sweden, [764](#); Tunis, [828](#); Korea, [855](#); Vietnam, [863](#); France, [1009](#), [1908](#), [2849](#), [2860](#), [2870](#); Denmark, [1077](#); Germany, [1235](#), [1977](#), [1978](#), [1978](#), [2985](#), [2985](#), [3010](#); Austria, [1238](#), [2002](#), [2003](#), [3039](#); Finland, [1254](#); Serbia, [1288](#); Morocco, [1376](#); Australia, [1498](#), [4303](#); U.S., [1595](#), [1599](#), [1604](#); stabilization, [1700](#), [1722](#); international institutions after WWII, [1700](#); Belgium, [1886](#); Switzerland, [1968](#); Hungary, [2022](#); Russia, [2068](#), [3262](#); Latvia, [2098](#), [3347](#), [3348](#); Poland, [2118](#); Yugoslavia, [2129](#); Palestine, [2389](#); UN, [2633](#); ruble, [2754](#); Great Britain, [2762](#), [2778](#), [2780](#); West Germany, [3005](#); Czechoslovakia, [3127](#); Czech

Republic and Slovakia, [3137](#); Estonia, [3297](#); Belarus, [3316](#); Kazakhstan, [3334](#); Kirghizstan, [3342](#); Lithuania, [3354](#); Moldova, [3360](#); Russian Federation, [3365](#); Tajikistan, [3375](#); Ukraine, [3382](#); Argentina, [3488](#), [3496](#), [3502](#); Uruguay, [3528](#); Ecuador, [3573](#), [3574](#); Brazil, [3628](#), [3628](#); Panama, [3640](#); Cuba, [3725](#); Egypt, [3902](#); India, [3967](#); Ceylon, [4031](#); Thailand, [4073](#), [4073](#); Philippines, [4292](#); CFA, [4325](#). *See* [gold](#).

Currency Act, U.S.  
[1610](#).

Curtin, John  
[4295](#).

Curtiss, Glenn, aircraft engine designer  
[991](#).

Curzola, battle of  
[474](#).

Curzolari Islands, Italian claims to  
[1746](#).

Curzon Line, Poland's eastern frontier  
[1817](#), [2086](#), [2114](#), [3089](#).

Cusco  
[570](#), [570](#), [898](#), [898](#), [898](#), [899](#), [909](#), [912](#), [913](#).

Cushing, Caleb, U.S. envoy  
[1416](#).

Cushites  
[347](#), [347](#), [347](#), [362](#), [879](#).

Custer, George A., U.S. commander  
[1597](#).

Custine, Adam de, French general  
[1005](#).

customs unions  
[2818](#); Switzerland, [1966](#); German-Austrian, [2005](#).

Custoza, battle of  
[1092](#), [1216](#).

Cuttack  
[337](#).

Cuvier, Georges, scientist  
[1041](#), [1042](#).

Cuyo  
[899](#).

Cuza, A. C., Romanian leader  
[2182](#).

Cuza, Alexander, prince of Moldavia and Wallachia

[1313](#), [1313](#), [1314](#), [1315](#), [1315](#), [1316](#).

Cuzco

[1649](#).

Cyaxares, king of the Medes

[87](#), [88](#), [114](#), [123](#), [123](#).

Cybele

[112](#).

cybernetics

[2703](#).

Cyclades

[168](#), [169](#), [171](#), [175](#), [180](#), [189](#), [210](#), [218](#), [218](#), [473](#), [1277](#).

Cyclopean architecture

[171](#), [171](#).

cyclotron

[1730](#).

cylinder seals

[84](#).

Cylon, Athenian noble

[180](#).

Cyme

[182](#), [184](#), [199](#).

Cymri

[421](#).

Cynics

[186](#).

Cynoscephalae

[211](#), [233](#).

Cyprus

[42](#), [95](#), [101](#), [109](#), [110](#), [113](#), [124](#), [172](#), [173](#), [176](#), [189](#), [193](#), [200](#), [208](#), [209](#), [214](#), [218](#), [218](#), [218](#), [320](#), [430](#), [432](#), [437](#), [505](#), [507](#), [539](#), [611](#), [611](#), [797](#), [955](#), [962](#), [1108](#), [1108](#), [1327](#), [1344](#), [1744](#), [1843](#), [2591](#), [2636](#), [2638](#), [2638](#), [2661](#), [2672](#), [2682](#), [2720](#), [2741](#), [2754](#), [2754](#), [2767](#), [3118](#), [3162](#), [3211](#), [3213](#), [3216](#), [3222](#), [3231](#), [3233](#), [3324](#), [3779](#), [3794](#), [3797](#), [3806](#), [3806](#), [3806](#), [3806](#), [3807](#), [3807](#), [3808](#), [3808](#), [3809](#), [3809](#), [3810](#), [3810](#), [3811](#), [3811](#), [3811](#), [3811](#), [3812](#), [3812](#); and Great Britain, [1344](#), [3806](#), [3807](#), [3807](#), [3807](#), [3808](#); WWI, [1748](#); independence, [3809](#); invasion by Turkey, [3809](#); Turkish Federated State of Cyprus, [3810](#); Turkish Republic of North Cyprus, [3810](#); Greek, [3811](#); Turkish Republic of Northern Cyprus, [3812](#).

Cypselus, tyrant of Corinth

[178](#), [179](#).

Cyrankiewicz, Josef, Polish leader

[3091](#), [3096](#), [3096](#), [3097](#), [3099](#).

Cyrenaica

[95](#), [245](#), [321](#), [828](#), [1348](#), [1392](#), [1392](#), [1392](#), [1393](#), [1393](#), [2430](#), [2431](#), [2431](#), [2431](#), [2431](#), [2431](#), [2612](#), [3947](#), [3947](#), [3947](#).

Cyrene

[95](#), [129](#), [177](#), [218](#), [218](#), [218](#).

Cyril, St.

[409](#), [434](#).

Cyril, Constantine

[440](#), [483](#), [483](#).

Cyril, Bulgarian prince and regent

[2173](#).

Cyrillic alphabet

[440](#), [440](#).

Cyrus, satrap of Anatolia

[124](#).

Cyrus the Great, king of Persia

[70](#), [88](#), [88](#), [95](#), [105](#), [109](#), [114](#), [114](#), [115](#), [119](#), [123](#), [124](#), [124](#), [177](#).

Cythera

[196](#).

Cyzicus

[177](#), [215](#).

Czartoryski, Adam Jerzy, Polish general and leader

[781](#), [1256](#).

Czartoryski family

[781](#).

Czaslau, battle of

[660](#).

Czech and Slovak Federative Republic

[3134](#).

Czech-German relations

[1089](#).

Czech National Council

[3136](#).

Czechoslovakia

[1089](#), [1089](#), [1090](#), [1243](#), [1708](#), [1817](#), [1818](#), [1819](#), [1820](#), [1823](#), [1824](#), [1833](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1914](#), [1956](#), [2010](#), [2013](#), [2013](#), [2013](#), [2013](#), [2013](#), [2014](#), [2015](#), [2017](#), [2018](#), [2018](#), [2018](#), [2019](#), [2020](#), [2021](#), [2023](#), [2025](#), [2032](#), [2067](#), [2067](#), [2078](#), [2083](#), [2116](#), [2123](#), [2124](#), [2184](#), [2208](#), [2636](#), [2665](#), [2685](#), [2688](#), [2700](#), [2706](#), [2715](#), [2729](#), [2729](#), [2729](#), [2729](#), [2748](#), [2749](#), [2982](#), [3007](#), [3017](#), [3018](#), [3020](#), [3098](#), [3111](#), [3112](#), [3120](#), [3124](#), [3130](#), [3132](#), [3134](#), [3135](#), [3137](#), [3137](#), [3142](#), [3151](#), [3166](#), [3238](#), [3250](#), [3283](#), [3907](#), [4100](#); renaissance, [1073](#); WWI, [1769](#).

[1778](#), [1778](#), [1778](#), [1778](#), [1778](#), [1787](#); independence, [1778](#), [1779](#), [1785](#); WWII, [1814](#), [2593](#); between Wars, [1832](#); first crisis, [1835](#); second crisis, [1835](#); occupation by Germany, [1835](#); annexation by Germany, [1837](#), [1991](#); and Germany, [1991](#); extinction by Germany, [1992](#); crisis, [2020](#), [2020](#), [2020](#), [2021](#), [2021](#); dismemberment, [2020](#); annihilation, [2021](#); and Hungary, [2031](#); WWII settlement, [2635](#); division, [2688](#); post-WWII, [3120](#), [3120](#), [3120](#), [3122](#); Communist, [3123](#), [3123](#), [3124](#), [3125](#), [3128](#), [3128](#), [3129](#), [3129](#), [3131](#), [3132](#), [3132](#); invasion by Russia, [3128](#), [3282](#); human rights manifesto, [3132](#); 1989 Revolution (Velvet Revolution), [3133](#); liberalization, [3133](#), [3133](#), [3133](#), [3134](#), [3134](#), [3136](#); two countries, [3136](#). *See* [Czech Republic](#); [Slovak Republic](#); [Slovakia](#).

Czechoslovak Musician's Union Jazz Section  
[3132](#).

Czechoslovak National Committee  
[2021](#).

Czechoslovak National Council  
[1778](#).

Czechoslovak Social Democratic Party  
[3123](#).

Czech Republic  
[2688](#), [2697](#), [2752](#), [2754](#), [2754](#), [2754](#), [2756](#), [2757](#), [3118](#), [3118](#), [3120](#), [3136](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3138](#), [3138](#), [3138](#), [3139](#), [3139](#), [3140](#), [3162](#), [3163](#), [3324](#). *See* [Czechoslovakia](#).

Czechs  
[482](#), [483](#), [483](#), [483](#), [560](#).

Czernin, Ottokar, Austrian leader  
[1771](#), [1772](#).

Czernowitz  
[757](#), [1740](#), [1792](#), [1802](#), [1803](#).

## D

Dabbas, Charles, Lebanese leader  
[2379](#), [2379](#).

Dacca University, Pakistan  
[4003](#).

Dacia  
[245](#), [252](#), [252](#), [253](#), [257](#), [257](#), [258](#), [402](#).

Dacian Wars  
[252](#), [253](#).

Dacko, David, leader of Central African Republic  
[4333](#), [4333](#), [4333](#), [4334](#).

da Costa, Guilherma Posser, leader of São Tomé and Príncipe  
[4376](#).

da Costa, Manuel Pinto, leader of São Tomé and Príncipe  
[4374](#), [4374](#), [4374](#), [4374](#).

da Cruz, Viriato, scholar  
[4432](#).

Daddah, Moktar Ould, Mauritanian leader  
[4364](#), [4364](#).

Daendels, Herman, Dutch soldier  
[1412](#).

Daewoo  
[2640](#).

Dagan  
[101](#).

Dagestan  
[2756](#), [3370](#).

Daghistan  
[807](#), [955](#).

Dagmar Reform, Sweden  
[3065](#).

Dagobert, Merovingian ruler  
[407](#), [483](#), [505](#).

Dagohoy, and rebellion in the Philippines  
[867](#).

Dagon  
[108](#).

Dagu  
[1417](#), [1424](#), [2486](#).

Daguerre, Louis J. M., photographer  
[989](#).

daguerreotypes  
[989](#).

Dahanayake, Wijayananda, Ceylonese leader  
[4028](#).

Dahomey  
[579](#), [869](#), [873](#), [876](#), [876](#), [876](#), [877](#), [1515](#), [1517](#), [1517](#), [1517](#), [2555](#), [2555](#), [2559](#), [4325](#),  
[4329](#), [4329](#), [4329](#); independence, [4329](#). See [Benin](#).

Dahushan  
[2466](#).

Dahyauka, Median chieftain  
[123](#).

Daiichi Bank, Japan

[2488](#), [4242](#).

dáil Eireann

[1861](#), [1861](#), [1863](#), [1863](#), [1864](#), [1865](#), [1870](#), [1873](#), [1873](#), [1876](#), [2807](#).

Daimler, Gottlieb, inventor

[981](#), [990](#).

daimyos

[1442](#), [1448](#), [1448](#).

Dairen

*See* [Dalian](#).

Dai Việt

[376](#), [397](#), [398](#), [399](#), [399](#), [399](#), [399](#), [399](#), [399](#), [399](#).

Dai Zhen, Chinese philosopher and philologist

[854](#).

Dakar, French West Africa

[2556](#), [2556](#), [2556](#), [2556](#), [2557](#), [2611](#), [4323](#), [4325](#), [4378](#).

Dakar, University of

[4323](#), [4378](#).

Dakar-Bamako railroad

[4320](#).

Dakhil Gateway

[333](#).

Daladier, Édouard, French leader

[1835](#), [1835](#), [1835](#), [1838](#), [1901](#), [1914](#), [1914](#), [1914](#), [1914](#), [1915](#), [2427](#).

Dalai Lama, Tibetan Buddhist leader

[853](#), [2682](#), [3962](#), [4146](#), [4151](#), [4151](#); in 1720, [852](#).

Dale, Thomas

[924](#).

D'Alema, Massimo, Italian leader

[2950](#), [2951](#), [2952](#).

D'Alembert, Jean, French historian

[645](#).

Dalgas, Enrico, Danish reformer

[1251](#).

Dalhousie, Lord, James Andrew Broun, governor-general of India

[1396](#), [1396](#).

Dalhousie College

[1625](#).

Dali

[1417](#).

Dalian

[969](#), [969](#), [1423](#), [1462](#), [1464](#), [2486](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 21

Dalin, Olof, writer

[761](#).

Dallas

[3408](#).

Dalmatia

[248](#), [260](#), [401](#), [410](#), [433](#), [473](#), [492](#), [492](#), [502](#), [502](#), [502](#), [507](#), [560](#), [562](#), [563](#), [563](#), [745](#),  
[804](#), [805](#), [1746](#), [1746](#), [1784](#), [2127](#), [2127](#).

Dalmatian Islands

[1746](#), [1817](#).

Dalmatius, nephew of Constantine I

[262](#).

Dalriada

[424](#).

Dalton, John, chemist

[1041](#).

Damad Ferid Pasha, Ottoman leader

[2320](#), [2322](#).

Damad Ibrahim Pasha, grand vezir

[805](#), [806](#), [807](#).

Daman

[831](#).

Damanaki, Maria, Greek leader

[3228](#).

Damao

[3960](#), [3963](#).

Damascus

[87](#), [87](#), [100](#), [104](#), [104](#), [105](#), [105](#), [105](#), [105](#), [106](#), [106](#), [106](#), [109](#), [113](#), [215](#), [275](#), [287](#),  
[289](#), [291](#), [291](#), [291](#), [296](#), [317](#), [318](#), [318](#), [318](#), [318](#), [319](#), [319](#), [319](#), [320](#), [419](#), [429](#), [429](#),  
[432](#), [437](#), [505](#), [792](#), [792](#), [795](#), [800](#), [800](#), [803](#), [805](#), [806](#), [807](#), [807](#), [808](#), [808](#), [809](#), [810](#),  
[1332](#), [1332](#), [1335](#), [1336](#), [1337](#), [1357](#), [1367](#), [1382](#), [1750](#), [1751](#), [1753](#), [2370](#), [2371](#),

[2371](#), [2371](#), [2374](#), [2374](#), [2375](#), [2592](#), [3771](#), [3771](#), [3839](#), [3840](#), [3843](#), [3843](#).  
Damascus Accord  
[3850](#).  
Damaskinos, archbishop of Greece  
[3207](#), [3207](#).  
Dambarane  
[888](#).  
Damian, Peter, ecclesiastic  
[466](#), [467](#).  
Damietta  
[319](#), [507](#), [507](#).  
Damiq-ilishu, king of Isin  
[85](#), [85](#).  
Danang  
[1473](#), [1473](#), [4266](#), [4268](#).  
Dandanqan, battle of  
[301](#).  
Dandin, Hindu author  
[131](#).  
Dandolo, Enrico, Venetian doge  
[505](#), [508](#).  
Danegeld  
[422](#), [444](#), [444](#).  
Danelaw  
[422](#), [422](#), [422](#).  
Dane Mark  
[411](#), [416](#).  
Danes  
[412](#), [415](#), [416](#), [416](#), [422](#), [422](#), [422](#), [422](#), [422](#), [422](#), [422](#), [426](#), [426](#).  
Danev, Stojan, Bulgarian leader  
[1138](#), [1309](#).  
Daniel, Yuli, scholar  
[3280](#).  
Daniel of Volynia, Russian leader  
[490](#).  
Danilevsky, Nicholas, writer  
[1260](#).  
Danilo I, prince of Montenegro  
[1296](#), [1334](#).  
Danish International  
[1252](#).

Danishmendids

[301](#).

Danish Trades Union Congress

[1253](#).

Danish West Indies

[2038](#), [2311](#).

Dan no ura, battle of

[387](#).

d'Annunzio, Gabriele, Italian writer and leader

[1224](#), [1817](#), [1941](#), [1943](#), [1943](#).

Dansai

[1407](#).

Dante Aligheri, poet

[469](#), [525](#), [534](#), [540](#).

Dantidurga, ruler of India

[327](#).

Danton, Georges Jacques, French leader

[1001](#), [1003](#), [1004](#), [1004](#), [1007](#).

Danube River

[46](#), [124](#), [239](#), [243](#), [245](#), [251](#), [251](#), [252](#), [254](#), [255](#), [255](#), [257](#), [257](#), [257](#), [258](#), [258](#), [260](#),  
[264](#), [310](#), [311](#), [402](#), [402](#), [403](#), [403](#), [411](#), [412](#), [427](#), [428](#), [428](#), [430](#), [437](#), [437](#), [438](#), [439](#),  
[441](#), [488](#), [491](#), [496](#), [498](#), [501](#), [502](#), [540](#), [560](#), [562](#), [563](#), [613](#), [614](#), [620](#), [757](#), [759](#), [798](#),  
[804](#), [1026](#), [1100](#), [1132](#), [1139](#), [1258](#), [1259](#), [1311](#), [1329](#), [1806](#), [1833](#), [1835](#), [1835](#), [1835](#),  
[1991](#), [2229](#), [2597](#), [2620](#), [2707](#), [3030](#), [3172](#), [3251](#).

Danube Statute

[1710](#).

Danube Steamship Company

[1073](#).

Danubian Commission

[2707](#).

Danubian Principalities

[798](#), [1100](#), [1256](#), [1311](#), [1311](#), [1311](#), [1311](#), [1311](#), [1311](#), [1311](#), [1312](#), [1312](#), [1312](#), [1314](#), [1329](#),  
[1334](#), [1334](#).

Danuna

[93](#).

Danzig

[548](#), [550](#), [667](#), [667](#), [780](#), [781](#), [782](#), [782](#), [1032](#), [1784](#), [1837](#), [1838](#), [1853](#), [1915](#), [1932](#),  
[1992](#), [1992](#), [2114](#), [2121](#), [2124](#), [2124](#), [2124](#), [2582](#).

Daoguang reign

[1415](#), [1416](#).

Daoism

[68](#), [145](#), [145](#), [145](#), [146](#), [147](#), [153](#), [154](#), [156](#), [156](#), [156](#), [156](#), [156](#), [158](#), [158](#), [158](#), [158](#), [158](#), [368](#), [368](#), [370](#), [370](#), [371](#), [373](#), [373](#), [375](#), [1429](#), [4177](#); in China, [851](#); in Vietnam, [1473](#).

Daquilema, Fernando, Latin American leader  
[1671](#).

Dara  
[275](#), [427](#), [428](#), [428](#), [428](#).

Dar al-Funun, Iran  
[1350](#), [1350](#).

Dar al-'Ulum, school  
[1370](#), [2356](#).

Daran Kulak  
[1306](#).

Darányi, Kálmán, Hungarian leader  
[2029](#).

Darányi, Koloman, Hungarian leader  
[2029](#).

D'Arcy, William Knox, and concessions in Iran  
[1351](#).

D'Arcy Oil Concession  
[2341](#).

Dardanelles  
[309](#), [474](#), [538](#), [538](#), [745](#), [801](#), [802](#), [803](#), [811](#), [1045](#), [1136](#), [1225](#), [1331](#), [1740](#), [1743](#), [1743](#), [1743](#), [1748](#), [1780](#), [2322](#), [2333](#), [2537](#), [3797](#). *See* [Straits \(Bosporus and Dardanelles\)](#).

Dar es Salaam  
[1530](#), [1534](#), [1768](#), [4325](#), [4408](#), [4410](#), [4427](#), [4470](#).

Darfur  
[880](#), [880](#), [1370](#), [1524](#).

Darien  
[660](#).

Darius I, king of Persia  
[48](#), [95](#), [119](#), [124](#), [129](#), [183](#), [187](#), [188](#).

Darius II Nothus, king of Persia  
[95](#), [124](#), [206](#).

Darius III Codomannus, king of Persia  
[88](#), [124](#), [205](#), [206](#), [206](#), [206](#).

Dar'iyya  
[820](#), [1358](#).

Darjeeling  
[3980](#).

Dark Ages  
[173](#), [173](#), [176](#).

Darlan, Jean-François, French leader  
[1901](#), [1917](#), [1918](#), [2614](#), [2614](#).

Darling, Ralph, British colonial administrator  
[1488](#).

Darling Downs  
[1488](#), [1489](#), [1489](#).

Darling River  
[1488](#).

Darna  
[1392](#), [1393](#), [2612](#).

Darnley, Lord  
*See* [Henry ~Stuart, lord Darnley, husband of Mary, queen of Scots](#).

Darqawiyya Sufism  
[829](#), [1375](#), [1381](#).

Darrow, Clarence, U.S. attorney  
[2196](#).

Dart, Raymond, anatomist  
[19](#).

Dartiguenave, Philippe, Haitian leader  
[1697](#), [2315](#).

Dartmouth College v. Woodward, U.S. Supreme Court decision  
[1574](#).

Darul Islam, Indonesia  
[4124](#).

Darvas, József, scholar  
[2029](#).

Darwin, Australia  
[4307](#).

Darwin, Charles, naturalist  
[1043](#), [1143](#), [1143](#), [1146](#), [1146](#), [1151](#), [1158](#), [1731](#), [3439](#).

Das, Chitta R., Indian leader  
[2437](#).

Das Avatara cave-temple  
[326](#).

Dashnak Party, Armenia  
[1346](#).

Das Kapital, by Marx and Engels  
[1143](#), [1144](#).

Daskylion

[115](#).  
Dasuki, Ibrahim, sultan of Sokoto  
[4370](#).  
Daszynski, Ignace, Polish leader  
[2113](#).  
Datames, satrap of Cappadocia  
[124](#).  
Datis, Persian general  
[188](#).  
Datong  
[158](#), [158](#).  
d'Aubuisson, Roberto, Salvadoran leader  
[3669](#), [3669](#).  
Daudet, Léon, journalist  
[1195](#).  
Daughters of Liberty  
[943](#).  
Daulatabad  
[327](#), [332](#), [332](#), [332](#), [333](#).  
Daun, Leopold von  
[662](#), [663](#), [664](#).  
Dauphiné, French region  
[415](#), [466](#), [520](#), [523](#), [541](#), [1001](#).  
Davao Gulf  
[1480](#).  
d'Avaux, count, French envoy  
[624](#).  
Davel, J. D. Abraham, Swiss rebel  
[749](#).  
Davenport, John, English colonist  
[928](#).  
David, brother of Llewelyn, prince of Wales  
[446](#).  
David, emperor of Trebizond  
[564](#).  
David, king of Israel  
[104](#), [104](#), [104](#), [105](#), [106](#), [109](#), [411](#).  
David I, king of Scotland  
[447](#), [447](#).  
David II, king of Scotland  
[517](#), [517](#).

David ibn Nahmias, printer  
[315](#).

Davids, Norman family  
[425](#).

Dávila, Carlos, Chilean leader  
[2246](#), [2246](#).

Dávila, Manuel R., Latin American leader  
[1686](#).

Davis, Francis W., automotive pioneer  
[991](#).

Davis, Jefferson, U.S. leader  
[1580](#), [1584](#), [1590](#), [1590](#); as Confederate leader, [1585](#).

Davis, John, English explorer  
[993](#).

Davis, John W., U.S. leader  
[2194](#).

Davis resolutions  
[1584](#).

Davisson, Clinton, American physicist  
[1729](#).

Davitt, Michael, Irish leader  
[1169](#).

Davos  
[1968](#).

Davy, Humphry, scientist  
[1041](#).

Dawes, Charles G., U.S. leader  
[1713](#), [1823](#), [2314](#).

Dawes Act, U.S.  
[1602](#).

Dawes Plan  
[1713](#), [1713](#), [1713](#), [1718](#), [1814](#), [1817](#), [1823](#), [1978](#).

Dawud, king of Nubia  
[360](#), [360](#).

Day, Stockwell, Canadian leader  
[3464](#).

Dayananda, swami, Hindu reformer  
[1397](#).

Daybul  
[290](#).

Daye, China

[1420](#), [2461](#), [2465](#).  
Daylam  
[297](#), [298](#), [300](#).  
Day of Indulgence, proclaimed by emperor Henry III  
[454](#).  
Day of the Barricades, insurrection in France  
[599](#).  
Day of the Sections, Paris  
[1008](#).  
Dayr al-Qamar  
[1332](#).  
Dayr Qazhaya  
[800](#).  
Dayr Yasin Massacre  
[3856](#).  
Daza, Hilarión, Latin American leader  
[1668](#), [1668](#).  
Dazai Osamu, writer  
[4238](#).  
Dazhen Islands  
[4147](#).  
D-Day, WWII  
[2619](#), [2621](#).  
DDT  
[1735](#), [2641](#), [2642](#).  
Dead Sea Scrolls  
[2647](#), [3862](#).  
Deák, Francis, Hungarian leader  
[1074](#), [1240](#).  
Deakin, Alfred, Australian leader  
[1497](#), [1497](#), [1497](#), [1498](#).  
Dean, Arthur H., UN leader  
[4198](#).  
Dean, James, film actor  
[2702](#).  
Dean, John, U.S. presidential adviser  
[3423](#).  
death rate  
[1155](#).  
de Beauvoir, Simone, writer  
[2701](#), [2843](#), [2874](#).



De Beers Mining Corporation

[1555](#), [1556](#).

Debré, Michel, French leader

[2851](#), [2853](#).

Debrecen

[2035](#).

Debs, Eugene V., U.S. leader

[1605](#), [1611](#), [1615](#), [2188](#).

debt

[1700](#).

de Burgh, Hubert, guardian of Henry III

[445](#), [445](#).

Decameron

[534](#).

Decazes, duke of, Louis Charles Amadieu, French official

[1105](#).

Decazeville

[1059](#).

Deccan, the

[132](#), [132](#), [132](#), [133](#), [324](#), [325](#), [325](#), [325](#), [326](#), [326](#), [326](#), [328](#), [331](#), [331](#), [332](#), [332](#), [333](#), [333](#), [334](#), [832](#), [833](#), [833](#), [834](#), [834](#), [834](#), [834](#), [835](#), [835](#), [1397](#), [1397](#).

Decebalus, king of Dacia

[252](#), [253](#).

Decelea, Attic fortress

[198](#).

Decembrist Rising, Russia

[1257](#), [1267](#).

Decius, Roman emperor

[257](#), [257](#), [268](#).

Decius Mus, reputed Roman commander

[227](#).

Decius Mus, Publius, Roman consul

[226](#).

Declaration of Breda

[674](#).

Declaration of Independence, American

[919](#), [948](#).

Declaration of Independence, Bulgarian

[1306](#).

Declaration of Indulgence, England

[675](#).

Declaration of La Paz  
[3474](#).

Declaration of Liberty of Conscience, England  
[676](#), [677](#).

Declaration of Lima  
[1699](#), [1727](#), [2240](#).

Declaration of Pillnitz  
[1002](#), [1003](#).

Declaration of Principles and Mutual Recognition, PLO and Israel  
[3862](#).

Declaration of Quito  
[3475](#).

Declaration of Rights, England  
[678](#), [679](#).

Declaration of Rights and Grievances, American  
[944](#).

Declaration of Rights and Liberties, American  
[941](#).

Declaration of San José  
[3468](#).

Declaration of Santiago  
[3467](#).

Declaration of the Rights of Man and Citizen, France  
[1001](#).

Declaration of the Rights of Women, France  
[1001](#).

Declaration to the Seven  
[1752](#).

Declaratory Act, England  
[700](#), [942](#).

Decorated Gothic style  
[446](#).

Decree of Fraternity, France  
[1004](#).

Dedan  
[125](#).

Dedeagatch  
[1139](#).

Dedekind, Richard, mathematician  
[1148](#).

Deep Blue, computer chess program

[2693](#).  
Deere, John, developer of the steel plow  
[987](#), [1576](#).  
Deerfield  
[939](#).  
Defender of the Faith, title  
[586](#).  
Defense Acts, Australia  
[1498](#).  
Defense League, Germany  
[1237](#).  
Defense of the Realm Act  
[1839](#).  
Defensionale of Wyl, Switzerland  
[748](#).  
Deffand, marquise du, Marie de Vichy-Chamrond, French Enlightenment patroness  
[707](#).  
de Forest, Lee, inventor  
[1736](#).  
Defuisseaux, Alfred, Belgian leader  
[1172](#).  
De Gasperi, Alcide, Italian leader  
[2925](#), [2925](#), [2927](#), [2930](#), [2932](#), [2945](#).  
de Gaulle, Charles, French leader  
[1916](#), [1918](#), [1919](#), [1919](#), [2529](#), [2554](#), [2611](#), [2615](#), [2664](#), [2720](#), [2723](#), [2724](#), [2726](#),  
[2727](#), [2727](#), [2728](#), [2778](#), [2838](#), [2838](#), [2838](#), [2838](#), [2838](#), [2839](#), [2840](#), [2841](#), [2841](#),  
[2842](#), [2850](#), [2850](#), [2850](#), [2851](#), [2851](#), [2852](#), [2852](#), [2853](#), [2853](#), [2854](#), [2854](#), [2854](#),  
[2855](#), [2855](#), [2855](#), [2856](#), [2857](#), [2857](#), [2858](#), [2859](#), [2859](#), [2860](#), [2860](#), [2877](#), [3000](#),  
[3280](#), [3452](#), [3927](#), [3928](#), [4081](#), [4264](#), [4266](#), [4268](#), [4283](#), [4321](#), [4324](#), [4434](#), [4492](#).  
Deghastan  
[1256](#).  
Degrelle, Léon, Belgian Fascist leader  
[1889](#).  
de Grubar, Mireya Moscoso, Panamanian leader  
[3646](#).  
Degutiene, Irena, Lithuanian leader  
[3357](#).  
Dehaene, Jean-Luc, Belgian leader  
[2825](#).  
De Havilland, British plane  
[1766](#).

de Havilland Comet, first jetliner  
[2762](#).

Dehuai, Peng, Chinese commander  
[2482](#).

Deioces of Media  
[123](#).

de Jong, Petrus, Dutch leader  
[2831](#).

de Klerk, F. W., South African leader  
[2689](#), [2694](#), [4470](#), [4481](#), [4483](#), [4485](#), [4487](#).

De La Gardie, Magnus Gabriel, Swedish commander  
[630](#).

Delagoa Bay  
[891](#), [969](#), [1124](#), [1506](#), [1549](#), [1551](#).

de la Madrid, Miguel, Mexican leader  
[3704](#), [3704](#), [3705](#).

Delamere, Lord, settler in Kenya  
[1534](#).

Delano vineyards  
[3411](#).

Delaware  
[577](#), [932](#), [937](#), [948](#), [989](#).

Delaware, Lord, Thomas West, English colonizer in America  
[924](#).

Delaware Bay  
[932](#).

Delaware River  
[932](#), [935](#), [935](#), [948](#).

Delbos, Yvon, French leader  
[1913](#).

Delcassé, Théophile, French official  
[1123](#), [1124](#), [1128](#), [1129](#), [1129](#), [1129](#).

de León Carpio, Ramiro, Guatemalan leader  
[3655](#), [3655](#), [3656](#).

Delft  
[595](#).

Delgado Chalbaud, Carlos, Venezuelan leader  
[3596](#), [3596](#).

Delhi  
[324](#), [331](#), [331](#), [331](#), [331](#), [332](#), [332](#), [332](#), [334](#), [817](#), [819](#), [830](#), [831](#), [834](#), [834](#), [835](#), [836](#),  
[1395](#), [1396](#), [1397](#), [1399](#), [1400](#), [2433](#), [2443](#), [2658](#), [2679](#), [3950](#), [3954](#), [3958](#), [3965](#),

[3977](#), [3977](#); sultanate, [281](#), [331](#), [332](#); kingdom, [334](#), [831](#); united conference at, [2437](#).

Delhi College, India  
[1394](#).

Delhi Pact  
[2440](#), [3957](#), [3990](#).

Delian League  
[190](#), [190](#), [190](#), [191](#), [192](#), [192](#), [192](#), [193](#), [194](#), [196](#), [197](#), [198](#), [201](#).

della Torre, Martino, lord of Milan  
[537](#).

Della Torre family  
[537](#), [537](#).

Delors, Jacques, EC leader  
[2746](#).

Delos  
[168](#), [180](#), [190](#), [199](#), [214](#).

Delphi  
[176](#), [182](#), [193](#), [203](#), [209](#).

del Valle, Eric Arturo, Panamanian leader  
[3642](#), [3643](#), [3643](#), [3644](#).

Delyan, Peter, Bulgarian ruler  
[496](#), [499](#).

Demaratus, Spartan king  
[179](#), [187](#), [187](#).

Dementei, Nikolai, Belorussian leader  
[3315](#).

Demetritsa  
[503](#).

Demetrius, city  
[210](#).

Demetrius, king of Bactria  
[129](#).

Demetrius, son of Antigonus  
[209](#), [209](#), [209](#).

Demetrius, son of Euthydemus  
[217](#), [218](#).

Demetrius, son of Philip V  
[211](#).

Demetrius I Poliorcetes, king of Macedonia  
[209](#), [209](#), [209](#), [209](#), [209](#), [209](#).

Demetrius I Soter, king of Syria  
[214](#), [218](#).

Demetrius II, king of Macedonia  
[210](#), [210](#), [211](#), [215](#), [216](#), [218](#).

Demetrius II Nicator, king of Syria  
[214](#), [214](#), [215](#).

Demetrius III, king of Syria  
[215](#).

Demetrius Angelus, ruler of Thessalonica  
[510](#).

Demetrius of Phaleron  
[209](#), [209](#).

Demetrius of Pharos  
[231](#).

Demirel, Süleyman, Turkish leader  
[3795](#), [3795](#), [3796](#), [3799](#), [3800](#), [3805](#).

Demjanjuk, John, alleged Nazi war criminal  
[3861](#).

democracy  
[1702](#), [1703](#), [1703](#), [1703](#), [1704](#), [1705](#), [1706](#), [1706](#), [1814](#), [2757](#).

Democratic Action Party, AD  
[3595](#), [3597](#), [3604](#).

Democratic Alliance, AD  
[3514](#).

Democratic Alliance, DA  
[4489](#).

Democratic Alternative, DA  
[3197](#).

Democratic Center Union  
[2895](#).

Democratic Charter Movement  
[3158](#).

Democratic Convention of Romania, DCR  
[3257](#).

Democratic Entente, Bulgaria  
[2166](#).

Democratic Front, U.S.-Cuban group  
[3717](#).

Democratic Front for the Liberation of Palestine  
[3917](#).

Democratic Front of Albania, DFA  
[3202](#).

Democratic Labour Party, Australia

[4300](#).  
Democratic League, China  
[4142](#).  
Democratic League of Kosovo, LDK  
[3182](#).  
Democratic Left, ID  
[3570](#).  
Democratic Left Alliance, SLD  
[3116](#).  
Democratic Left Party, Turkey  
[3804](#).  
Democratic Liberals, Japan  
[4224](#).  
Democratic National Headquarters, U.S.  
[3423](#).  
Democratic Nationalist Action Party, Bolivia  
[3550](#).  
Democratic Party, Albania  
[3203](#), [3204](#).  
Democratic Party, Bulgaria  
[2166](#).  
Democratic Party, French Morocco  
[3919](#).  
Democratic Party, Italy  
[1944](#), [1945](#).  
Democratic Party, Japan  
[4224](#).  
Democratic Party, Korea  
[4200](#).  
Democratic Party, Thailand  
[4068](#).  
Democratic Party, Turkey  
[3787](#), [3788](#).  
Democratic Party of Azerbaijan  
[3813](#).  
Democratic Party of Kurdistan  
[3814](#).  
Democratic Party of the Left, Italy  
[2950](#).  
Democratic Progressive Party, Taiwan  
[4178](#), [4186](#).

Democratic Republican Party, DRP  
[4203](#).

Democratic-Republicans, U.S.  
[1563](#).

Democratic Republic of the Congo  
[4410](#). *See* [Congo](#); [Zaire](#).

Democratic Revolutionary Front, FDR  
[3667](#), [3668](#).

Democratic Revolutionary Party, PRD  
[3706](#).

Democratic Workers Union, UDT  
[3514](#).

Democrats, Peru  
[1670](#).

Democrats, U.S.  
[1563](#), [1577](#), [1579](#), [1581](#), [1584](#), [1592](#), [1595](#), [1602](#), [1605](#), [1609](#), [1619](#), [3390](#), [3390](#).

Democritus, Greek philosopher  
[186](#), [208](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 22

demographics, demography

*See* [population](#).

Demosthenes, Athenian leader

[186](#), [196](#), [197](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [207](#), [207](#), [207](#).

de Murville, Couve, French leader

[2727](#), [2859](#).

Den, king of Egypt

[91](#).

Denain, battle of

[659](#).

Denby, Edwin, U.S. leader

[2194](#).

dendrochronology

[5](#).

Deng, Chinese empress

[156](#).

Deng Tuo, Chinese leader

[4156](#).

Deng Xiaoping, Chinese leader

[2465](#), [2471](#), [4156](#), [4161](#), [4161](#), [4161](#), [4162](#), [4163](#), [4164](#), [4166](#), [4167](#), [4175](#).

Denham, Dixon, explorer

[1507](#).

Denikin, Anton, Russian counterrevolutionary

[1784](#), [2067](#), [2067](#), [2067](#).

Denis, king, African leader

[1538](#).

Denkta , Rauf, Cypriot leader

[3810](#), [3810](#), [3810](#), [3812](#).

Denkyira

873.

Denmark

279, 402, 422, 422, 444, 454, 456, 460, 461, 461, 461, 464, 464, 469, 548, 548, 550, 551, 552, 552, 553, 553, 554, 554, 554, 554, 554, 617, 618, 618, 622, 622, 623, 627, 627, 627, 627, 627, 627, 627, 627, 632, 648, 653, 659, 675, 703, 704, 761, 761, 762, 763, 764, 764, 765, 768, 768, 768, 768, 768, 768, 768, 768, 768, 769, 769, 769, 769, 770, 770, 770, 771, 771, 771, 772, 773, 774, 774, 774, 775, 775, 789, 990, 997, 997, 1026, 1031, 1036, 1075, 1075, 1075, 1075, 1077, 1077, 1077, 1077, 1077, 1077, 1077, 1077, 1077, 1078, 1096, 1097, 1100, 1100, 1100, 1100, 1100, 1100, 1116, 1132, 1247, 1247, 1251, 1251, 1251, 1251, 1251, 1251, 1251, 1252, 1252, 1278, 1506, 1817, 1837, 1992, 2036, 2036, 2038, 2038, 2038, 2039, 2039, 2040, 2041, 2041, 2041, 2041, 2043, 2060, 2060, 2060, 2060, 2311, 2708, 2721, 2728, 2733, 2735, 2749, 2750, 2754, 3041, 3041, 3043, 3046, 3047, 3049, 3050, 3050, 3050, 3051, 3051, 3051, 3052, 3052, 3053, 3056, 3062, 3069, 3084, 3088; and Africa, 874, 878; and Prussia, 1233; slave trade, 1513; Great Depression, 2041; occupation by Germany, 2041; liberation of, 2042; and U.S., 2311; WWII, 2584, 2608, 2621; European currency, 3053.

Dennewitz, battle of

1030.

Dentz, Henri, Vichy leader

2382.

Denver

3400, 3417.

Department of Defense, U.S.

3393.

Department of Labor, U.S.

1620.

Department of Native Affairs, South Africa

4470.

Department of Transportation, U.S.

3413.

department stores

1632.

depressions

961, 1046; France, 1061; 19th century, 1142; Great Britain, 1155, 1161; Great Depression, 1161, 1700, 1700, 1702, 1703, 1704, 1706, 1708, 1718, 1719, 1719, 1814, 1814, 1814, 1817, 1829, 1846, 1895, 1909, 1925, 1952, 1983, 1984, 2003, 2027, 2027, 2036, 2041, 2049, 2049, 2092, 2106, 2120, 2132, 2151, 2165, 2181, 2187, 2197, 2201, 2201, 2201, 2201, 2217, 2227, 2227, 2242, 2246, 2252, 2260, 2262, 2267, 2271, 2302, 2311, 2312, 2317, 2413, 2435, 2445, 2448, 2453, 2455, 2470, 2509, 2509, 2525, 2537, 2545, 2551, 2551, 2554, 2561, 2567, 2569, 2578,

[2581](#), [2640](#), [3427](#); Belgium, [1172](#); Germany, [1231](#); 1873, [1595](#); 1893, [1606](#).  
Depretis, Agostino, Italian leader  
[1219](#), [1219](#).  
de Quay, Jan Eduard, Dutch leader  
[2830](#), [2830](#), [2830](#).  
Derby, earl of, Edward Stanley, English leader  
[1047](#), [1107](#), [1155](#), [1157](#), [1159](#).  
Derby, earl of, Frederick Stanley, governor-general of Canada  
[1635](#).  
Dercyllidas, Spartan commander  
[199](#), [199](#).  
Dergue, Ethiopia  
[4395](#), [4395](#).  
Dermond (Dermot) MacMorrough, Irish ruler  
[425](#), [425](#).  
Dernwentwater, 3rd earl, James Radcliffe, Jacobite leader  
[684](#).  
Derrida, Jacques, scholar  
[2701](#), [2861](#).  
Desai, Morarji, Indian leader  
[3974](#), [3976](#).  
Descartes, René, French philosopher  
[639](#), [639](#), [640](#).  
Deschanel, Paul, French president  
[1901](#), [1902](#), [1902](#).  
Desert Fathers, early Christian monks  
[401](#).  
Desert Land Act, U.S.  
[1597](#).  
Desert Mobile Force  
[2398](#), [2398](#).  
Deshima, islet  
[860](#), [861](#), [1440](#).  
Desiderius, Lombard king  
[408](#), [410](#).  
Desmichels Treaty  
[1382](#).  
Desmond, earl of, James Fitzgerald, Irish insurgent  
[589](#).  
Desmoulins, Camille, French leader  
[1001](#), [1007](#).

de Soto, Hernando, Spanish explorer  
[905](#).

Despensers, Hugh le and Hugh, rule of  
[512](#).

Des Près, Josquin, Dutch composer  
[596](#).

des Roches, Peter, guardian of Henry III  
[445](#), [445](#).

Dessalines, Jean-Jacques, Haitian leader  
[1696](#), [1696](#), [1696](#).

Destour Party, Tunisia  
[1706](#), [2426](#).

De Tham, insurgent  
[1475](#), [2524](#).

Dethronement Act, Hungary  
[2025](#).

Detroit  
[922](#), [1623](#), [1623](#), [2214](#), [2214](#), [3427](#), [3434](#).

Deuteronomy  
[105](#), [105](#).

Deutsche Bank  
[1347](#), [3026](#).

Devagiri  
[327](#), [332](#), [332](#), [332](#).

De Valera, Eamon, Irish leader  
[1859](#), [1860](#), [1863](#), [1863](#), [1863](#), [1864](#), [1864](#), [1866](#), [1869](#), [1870](#), [1872](#), [1872](#), [1873](#),  
[1876](#), [1877](#), [1878](#), [1881](#), [2805](#), [2807](#), [2807](#), [2807](#).

Devanampiya Tissa  
[134](#).

Devapala, ruler of India  
[324](#).

Devaquet, Alain, French leader  
[2874](#).

Devaux, Paul, Belgian leader  
[1056](#).

Development Office, Japan  
[1442](#).

Devereux, Robert  
*See* [Essex, Robert Devereux, 3rd earl of, leader of parliamentary army](#).

Devereux, Walter, assassin of Wallenstein  
[620](#).

Devil's Island, French Guiana

[1195.](#)

Devlin, Bernadette, Irish leader

[2781, 2782, 2785.](#)

Devonshire, duke of, Victor Cavendish, governor-general

[2218.](#)

de Vries, Hugo, botanist

[1153.](#)

Dewar, James, chemist

[984.](#)

De Wet, General, South African commander

[2574.](#)

Dewey, George, U.S. admiral

[1609.](#)

Dewey, John, educator

[1144, 2464.](#)

Dewey, Thomas E., U.S. leader

[3392.](#)

De Witt, John, Dutch leader

[675, 703, 704.](#)

De Witt brothers

[650.](#)

Dezong, Chinese emperor

[1418.](#)

Dhafur

[3897.](#)

Dhaka

[3990.](#)

Dhaka University, Bangladesh

[4024.](#)

Dhammayut, brotherhood of monks

[1405.](#)

Dhanga, ruler of India

[325, 325.](#)

Dharmapala, ruler of India

[324.](#)

Dharma Sabha, Indian society

[1394.](#)

d'Hiver, Vélodrome

[1917.](#)

Dhofar

126.  
Dhruva, ruler of India  
327, 327.  
Dhul-Nunids of Toledo  
475.  
Diablo Dam  
3702.  
Diagne, Blaise, Senegalese leader  
2554, 2555.  
Diakite, Yoro, Malian leader  
4361.  
Diamantina  
1489.  
diamonds  
1506, 1553, 1553, 1553, 1553, 1555, 1556.  
Dias, Bartolomeu, explorer  
281, 365.  
Dias, Dinís, explorer  
281.  
Dias, Juan Tomas, Dominican leader  
3736.  
Dias, Paulo, trader in Africa  
885.  
Diaspora  
208, 253.  
Díaz, Adolfo, Nicaraguan leader  
1684, 1684, 2283, 2283, 2284, 2284, 2285.  
Diaz, Armando, Italian commander  
1757, 1778.  
Díaz, Porfirio, Mexican leader  
1692, 1692, 1692, 2290, 2290, 2290, 2290, 2290, 2290, 2294.  
Diaz, Rodrigo (Ruy)  
*See Cid, el, Spanish hero.*  
Díaz Betancourt, Eduardo, Cuban executive  
3724.  
Díaz de Solís, Juan, explorer  
573.  
Díaz Ordaz, Gustavo, Mexican leader  
3702.  
Díaz Serrano, Jorge, Mexican leader  
3705.

Dib, Muhammad, writer  
[3933](#).

Dibra, taken by Bulgarians  
[1797](#).

Dicaea  
[182](#).

Dickens, Charles, writer  
[1146](#).

Dickerson v. United States, U.S. Supreme Court decision  
[3441](#).

Dickson, J. T., developer of terylene (dacron)  
[984](#).

Diderot, Denis, encyclopedist  
[645](#), [716](#), [1000](#).

Didius Julian, Roman emperor  
[255](#).

Dido, founder of Carthage  
[109](#), [110](#).

Deibold, John, engineer  
[2703](#).

Diefenbaker, John, Canadian leader  
[3446](#), [3447](#), [3447](#), [3447](#), [3448](#), [3449](#), [3449](#).

Diego Suarez, Madagascar  
[2627](#).

Dien Bien Phu  
[2636](#), [2653](#), [2847](#), [4093](#), [4256](#), [4256](#).

Diesel, Rudolf, inventor of oil engine  
[982](#).

Diet, Austria  
[1089](#), [1089](#).

Diet, Finland  
[1254](#), [1254](#).

Diet, Frankfurt  
[1102](#).

Diet, Germany  
[459](#), [1071](#), [1071](#), [1071](#), [1072](#), [1072](#).

Diet, Hungary  
[1074](#), [1074](#), [1074](#), [1087](#), [1087](#).

Diet, Japan  
[1453](#), [1454](#), [1455](#), [1456](#), [1456](#), [4224](#), [4246](#).

Diet, Poland

[781](#), [782](#).  
Diet, Switzerland  
[1070](#), [1094](#), [1094](#).  
Diet of 1435  
[554](#).  
Diet of Augsburg  
[614](#).  
Diet of Besançon  
[456](#).  
Diet of Frankfurt  
[541](#).  
Diet of Köln  
[613](#).  
Diet of Mainz  
[458](#), [531](#).  
Diet of Pressburg, Pozsony  
[757](#).  
Diet of Regensburg  
[456](#), [485](#).  
Diet of Speyer  
[614](#).  
Diet of Stans  
[547](#).  
Diet of the Confederation  
[1096](#).  
Diet of Tribur  
[454](#).  
Diet of Worms  
[613](#), [613](#).  
differential equations  
[1040](#).  
Digambara  
[129](#), [133](#).  
Diggers, or True Levellers  
[668](#), [668](#).  
Digger's Republic, South Africa  
[1553](#).  
Digges, Dudley  
[590](#).  
Dijon  
[710](#), [1178](#), [2619](#).



Dila'iyya, Sufi order  
[823](#), [823](#).

Diliman commune, Philippines  
[4292](#).

Dillingham Commission, U.S.  
[1616](#).

Dillon, Douglas C., U.S. leader  
[2640](#), [4183](#).

Dimitrov, Alexander, Bulgarian leader  
[2162](#).

Dimitrov, Filip, Bulgarian leader  
[3242](#).

Dimitrov, Georgi, Bulgarian leader  
[3234](#).

Dindings, the  
[1411](#).

Dingane, African leader  
[1551](#), [1551](#), [1551](#).

Ding family, China  
[1425](#).

Dingiswayo, African leader  
[1506](#), [1549](#), [1550](#).

Ding Ling, writer  
[2478](#), [2483](#).

Dinh Bô Ling, king of Vietnam  
[397](#).

Dini, Lamberto, Italian leader  
[2949](#), [2949](#).

Diniz, the Worker  
[528](#).

Dinizulu, African leader  
[1556](#), [1556](#).

Dinkas  
[4392](#), [4407](#).

Dinnyes, Lajos, Hungarian leader  
[3142](#), [3142](#), [3143](#).

Dinouart, French writer  
[716](#).

Dinshaway Incident, Egypt  
[1374](#).

Dinuzulu kaCethshwayo, African leader



[1009](#).

Directory, France

[999](#), [1009](#), [1009](#), [1009](#), [1009](#), [1012](#), [1014](#), [1020](#), [1020](#), [1565](#).

“dirty tricks”

[3423](#).

Disability Insurance Act

[1895](#).

Disability Pension Act, U.S.

[1604](#).

disarmament

[1719](#), [2726](#); Geneva conferences, [1698](#), [1715](#), [1716](#), [1721](#), [1722](#), [1722](#), [1723](#);  
Germany, [1724](#), [1830](#), [1832](#), [1987](#), [1989](#); Denmark, [2040](#). *See* [United Nations](#).

discrimination

[443](#); Ireland, [448](#), [448](#), [519](#); U.S., [1595](#), [1598](#), [1604](#), [1604](#), [1611](#), [1615](#); Cuba, [1693](#).

disease

[597](#), [601](#), [638](#), [668](#), [774](#), [812](#), [1152](#), [1153](#), [1153](#), [1153](#), [2643](#); in New World, [61](#), [908](#);  
bubonic plague, [196](#), [196](#), [254](#), [257](#), [282](#), [299](#), [306](#), [320](#), [400](#), [406](#), [427](#), [432](#), [511](#), [519](#),  
[557](#), [558](#), [583](#), [589](#), [601](#), [603](#), [609](#), [614](#), [644](#), [675](#), [693](#), [712](#), [715](#), [748](#), [762](#), [791](#), [833](#),  
[1159](#), [1328](#), [1385](#), [2264](#), [4142](#); smallpox, [297](#), [583](#), [693](#), [774](#), [878](#), [885](#), [890](#), [891](#), [897](#),  
[908](#), [927](#), [1068](#), [1527](#), [1626](#), [2641](#), [2641](#), [2677](#); measles, [297](#); Europe, [400](#), [1195](#);  
England, [513](#); France, [521](#), [1059](#), [1061](#), [1179](#); Switzerland, [546](#), [748](#); Russia, [558](#);  
1500–1800, [581](#), [583](#); after Thirty Years' War, [644](#); Ireland, [693](#), [700](#); Africa, [869](#),  
[878](#), [885](#), [1506](#), [1515](#), [1524](#), [1527](#), [1527](#), [1531](#); Latin America, [894](#), [908](#), [1678](#); North  
America, [920](#); New England, [933](#); Great Britain, [1047](#), [1050](#), [1155](#), [1155](#), [1155](#), [1159](#);  
Italy, [1068](#), [1069](#), [1093](#); Germany, [1071](#), [1237](#); 1800–1914, [1081](#), [1143](#); Crimean  
War, [1155](#), [1180](#); South African War, [1162](#); Ottoman Empire, [1328](#); Algeria, [1383](#);  
North Africa, [1385](#); U.S., [1594](#); Canada, [1626](#); influenza, [1814](#), [2433](#), [2530](#), [2558](#),  
[2576](#); East Africa, [2565](#); rinderpest epidemic, [2565](#); sleeping sickness, [2569](#); Black  
Death, [2641](#); malaria, [2641](#), [2642](#); poliomyelitis, [2641](#), [2653](#), [3399](#), [3402](#); tuberculosis  
(TB), [2641](#); control, [2641](#); flu viruses, [2641](#); AIDS, [2678](#), [2690](#), [2691](#), [2692](#), [2697](#),  
[2698](#), [2704](#), [3390](#), [3427](#), [3456](#), [4320](#), [4320](#), [4410](#), [4457](#), [4458](#), [4458](#), [4465](#), [4472](#),  
[4489](#); bovine spongiform encephalopathy (BSE or mad cow disease), [2754](#), [2756](#),  
[2802](#), [2885](#); cholera, [3560](#), [4421](#); Ebola virus, [4450](#).

DISK, Turkish radical party

[3789](#).

Disraeli, Benjamin, 1st earl of Beaconsfield

[1105](#), [1106](#), [1106](#), [1107](#), [1108](#), [1109](#), [1155](#), [1159](#), [1162](#), [1162](#), [1397](#).

Dissanayake, Gamini, Sri Lankan leader

[4038](#).

dissenters

*See* [nonconformists](#).

dissidents, Poland  
[632](#), [633](#).

District of Columbia  
[1580](#), [1587](#), [1619](#).

Diu  
[830](#), [831](#), [3963](#).

Dius, Phoenician historian  
[108](#).

Divine Comedy, by Dante  
[534](#).

divine right, doctrine of  
[91](#), [934](#).

Dix, Dorothea, U.S. social worker  
[1586](#).

Dixmude  
[1738](#).

Diyarbakr  
[307](#), [792](#), [812](#), [812](#).

Djagatai, Mongol ruler  
[281](#), [281](#).

Djem, Ottoman sultan  
*See [Jem, Ottoman sultan](#)*.

Djer, king of Egypt  
[91](#).

Djet, king of Egypt  
[91](#).

Djibouti  
[2563](#), [4392](#), [4393](#), [4393](#), [4393](#), [4403](#); independence, [4393](#).

Djilas, Milovan, Yugoslavian leader  
[3168](#).

Djoser, king of Egypt  
[91](#).


Djudar Pasha, Moroccan commander  
[870](#).

Djukanovic, Milo, Montenegrin leader  
[3180](#).

Dlugosz, Johannes, historian  
[555](#).

Dmitri, pretender to the Russian throne  
[630](#), [630](#), [630](#).

Dmitri Donskoi, grand prince of Moscow

[558](#), [558](#).  
Dmowski, Roman, Polish leader  
[2110](#), [2112](#), [2113](#).  
DNA  
[24](#), [1731](#), [2703](#).  
Dnepropetrovsk  
[3382](#).  
Dnestr republic  
[3359](#), [3359](#).  
Dnieper River  
[26](#), [488](#), [488](#), [557](#), [632](#), [667](#), [804](#), [808](#), [2593](#), [2596](#), [2596](#).  
Dniester River  
[482](#), [789](#), [793](#), [805](#), [809](#), [1794](#).  
Doab  
[332](#).  
Dobi, István, Hungarian leader  
[3143](#), [3146](#), [3146](#).  
Dobrudja, also Dobruja  
[311](#), [1108](#), [1108](#), [1139](#), [1318](#), [1742](#), [1743](#), [1743](#), [1777](#), [1806](#), [2170](#), [2171](#), [2185](#), [2635](#),  
[3235](#), [3238](#).  
Dodecanese Islands  
[979](#), [1136](#), [1137](#), [1225](#), [1348](#), [1746](#), [1749](#), [1788](#), [1817](#), [2144](#), [2635](#), [2926](#), [3208](#).  
Dodik, Milorad, Bosnian leader  
[3189](#).  
Doe, Samuel K., Liberian leader  
[4355](#), [4355](#), [4356](#), [4357](#), [4357](#).  
Doenitz, Karl, German commander  
[2621](#), [2622](#).  
Dogali, battle of  
[1220](#).  
Dgen, Buddhist leader  
[395](#).  
Dogger Bank, North Sea  
[1128](#), [1796](#).  
Doheny, Edward L., U.S. businessman  
[2194](#).  
Doherty, John, British labor leader  
[1047](#), [1048](#).  
Doiran, battle of  
[1806](#), [1808](#).  
Doi Takako, Japanese leader

[4246](#).  
Doktor Djawa School  
[1414](#), [1414](#).  
D  ky , monk  
[385](#), [385](#).  
Dole, Sanford B., president of Hawaii  
[1478](#).  
Dolgoruki, Russian family  
[786](#).  
dollar diplomacy  
[1617](#).  
Dollfuss, Engelbert, Austrian leader  
[2006](#), [2007](#), [2007](#), [2008](#), [2008](#), [2008](#), [2008](#), [2008](#), [2011](#).  
Dolly, cloned sheep  
[2693](#).  
Dolmabahche Palace, Istanbul  
[1334](#).  
Dolores, Mexico  
[1653](#).  
Domagaya, Canadian chief  
[920](#).  
Domagk, Gerhard, chemist  
[1154](#).  
Dombas, Norway  
[2584](#).  
Dome of the Rock, Jerusalem  
[290](#).  
Domesday Book  
[443](#), [444](#).  
Domestic Violence Act, Great Britain  
[2788](#).  
Dominic, St.  
[469](#), [469](#).  
Dominica, West Indies  
[572](#), [3756](#), [3759](#), [3762](#).  
Dominican National Guard  
[2314](#).  
Dominican Republic  
[1614](#), [1695](#), [2313](#), [2314](#), [2638](#), [3469](#), [3471](#), [3599](#), [3689](#), [3735](#), [3735](#), [3735](#), [3740](#),  
[3742](#), [3744](#), [3746](#); and U.S., [2313](#), [2313](#), [2314](#), [3735](#), [3735](#), [3736](#), [3736](#), [3737](#), [3738](#),  
[3739](#), [3740](#), [3740](#), [3741](#), [3741](#), [3742](#), [3742](#), [3742](#); between Wars, [2314](#), [2314](#); and

Haiti, [2314](#), [2316](#); WWII, [2314](#); and illegal drugs, [3743](#).  
Dominican Revolutionary Party, PRD  
[3741](#), [3742](#).  
Dominicans, religious order  
[445](#), [451](#), [452](#), [459](#), [469](#), [530](#), [532](#), [815](#), [854](#), [3741](#); Vietnam, [863](#); Philippines, [867](#);  
Africa, [875](#), [889](#), [1548](#); Americas, [910](#).  
Dominion Companies Act, Canada  
[2230](#).  
Dominion Iron and Steel Corporation, DISCO  
[1639](#).  
Dominion of New England  
[934](#).  
Dominion Trade and Industry Commission, Canada  
[2231](#).  
Domitian, Roman emperor  
[246](#), [252](#), [252](#), [252](#), [252](#), [252](#), [252](#), [252](#), [252](#), [253](#), [259](#).  
Domitianus, Lucius Domitius, rival emperor in Egypt  
[261](#).  
Domodossola  
[546](#).  
Dom Pedro  
*See* [Pedro I, emperor of Brazil](#).  
Domrémy  
[522](#).  
Domus Aurea, Rome  
[249](#).  
Doña Marina, Malitzin, or Malinche  
[901](#).  
Donatello, sculptor  
[536](#).  
Donation of Constantine  
[469](#), [532](#).  
Donation of Pepin  
[408](#), [408](#), [410](#), [432](#).  
Donatists, Christian sect  
[268](#).  
Donauwörth  
[616](#).  
Donbass  
[3297](#), [3315](#), [3383](#).  
Don Carlos, brother of Ferdinand VII of Spain

[1062](#).  
Don Carlos, pretender to Spanish throne  
[1203](#), [1204](#).  
Don Carlos of Austria, son of Philip II of Spain  
[602](#).  
Don Cossacks, revolt of  
[784](#), [2064](#), [2066](#), [2067](#).  
Donets River  
[2075](#).  
Donetsk  
[3383](#).  
Dongliao  
[2466](#).  
Dongola  
[98](#), [967](#), [1121](#).  
Dong Qichang, Chinese artist  
[851](#).  
Dông-son, Vietnamese culture  
[51](#), [397](#), [397](#).  
Dong Zhongshu, Chinese emperor  
[154](#), [156](#).  
Dong Zhuo, Chinese general  
[156](#).  
Don Juan, claimant to Spanish throne  
[2887](#), [2889](#), [2891](#), [2892](#).  
Don Juan of Austria  
[718](#), [719](#), [719](#), [719](#), [797](#).  
Donnacona, Canadian guide  
[920](#).  
Donne, John, English poet  
[594](#).  
Donoso Cortés, Juan, Spanish leader  
[1143](#).  
Don Pacifico affair, Greece  
[1099](#), [1278](#).  
Don Republic  
[2066](#).  
Don River  
[26](#), [439](#), [2595](#), [2596](#).  
Doolittle, James H., U.S. commander  
[2627](#).



Doorn Kop, battle of  
1895.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 23

- Dorchester, England  
[926](#), [926](#).
- Dorchester, Massachusetts  
[926](#).
- Dorchester Heights  
[947](#).
- Dorcis, Spartan commander  
[190](#).
- Dorfman, Ariel, writer  
[3514](#).
- Dorgon, Manchu prince regent  
[852](#), [852](#).
- Doria, Andrea, Genoese admiral  
[612](#), [614](#).
- Doria, Gian Andrea, doge of Genoa  
[607](#).
- Doria, Luciano, Genoese admiral  
[538](#).
- Doria, Pietro, Genoese admiral  
[538](#).
- Dorians  
[67](#), [68](#), [170](#), [174](#), [175](#), [178](#), [182](#).
- Doric architecture  
[176](#), [239](#).
- Dorieus of Sparta  
[185](#).
- Doriot, Jacques, Fascist leader  
[1912](#).
- Doris, Greek city  
[174](#).

Dorogobuzh  
[2595](#).

Dorostolon, battle of  
[501](#).

Dorpat, Tartu  
[2054](#).

Dorrego, Manuel, Latin American leader  
[1658](#), [1658](#).

Dorr rebellion, Rhode Island  
[1577](#).



Dorset people  
[33](#).

Dorsetshire  
[676](#).

Dórticos Torrado, Osvaldo, Cuban leader  
[3715](#).

Dortmund  
[548](#).

Dorylaeum, Eskishehir  
[302](#), [302](#), [309](#), [501](#), [505](#).

D sh , teacher  
[385](#).

dos Santos, José Eduardo, Angolan leader  
[4438](#), [4439](#), [4440](#), [4441](#), [4443](#).

dos Santos Daio, Daniel, leader of São Tomé and Príncipe  
[4374](#).

Dostam, Abdul, Afghan leader  
[3834](#).

Dost Muhammad, ruler of Afghanistan  
[1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1354](#), [1355](#), [1355](#).

Dostoyevsky, Fyodor, writer  
[1143](#), [1256](#), [1258](#).

Dou, Chinese empress  
[155](#).

Douai  
[659](#), [1738](#), [1791](#), [1813](#).

Douala  
[1538](#), [1539](#), [2568](#).

Douglas, Stephen, U.S. leader  
[1580](#), [1583](#), [1583](#), [1584](#).

Douglas dynasty

[517](#), [517](#).  
Douglas-Home, Alec  
[2758](#), [2774](#), [2775](#), [2776](#), [2783](#), [3409](#).  
Douglass, Andrew E., scientist  
[5](#).  
Douglass, Frederick, U.S. black leader  
[1577](#), [1594](#).  
Doullens, conference  
[1781](#).  
Doumer, Paul, French leader  
[1475](#), [1901](#), [1909](#), [1909](#).  
Doumergue, Gaston, French leader  
[1901](#), [1910](#), [1910](#), [1911](#).  
Dover, New Hampshire  
[446](#), [926](#), [1764](#); treaty of, [650](#), [675](#), [712](#).  
Dow, Neal, U.S. prohibitionist  
[1580](#).  
Down, Ireland  
[425](#).  
Downing Street Declaration  
[2813](#).  
Downs, battle of  
[671](#).  
Doyle, Arthur Conan, writer  
[1839](#).  
Dózsa, George, Hungarian leader  
[635](#).  
Drachmann, Holger, writer  
[1252](#).  
Draco, Athenian lawgiver  
[180](#), [180](#).  
draft riots  
[1588](#).  
Draga Mashin, wife of Alexander of Serbia  
[1291](#), [1292](#).  
Dragashan, battle of  
[1272](#).  
Draghut, corsair  
[826](#).  
Dragina, battle of  
[498](#).

Dragutin, king of Serbia  
[562](#).

Drake, Edwin L., oil producer  
[981](#).

Drake, Francis  
[588](#), [603](#), [865](#), [906](#), [923](#), [924](#).

Drakensberg Mountains  
[365](#), [1506](#), [1551](#).

Draper's Meadow, Virginia settlement  
[939](#).

Drave River  
[1087](#).

Dravida Munnetra Kazhagam, DMK  
[3957](#), [3981](#).

Dravidians  
[129](#), [132](#), [133](#), [324](#), [325](#), [326](#), [326](#), [336](#), [337](#).

Dreadnought, British battleship  
[1130](#).

Dred Scott decision, U.S. Supreme Court  
[1583](#), [1583](#).

Drees, Willem, Dutch leader  
[2827](#), [2828](#), [2830](#), [2830](#).

Dreier, Mary, U.S. labor leader  
[1613](#).

Dreifuss, Ruth, Swiss leader  
[2978](#), [2979](#).

Dreisach  
[707](#).

Dreiser, Theodore, writer  
[2191](#).

Drepana  
[228](#).

Dresden  
[662](#), [664](#), [666](#), [1030](#), [1230](#), [1230](#); treaty of, [661](#); battle of, [1030](#).

Dreux, battle of  
[598](#).

Drew, George, Canadian leader  
[3446](#).

Dreyfus, Alfred, French soldier  
[1195](#), [1910](#).

Dreyfus Affair

[1195](#), [1195](#), [1195](#).  
Dreyse, Johann Nikolaus von, inventor of needle-guns  
[985](#).  
Driesch, Hans, biologist  
[1153](#).  
Drina River  
[1739](#), [1792](#).  
Dristra  
[441](#).  
Drnovsek, Janez, Slovenian leader  
[3193](#), [3194](#).  
Drogheda, Cromwell's storming of  
[693](#).  
Drohobyca  
[3095](#).  
drugs  
[3413](#).  
druids  
[249](#), [421](#).  
Drummond, Eric  
[1698](#).  
Drummond-Wolff, Henry Charles  
[1114](#).  
Drumont, Edouard, writer  
[1194](#).  
Drusus, son of Germanicus  
[247](#).  
Drusus, son of Livia Drusilla  
[243](#), [243](#), [247](#), [247](#).  
Drusus, Marcus Livius, Roman tribune  
[236](#).  
Druze, Syrian Muslims  
[317](#), [1333](#), [1333](#), [1335](#), [2374](#), [2374](#), [2375](#), [2379](#), [2383](#), [3839](#), [3845](#), [3848](#), [3849](#), [3850](#).  
Drystra, battle of  
[501](#).  
Du, Nguyễn, Vietnamese writer  
[863](#).  
Duala  
[1768](#), [2611](#).  
Dual Control, Britain and France in Egypt  
[1109](#).

dual monarchy, Austria and Hungary

[1240](#), [1242](#).

Duanfang, Chinese official

[1425](#).

Duan Qirui, Chinese leader

[2462](#), [2462](#), [2462](#), [2462](#), [2463](#), [2463](#).

Duan Yucai, Chinese scholar

[854](#).

Duarte, José Napoleón, Salvadoran leader

[3664](#), [3664](#), [3666](#), [3667](#), [3667](#), [3669](#), [3669](#), [3670](#).

Dubai, or Dubayy

[2416](#), [3896](#), [3897](#), [3899](#).

Dube, John Langalibalele, South African leader

[1559](#).

Dubek, Alexander, Czech leader

[3018](#), [3128](#), [3128](#), [3128](#), [3128](#), [3128](#), [3130](#), [3130](#), [3131](#), [3133](#).

Dublin

[425](#), [425](#), [425](#), [426](#), [594](#), [687](#), [693](#), [694](#), [695](#), [699](#), [700](#), [700](#), [700](#), [1165](#), [1167](#), [1168](#),  
[1169](#), [1859](#), [1862](#), [1864](#), [1864](#), [2785](#), [2806](#), [2808](#), [2811](#), [2812](#).

Dublin Foundling Hospital and Workhouse Act

[701](#).

Dublin Society for Improving Husbandry and Manufacture

[700](#).

Dublin Workhouse Act

[699](#).

Dubno

[1740](#), [1794](#).

Dubois, Eugene, Dutch physician

[20](#).

Dubois, Pierre, French leader

[453](#).

DuBois, W.E.B., U.S. African American leader

[1706](#).

Dubrovnik

[492](#), [562](#), [562](#), [563](#).

Ducas, Michael, historian

[569](#).

Ducetius, Sicel leader

[191](#), [193](#), [194](#).

Ducos, Pierre Roger, French leader

[1012](#).

Dudayev, Dzhokhar, Chechen leader  
[3365](#), [3366](#).

Dudhu Miyan, Indian leader  
[1395](#).

Dudimose I, king of Egypt  
[92](#).

Dueñas, Francisco, Latin American leader  
[1682](#), [1682](#).

due process clause  
[1592](#).

Dufaure, Armand Jules, French leader  
[1191](#).

Dufay, Guillaume, composer  
[524](#).

Dufferin, 1st marquis, Frederick Hamilton-Temple-Blackwood, colonial administrator  
[1398](#), [1631](#).

Dufour, Guillaume, Swiss soldier  
[1094](#).

Du Fu, poet  
[370](#).

Dugied, French rebel leader  
[1059](#).

Du Guesclin, Bertrand, constable of France  
[521](#).

Duhem, Pierre, physicist  
[1144](#).

Duilius, Caius, Roman general  
[230](#).

Duinguiray  
[1510](#).

Duisburg  
[1819](#), [1824](#).

Duisenberg, Wim, financier  
[2754](#).

Dukakis, Michael, U.S. leader  
[3428](#).

Dukas, Andronicus, Byzantine leader  
[500](#).

Duke University  
[3436](#).

Dukhtar-i-Nushirwan



[129](#).  
Dulaymi, Naziha, Iraqi leader  
[3880](#).  
Dulcigno  
[1110](#).  
Dulkadir  
[306](#), [315](#), [792](#).  
Dulles, John Foster, U.S. leader  
[2713](#), [2770](#), [3398](#), [3398](#), [3398](#), [3401](#), [4150](#), [4182](#), [4226](#).  
Dulo dynasty, Bulgaria  
[439](#), [439](#), [440](#).  
Dulong, Pierre, scientist  
[1042](#).  
Duma, Russia  
[125](#), [1263](#), [1263](#), [1263](#), [1264](#), [1264](#), [1264](#), [1264](#), [1265](#), [1266](#), [1266](#).  
Dumbarton Oaks Conference  
[2633](#).  
Dumont d'Urville, Jules S.C., French explorer  
[1488](#).  
Dumouriez, Charles François, French general  
[1004](#).  
Dumuzi  
[83](#).  
Dunajec  
[1794](#).  
Dunbar, battle of  
[669](#).  
Duncan, Jonathan, founder of Sanskrit College  
[836](#).  
Duncan I, king of Scotland  
[424](#), [447](#), [447](#).  
Dundee  
[2797](#).  
Dunes, battle of  
[604](#), [648](#).  
Dung, Mac Dang, ruler of Vietnam  
[863](#).  
Dungannon Club, Ireland  
[1170](#).  
Dunhuang  
[1425](#).

Dunkirk

[648](#), [659](#), [674](#), [718](#), [2585](#), [2585](#), [2587](#), [2587](#), [2706](#), [2841](#).

Dunkirk, New York

[1580](#).

Dunkula

[361](#).

Dunlop, John B., inventor of pneumatic tire

[990](#).

Dunning tariff, Canada

[2227](#).

Dunoyer, Charles, economist

[1035](#).

Dunse

[591](#).

Duns Scotus, John, philosopher

[446](#).

Dunstan, archbishop of Canterbury

[422](#).

Duong Van Minh, Vietnamese leader

[4263](#), [4265](#).

Dupetit-Thouars, Abel Aubert, French commander

[1476](#).

Dupleix, Joseph, French colonial administrator

[834](#), [834](#).

du Plessis, Armand-Jean

*See* [Richelieu, Armand-Jean du Plessis, cardinal-duke of, French leader](#).

Dupong, Pierre, Luxembourg leader

[2835](#), [2835](#).

Dupont de Nemours, Pierre, manufacturer

[645](#).

Dupuis, Jean, French explorer

[1474](#).

Duquesne de Menneville, marquis de, French colonial commander

[939](#).

Durán, Carlos, Latin American leader

[1685](#).

Durán Ballén, Sixto, Ecuadorian leader

[3571](#).

Durand, Asher B., artist

[1577](#).

Durand Line, Afghan-Indian border

[1355](#), [1398](#), [3832](#).

Durango

[904](#).

Durazzo

[315](#), [499](#), [500](#), [501](#), [503](#), [503](#), [503](#), [504](#), [505](#), [508](#), [509](#), [563](#), [564](#), [1138](#), [1745](#), [1798](#),  
[1799](#), [2141](#).

Durban, South Africa

[1551](#), [1558](#), [2698](#), [4472](#), [4477](#), [4489](#).

Durben, battle of

[460](#).

Dürer, Albrecht, German artist

[616](#).

Durey, Louis, composer

[1903](#).

Durham

[444](#); cathedral, [444](#); University of, [1516](#).

Durham, 1st earl, John George Lambton, governor-general of Canada

[1626](#).

Durham Report

[1627](#), [1627](#).

Durkheim, Émile, sociologist

[1143](#).

Dürnkrot, battle of

[493](#).

Durranis

[817](#), [819](#), [819](#), [819](#), [1354](#), [1354](#).

Dur-Sharrukin

[87](#).

Dur-Untash

[122](#).

Duryea, early automobile

[990](#).

Dushanbe

[3374](#), [3376](#).

Düsseldorf

[1764](#), [1819](#), [1824](#), [1976](#), [2587](#).

Dutch

[20](#), [651](#). *See* [Holland](#); [Netherlands](#).

Dutch-Belgian relations

[1053](#).

Dutch Central Bank

2754.  
Dutch East India Company  
578, 596, 596, 814, 833, 837, 840, 841, 845, 890, 1412.  
Dutch East Indies  
1057, 1175, 2531.  
Dutch Guiana  
2600.  
Dutch Native Schools, DNS  
1414.  
Dutch New Guinea  
2830, 4122, 4283.  
Dutch Reformed Church  
1899.  
Dutch Republic  
578, 578, 588, 596, 703, 704, 705. *See* Holland; Netherlands.  
Dutch Trading Company  
1057.  
Dutch War  
752.  
Dutch West India Company  
596, 915, 932.  
Dutch West Indies  
1174.  
Dutra, Eurico, Brazilian leader  
3607, 3608.  
Dütschke, Rudi, German leader  
3004.  
Duvalier, François, Haitian leader  
3745, 3745, 3746, 3746, 3746, 3747, 3747, 3748, 3749, 3750.  
Duvalier, Jean-Claude “Baby Doc”, Haitian leader  
3748, 3748.  
Duvieusart, Jean, Belgian leader  
2820.  
Du You, encyclopedist  
370.  
Dvarasamudra  
332, 336.  
Dvaravati, Khmer kingdom  
330, 342.  
Dvina River  
667.

Dvinsk, taken by Germans  
[1740](#), [1774](#).  
Dwaraka  
[327](#).  
Dyer, Reginald, British commander  
[2433](#).  
dyes  
[911](#), [983](#).  
Dyle River  
[415](#).  
Dymas, founder of Doric tribe  
[174](#).  
dynamite  
[984](#).  
Dzungars  
[852](#), [853](#), [853](#).

## E

Ea  
*See* [Enki](#).  
Eanes, Antonio Ramalho, Portuguese leader  
[2918](#), [2919](#), [2919](#).  
Eannatum of Lagash  
[84](#), [122](#).  
Early Bird, communications satellite  
[2704](#).  
Early Bronze Age  
[84](#).  
Early Dynastic Period  
[84](#).  
Early English Gothic style  
[446](#).  
Early Lê dynasty  
[397](#).  
Early Middle Ages  
[400](#), [400](#).  
Earth Day  
[2686](#), [3419](#).  
earthquakes  
[9](#); Istanbul, [315](#); Lisbon (1755), [729](#); Gondar, [880](#); Italy, [1224](#); Syria, [1328](#); Middle

East, [1331](#); Japan, [2491](#), [2503](#); Armenia, [3296](#); Tajikistan, [3297](#); Kirghizstan, [3341](#); Chile, [3515](#); Ecuador, [3567](#), [3569](#); El Salvador, [3669](#); Managua, [3676](#), [3678](#); Mexico City, [3705](#); Turkey, [3804](#); Tokyo, [3804](#); San Francisco, [3804](#); China, [4161](#).

Earth Summit

[3625](#).

East Africa

[1](#), [4](#), [7](#), [9](#), [19](#), [19](#), [21](#), [38](#), [45](#), [45](#), [49](#), [66](#), [90](#), [97](#), [281](#), [281](#), [282](#), [294](#), [296](#), [323](#), [343](#), [343](#), [343](#), [343](#), [347](#), [347](#), [347](#), [351](#), [353](#), [362](#), [362](#), [362](#), [362](#), [364](#), [443](#), [579](#), [869](#), [869](#), [882](#), [883](#), [892](#), [892](#), [954](#), [963](#), [1111](#), [1116](#), [1506](#), [1506](#), [1528](#), [1539](#), [1546](#), [2432](#), [2554](#), [2565](#), [2565](#), [2565](#), [2575](#), [2765](#), [4320](#), [4320](#), [4408](#), [4408](#), [4410](#), [4413](#), [4427](#); WWI, [1768](#), [2554](#); losses in WWI, [2554](#).

East Africa Protectorate

[1532](#).

East Africa Syndicate

[1533](#).

East Anglia

[421](#), [422](#), [592](#).

East Asia

[153](#), [163](#), [367](#), [367](#), [370](#), [384](#), [474](#), [530](#), [850](#), [850](#), [851](#), [863](#), [863](#), [869](#), [958](#), [965](#), [969](#), [969](#), [1415](#), [1465](#), [1472](#), [1473](#), [1473](#), [1706](#), [1706](#), [1710](#), [2459](#), [2480](#), [2481](#), [2494](#), [2495](#), [2500](#), [2521](#), [2524](#), [2525](#), [2526](#), [2714](#), [4140](#), [4147](#), [4226](#), [4238](#), [4314](#); WWII, [2479](#), [2625](#); economy, [4073](#).

East Asiatic Company

[1247](#).

East Berlin

[2637](#), [2652](#), [2723](#).

Easter coup, Argentina

[3497](#).

Easter Crisis, Denmark

[2039](#).

Easter Island

[52](#), [864](#), [865](#), [1795](#).

Eastern Cape

[2577](#).

Eastern Church

*See* [Eastern Orthodox Church](#).

Eastern Desert

[43](#), [90](#).

Eastern Empire

*See* [Byzantine Empire](#).

Eastern Europe

[427](#), [482](#), [555](#), [563](#), [584](#), [644](#), [999](#), [1021](#), [1142](#), [1256](#), [1702](#), [1708](#), [2027](#), [2637](#), [2637](#), [2637](#), [2677](#), [2685](#), [2727](#), [2728](#), [2731](#), [2747](#), [2748](#), [2964](#), [3000](#), [3002](#), [3003](#), [3011](#), [3013](#), [3037](#), [3089](#), [3152](#), [3239](#), [3367](#), [3390](#), [4102](#), [4237](#), [4277](#), [4278](#), [4324](#); between Wars, [1814](#), [1814](#), [1817](#), [1833](#), [1834](#), [1837](#); cost of WWII, [2700](#); agriculture, [2700](#); post-WWII, [2700](#), [2700](#); welfare state, [2700](#); and Russia, [2700](#); post-Communist Russia, [2700](#).

Eastern Han dynasty

*See* [Later Han dynasty](#).

Eastern Hemisphere

[63](#), [66](#), [66](#), [68](#), [69](#), [69](#), [76](#), [77](#), [77](#), [78](#), [276](#), [278](#), [279](#), [280](#), [280](#), [280](#), [281](#), [284](#), [575](#), [575](#), [579](#), [580](#), [582](#), [583](#).

Eastern Jin dynasty

[157](#), [158](#), [161](#).

Eastern Mediterranean region

[498](#).

Eastern Orthodox Church

[80](#), [276](#), [440](#), [466](#), [488](#), [494](#), [494](#), [563](#), [565](#), [630](#), [630](#), [633](#), [667](#), [776](#), [781](#), [791](#), [808](#), [880](#), [1121](#), [1284](#), [1299](#), [1300](#), [1304](#), [1334](#), [1335](#), [2956](#), [2956](#), [2964](#), [2965](#); schism with Rome, [499](#); Albania, [1325](#), [2141](#); Russia, [2081](#).

Eastern Question

[1334](#).

Eastern Roman Empire

[80](#), [276](#), [427](#), [473](#).

Eastern Rumelia

[1108](#), [1110](#), [1112](#), [1112](#), [1279](#), [1289](#), [1299](#), [1299](#), [1301](#), [1301](#), [1304](#), [1344](#), [1346](#).

Eastern Wei dynasty

[158](#).

Eastern Zhou dynasty

[138](#), [140](#), [140](#).

Easter Rebellion, Ireland

[1858](#), [2806](#), [2808](#).

East Florida

[940](#).

East Franks

[483](#), [483](#).

East Germany

[2685](#), [2686](#), [2700](#), [2709](#), [2717](#), [2723](#), [2725](#), [2725](#), [2729](#), [2729](#), [2735](#), [2855](#), [2982](#), [2986](#), [2987](#), [2987](#), [2989](#), [2991](#), [2995](#), [2996](#), [2996](#), [2997](#), [2998](#), [2998](#), [3000](#), [3001](#), [3005](#), [3005](#), [3005](#), [3006](#), [3006](#), [3007](#), [3008](#), [3010](#), [3010](#), [3010](#), [3010](#), [3011](#), [3011](#), [3011](#), [3011](#), [3011](#), [3012](#), [3012](#), [3013](#), [3014](#), [3015](#), [3015](#), [3015](#), [3015](#), [3015](#), [3016](#), [3016](#), [3016](#), [3016](#), [3017](#), [3017](#), [3017](#), [3018](#), [3019](#), [3019](#), [3019](#), [3019](#), [3019](#).

[3020](#), [3020](#), [3020](#), [3020](#), [3020](#), [3021](#), [3022](#), [3094](#), [3096](#), [3098](#), [3171](#), [3250](#), [3265](#), [4429](#); Soviet Control Commission, [3011](#), [3013](#).

East Hebei Autonomous Council

[2476](#), [2515](#).

East India Companies

[578](#), [578](#), [579](#), [596](#), [656](#), [686](#), [762](#), [830](#), [953](#). *See* [Dutch East India Company](#); [English East India Company](#); [French East India Company](#); [Ostend East India Company](#); [Swedish East India Company \(Ostindiska Kompaniet\)](#).

East Indies

[339](#), [837](#), [841](#), [841](#), [865](#), [866](#), [1896](#), [2456](#), [2609](#), [2632](#), [2634](#); WWII, [2625](#), [2627](#). *See* [Indonesia \(Netherlands East Indies\)](#).

East Jerusalem

[2698](#).

Eastman, George, inventor

[990](#).

East Mark, Austria

[415](#), [415](#), [416](#).

East Pakistan

[2636](#), [2668](#), [3965](#), [3971](#), [3971](#), [3990](#), [3992](#), [3992](#), [3999](#), [4002](#), [4003](#), [4003](#), [4003](#), [4016](#), [4016](#); cyclone, [4002](#).

East Pomerania

[460](#).

East Prussia

[550](#), [1784](#), [2582](#), [2597](#), [2620](#). *See* [Prussia](#).

East Saxony

[455](#).

East St. Louis

[53](#), [2187](#).

East Timor

[2636](#), [2697](#), [2697](#), [2921](#), [4136](#), [4136](#), [4138](#), [4138](#), [4138](#), [4138](#), [4139](#), [4293](#), [4312](#).

East Turkana

[19](#), [19](#).

Eaton, Theophilus, English colonist

[928](#).

Eaton Company, Canada

[1632](#).

Ebert, Friedrich, German leader

[1971](#), [1973](#), [1980](#).

Ebla

[83](#), [84](#), [100](#), [101](#), [101](#), [102](#), [102](#), [102](#), [102](#), [102](#), [102](#), [103](#).

Eboracum, York



[255](#).  
Ebro River  
[228](#), [231](#), [231](#), [233](#), [419](#), [419](#), [479](#), [1931](#).  
Ebro Treaty  
[231](#).  
Ebussuud Efendi, Ottoman jurist  
[794](#), [797](#).  
EC  
*See* [European Community \(EC\)](#).  
Ecbatana  
[120](#), [123](#), [124](#), [124](#), [207](#), [215](#).  
Ecclesia, Athenian assembly  
[180](#).  
Ecclesiastical Titles Act, England  
[1165](#), [1165](#), [1165](#).  
Ecdippa  
[107](#).  
Ecevit, Bülent, Turkish leader  
[3797](#), [3799](#), [3804](#), [3805](#).  
Echandi Jiménez, Mario, Costa Rican leader  
[3689](#).  
Echaurren, Federico Errázuriz, Latin American leader  
[1664](#).  
Echenique, José Rufino, Latin American leader  
[1670](#).  
Echeverría Alvarez, Luis, Mexican leader  
[3703](#), [3703](#), [3703](#), [3703](#).  
Eck, Johann, German theologian  
[613](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 24

Eckardt, Tibor, Hungarian leader

[2029](#), [2030](#).

École Française d'Extrême-Orient, Vietnam

[1475](#).

ecology

[19](#), [1556](#).

ECOMOG, Nigerian troops

[4384](#).

Economic and Monetary Union, EMU

[2753](#), [2754](#), [2756](#), [2884](#), [2909](#), [2920](#), [2950](#).

Economic Community of West African States, ECOWAS

[4351](#).

Economic Cooperation Administration, E.C.A.

[2710](#), [3392](#).

Economic Opportunity Act, U.S.

[3410](#).

Economic Recovery Tax Act, U.S.

[3390](#).

economy

[1814](#), [1819](#), [1839](#), [2191](#), [2206](#), [2456](#); Mesopotamia, [83](#); ancient Egypt, [90](#); East Africa, [97](#); Syria-Palestine, [101](#); Phoenicia, [108](#); Asia Minor, [112](#); ancient Armenia, [117](#); ancient Iran, [121](#); Arabia, [126](#); the Eastern Zhou dynasty, [140](#); ancient Greece, [173](#), [176](#), [186](#); the Hellenistic Age, [208](#); ancient Rome, [223](#); the Roman Republic, [229](#); the Roman Empire, [239](#), [246](#), [260](#), [260](#); the Sassanians, [271](#); Western Europe, [443](#), [511](#), [511](#); England, [444](#), [446](#), [513](#), [513](#); France, [453](#), [521](#), [521](#), [714](#), [1000](#), [1002](#), [1005](#), [1009](#), [1021](#), [1021](#), [1059](#), [1061](#), [1081](#); Sicily, [458](#); Bohemia, [484](#); Hungary, [560](#), [1087](#); 1500–1800, [579](#), [579](#), [579](#), [579](#), [579](#), [581](#); Islamic societies, [579](#); China 1500–1800, [579](#), [851](#); Africa 1500–1800, [579](#); Europe and its colonies 1500–1800, [584](#); 17th and 18th centuries, [584](#), [645](#), [646](#); England 1600s–1700s, [589](#), [668](#), [680](#), [682](#), [682](#), [687](#); Netherlands, [596](#); France, 1600s–1700s, [600](#), [707](#), [713](#), [717](#); after



[1701](#).  
Eddé, Emile, Lebanese leader  
[2381](#), [2382](#).  
Eddington, Arthur S., British astronomer  
[1729](#), [1729](#).  
Ede  
[875](#).  
Eden, Anthony  
[1852](#), [2758](#), [2764](#), [2766](#), [2768](#), [2770](#), [3207](#), [3398](#).  
Edessa  
[272](#), [274](#), [302](#), [302](#), [318](#), [318](#), [437](#), [505](#), [505](#), [505](#).  
Edgar I, king of England  
[422](#), [422](#), [447](#).  
Edgehill, battle of  
[592](#).  
Edict of 1816, Prussia  
[756](#).  
Edict of Augsburg  
[615](#).  
Edict of Boulogne  
[599](#).  
Edict of Caracalla  
[255](#).  
Edict of Limitation against all Protestants, Poland  
[780](#).  
Edict of Milan  
[262](#), [268](#).  
Edict of Nantes  
[599](#), [711](#), [713](#).  
Edict of Restitution, Thirty Years' War  
[619](#), [621](#).  
Edict of Tolerance, Holy Roman Empire  
[759](#).  
Edict of Worms  
[613](#), [614](#).  
Edict on Prices  
[261](#), [261](#).  
Edinburgh  
[588](#), [591](#), [668](#), [669](#), [1701](#), [2760](#).  
Edinburgh Castle  
[591](#).

Edirne

[312](#), [796](#), [798](#), [1332](#), [1350](#), [2321](#). *See* [Adrianople](#).

Edison, Thomas Alva, inventor

[981](#), [990](#), [990](#), [990](#), [990](#), [1609](#), [1707](#), [1736](#).

Edmund of Lancaster, son of Henry III of England

[445](#), [459](#).

Edo, later Tokyo

[351](#), [858](#), [859](#), [859](#), [859](#), [860](#), [860](#), [861](#), [861](#), [862](#), [862](#), [1437](#), [1437](#), [1438](#), [1438](#), [1438](#), [1438](#), [1439](#), [1439](#), [1440](#), [1442](#), [1442](#), [1444](#), [1446](#), [1447](#), [1447](#).

Edom

[105](#).

Edrisi, geographer

[471](#).

education

[1042](#), [2268](#), [2745](#), [2873](#); Islam, [317](#), [318](#); Africa, [357](#), [1506](#), [1506](#), [1513](#), [1515](#), [1515](#), [1516](#), [1536](#), [1546](#), [1561](#), [2554](#), [2559](#), [2563](#), [2566](#), [2567](#), [2569](#), [4320](#), [4320](#); China, [368](#), [370](#), [373](#), [2466](#), [2478](#), [4159](#); Korea, [379](#), [382](#), [856](#), [1436](#), [2488](#); Vietnam, [398](#), [398](#), [399](#); postclassical Europe, [408](#); liberal arts, [408](#); Carolingians, [411](#), [411](#); England, [422](#), [513](#), [594](#); Byzantium, [438](#); Reformation, [615](#); 1450–1700, [637](#); 1600s–1700s, [646](#); France, [715](#), [1006](#), [1007](#), [1008](#), [1020](#), [1061](#), [1061](#), [1084](#), [1084](#), [1193](#), [1193](#), [1196](#), [2873](#); Spain, [725](#); Portugal, [729](#), [1065](#), [2920](#); Sweden, [761](#); Denmark, [771](#), [1077](#), [1077](#), [1253](#); Russia, [783](#), [788](#), [1256](#), [1261](#), [1261](#), [2068](#), [2068](#); Middle East, [791](#), [2317](#), [2372](#); Japan, [859](#), [1438](#), [1449](#), [1450](#), [1455](#), [2520](#), [4241](#); Americas, [912](#), [918](#); 1800–1914, [1035](#), [1037](#), [1038](#), [1147](#); Great Britain, [1048](#), [1159](#), [1163](#), [1163](#); Low Countries, [1053](#), [1053](#); Belgium, [1056](#), [1171](#), [1171](#), [1171](#), [1172](#), [1173](#), [2821](#); Switzerland, [1070](#), [1226](#), [1227](#); Hungary, [1074](#), [1246](#), [2027](#); Scandinavia, [1075](#), [1076](#); Ireland, [1167](#), [1170](#); Netherlands, [1174](#), [1174](#), [1174](#); Italy, [1219](#); Roman Catholic Church, [1219](#); Germany, [1237](#), [2997](#); Austria, [1239](#); Poland, [1269](#); Serbia, [1285](#); Montenegro, [1296](#); Bulgaria, [1298](#); Romania, [1314](#); Middle East and North Africa, [1336](#), [3768](#); Ottoman Empire, [1338](#), [1339](#), [1347](#); Palestine, [1346](#); Iran, [1350](#), [2339](#), [3817](#); Afghanistan, [1355](#), [1356](#); Egypt, [1366](#), [1370](#), [1370](#), [1372](#), [1374](#), [2356](#), [2356](#), [3903](#), [3908](#), [3909](#), [3910](#); Morocco, [1376](#); Algeria, [1381](#), [1383](#), [1384](#); Tunisia, [1390](#), [1391](#), [3943](#); Libya, [1392](#); India, [1394](#), [1395](#), [1396](#), [3950](#); Southeast Asia, [1414](#); Philippines, [1480](#); Australia, [1491](#), [1494](#), [1494](#); New Zealand, [1503](#); U.S., [1576](#), [1587](#), [1615](#), [3412](#), [3417](#), [3420](#), [3441](#); British reform, [1839](#); Mexico, [2294](#); North Africa, [2317](#); Turkey, [2323](#), [3790](#), [3790](#); Iraq, [2400](#), [3880](#); Arabic, [2423](#); postwar Europe, [2700](#); Luxembourg, [2836](#); Albania, [3203](#); Nicaragua, [3678](#); Costa Rica, [3688](#); Cuba, [3717](#), [3718](#), [3721](#); Palestinians, [3770](#); Saudi Arabia, [3889](#); South Yemen, [3892](#); North Yemen, [3893](#); Oman, [3897](#); Mauritania, [4364](#); East Africa, [4408](#); South Africa, [4470](#), [4478](#). *See* [social reforms](#).

Education Act, England

[1159](#), [1163](#).  
Eduskunta  
[3079](#).  
EDVAC, computer  
[2641](#).  
Edward, son of Henry VI of England  
[515](#).  
Edward I, Longshanks  
[445](#), [445](#), [445](#), [446](#), [446](#), [446](#), [446](#), [446](#), [446](#), [446](#), [446](#), [446](#), [446](#), [447](#), [448](#), [452](#), [452](#), [452](#), [470](#),  
[507](#), [517](#), [540](#), [548](#), [589](#).  
Edward (Duarte) I, king of Portugal  
[529](#).  
Edward II, king of England  
[446](#), [446](#), [512](#), [512](#), [512](#), [512](#), [512](#), [517](#), [517](#).  
Edward III, king of England  
[512](#), [512](#), [512](#), [512](#), [513](#), [513](#), [513](#), [513](#), [513](#), [513](#), [516](#), [517](#), [519](#), [520](#), [520](#), [520](#), [520](#), [520](#),  
[520](#), [521](#), [521](#), [521](#), [521](#), [534](#), [589](#).  
Edward IV, king of England  
[515](#), [515](#), [515](#), [515](#), [516](#), [516](#), [516](#), [519](#), [524](#).  
Edward V, king of England  
[516](#).  
Edward VI, king of England  
[585](#), [587](#), [587](#), [587](#).  
Edward VII, king of England  
[1155](#).  
Edward VIII, king of England (later Duke of Windsor)  
[1839](#), [1850](#).  
Edward the Black Prince, prince of Wales  
[513](#), [513](#), [513](#), [513](#), [513](#), [513](#), [513](#), [521](#), [521](#), [521](#), [521](#).  
Edward the Confessor, king of England  
[422](#), [422](#), [422](#), [423](#), [444](#), [444](#), [447](#), [449](#), [461](#).  
Edward the Elder, king of England  
[424](#).  
Edwards, Jonathan, American clergyman  
[934](#).  
Edwin, king of Northumbria  
[421](#).  
EEA  
*See* [European Economic Area \(EEA\)](#).  
Eel Revolt, Amsterdam  
[1174](#).

EFTA

*See* [European Free Trade Association \(EFTA\)](#).

Egbert, king of England

[422](#).

Egede, Hans, Norwegian settler in Greenland

[769](#).

Eger

[620](#), [620](#).

Egmont, Lamoral

[595](#), [595](#), [598](#).

Egúzquiza, Juan Bautista, Latin American leader

[1666](#), [1666](#).

Egypt

[1](#), [4](#), [4](#), [8](#), [35](#), [38](#), [38](#), [39](#), [41](#), [41](#), [43](#), [43](#), [43](#), [43](#), [43](#), [62](#), [62](#), [65](#), [65](#), [66](#), [67](#), [67](#), [70](#), [70](#), [70](#), [74](#), [80](#), [81](#), [83](#), [84](#), [86](#), [86](#), [86](#), [87](#), [87](#), [87](#), [87](#), [87](#), [87](#), [88](#), [88](#), [89](#), [90](#), [90](#), [90](#), [90](#), [91](#), [91](#), [91](#), [91](#), [92](#), [92](#), [92](#), [93](#), [93](#), [93](#), [93](#), [93](#), [94](#), [95](#), [95](#), [95](#), [95](#), [95](#), [95](#), [96](#), [97](#), [98](#), [98](#), [98](#), [99](#), [101](#), [103](#), [103](#), [103](#), [103](#), [104](#), [104](#), [104](#), [105](#), [105](#), [105](#), [105](#), [108](#), [108](#), [108](#), [109](#), [110](#), [113](#), [113](#), [114](#), [124](#), [124](#), [129](#), [133](#), [169](#), [169](#), [171](#), [171](#), [171](#), [179](#), [192](#), [192](#), [193](#), [198](#), [206](#), [206](#), [206](#), [208](#), [208](#), [208](#), [209](#), [211](#), [211](#), [211](#), [213](#), [214](#), [214](#), [218](#), [218](#), [218](#), [218](#), [219](#), [233](#), [239](#), [241](#), [242](#), [242](#), [242](#), [243](#), [243](#), [245](#), [246](#), [247](#), [251](#), [255](#), [255](#), [261](#), [261](#), [268](#), [275](#), [275](#), [281](#), [285](#), [287](#), [287](#), [287](#), [288](#), [291](#), [292](#), [293](#), [293](#), [294](#), [296](#), [296](#), [296](#), [297](#), [299](#), [299](#), [299](#), [302](#), [302](#), [303](#), [306](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [318](#), [318](#), [318](#), [318](#), [319](#), [319](#), [319](#), [320](#), [320](#), [320](#), [320](#), [321](#), [321](#), [321](#), [333](#), [346](#), [346](#), [346](#), [346](#), [353](#), [360](#), [360](#), [360](#), [360](#), [401](#), [406](#), [421](#), [427](#), [429](#), [429](#), [429](#), [429](#), [430](#), [437](#), [443](#), [451](#), [505](#), [505](#), [507](#), [507](#), [578](#), [791](#), [792](#), [792](#), [793](#), [793](#), [795](#), [798](#), [800](#), [801](#), [802](#), [806](#), [808](#), [808](#), [809](#), [809](#), [810](#), [810](#), [810](#), [810](#), [811](#), [830](#), [837](#), [839](#), [871](#), [953](#), [954](#), [956](#), [957](#), [961](#), [962](#), [962](#), [963](#), [963](#), [965](#), [1010](#), [1010](#), [1010](#), [1105](#), [1109](#), [1111](#), [1114](#), [1114](#), [1123](#), [1128](#), [1162](#), [1274](#), [1275](#), [1276](#), [1327](#), [1327](#), [1327](#), [1328](#), [1328](#), [1331](#), [1332](#), [1337](#), [1337](#), [1346](#), [1349](#), [1349](#), [1360](#), [1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1368](#), [1368](#), [1368](#), [1368](#), [1369](#), [1369](#), [1369](#), [1370](#), [1370](#), [1371](#), [1371](#), [1372](#), [1372](#), [1372](#), [1372](#), [1372](#), [1372](#), [1372](#), [1373](#), [1373](#), [1373](#), [1373](#), [1373](#), [1373](#), [1373](#), [1374](#), [1374](#), [1374](#), [1374](#), [1374](#), [1374](#), [1374](#), [1377](#), [1392](#), [1506](#), [1509](#), [1523](#), [1524](#), [1524](#), [1524](#), [1524](#), [1524](#), [1524](#), [1527](#), [1535](#), [1704](#), [1706](#), [1706](#), [1707](#), [1839](#), [2317](#), [2351](#), [2352](#), [2352](#), [2355](#), [2357](#), [2360](#), [2361](#), [2364](#), [2365](#), [2389](#), [2420](#), [2430](#), [2432](#), [2455](#), [2644](#), [2644](#), [2644](#), [2654](#), [2655](#), [2655](#), [2656](#), [2663](#), [2670](#), [2671](#), [2672](#), [2674](#), [2675](#), [2676](#), [2680](#), [2681](#), [2684](#), [2685](#), [2764](#), [2769](#), [2769](#), [3278](#), [3768](#), [3768](#), [3769](#), [3769](#), [3769](#), [3769](#), [3770](#), [3770](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3772](#), [3773](#), [3773](#), [3774](#), [3774](#), [3775](#), [3776](#), [3776](#), [3777](#), [3777](#), [3778](#), [3779](#), [3780](#), [3782](#), [3786](#), [3839](#), [3839](#), [3839](#), [3841](#), [3843](#), [3865](#), [3872](#), [3876](#), [3879](#), [3880](#), [3882](#), [3891](#), [3901](#), [3902](#), [3904](#), [3904](#), [3907](#), [3908](#), [3908](#), [3910](#), [3910](#), [3910](#), [3910](#), [3911](#), [3911](#), [3916](#), [3917](#), [3948](#), [3948](#).

[4336](#); and Ottoman Empire, [799](#), [1331](#), [1347](#); occupation of Syria, [1331](#), [1331](#); and European trade, [1331](#); and Lebanon, [1333](#); and Great Britain, [1346](#), [1372](#), [1372](#), [2354](#), [2355](#), [2356](#); and Arabia, [1358](#), [1359](#), [1366](#); campaigns in Greece, [1367](#); European influence in, [1367](#); and Suez Canal, [1370](#); expansion in Africa, [1370](#); bankruptcy, [1372](#); and Sudan, [1372](#), [1373](#); WWI, [1748](#), [1750](#), [2537](#); between Wars, [2351](#), [2353](#), [2353](#), [2354](#), [2354](#), [2358](#), [2366](#), [2366](#), [2366](#), [2367](#), [2367](#); revolution, [2352](#), [2651](#), [3904](#), [3906](#), [3910](#); makeup, [2353](#), [3905](#); economy, [2353](#), [2354](#); independence, [2354](#); WWII, [2359](#), [2368](#), [2369](#), [2369](#), [2369](#), [2591](#), [2610](#), [2611](#), [2611](#), [2612](#), [2612](#), [2612](#), [2614](#), [2614](#), [2615](#), [2616](#); Suez crisis, [2637](#); cold war, [2637](#); and Israel, [3426](#); bureaucratic expansion, [3902](#); republic, [3904](#); and France, [3908](#); and Russia, [3909](#), [3910](#), [3910](#), [3911](#), [3911](#); United Arab Republic, [3910](#); Arab Republic of Egypt, [3910](#); economic changes in 1970s, [3911](#), [3911](#). *See* [United Arab Republic \(UAR\)](#).

Egyptian Civil Code

[3902](#).

Egyptian General Agricultural Syndicate

[2354](#).

Egyptian Geographical Society

[1371](#).

Egyptian-Israeli relations

[3768](#), [3771](#).

Egyptian Market, Misir Charshi

[803](#).

Egyptian Museum

[1369](#).

Egyptian National Library, Cairo

[1370](#).

Egyptian Radio and Television Corporation

[2359](#).

Egyptian Women's Union

[2355](#).

Ehrlich, Paul, bacteriologist

[1154](#).

Ehwa Girls School

[1436](#).

Eibar

[1925](#).

Eichel, Hans, German leader

[3026](#).

Eichmann, Adolf, Nazi war criminal

[3858](#).

Eider River



[416](#).  
Eiffel Tower, France  
[984](#).  
Eighteen Articles, Low Countries  
[1055](#).  
Eighth International Conference  
[1699](#).  
Eilat  
[3770](#).  
Einaudi, Luigi, Italian leader  
[2925](#).  
Einhard of Fulda, biographer  
[411](#), [411](#).  
Einsiedeln  
[625](#).  
Einstein, Albert, scientist  
[1147](#), [1149](#), [1149](#), [1729](#), [1729](#), [2068](#), [2464](#).  
Eion  
[190](#).  
Eire  
*See* [Ireland](#).  
Eisai, Zen leader  
[394](#).  
Eisenach  
[613](#); congress of, [1234](#).  
Eisenhower, Dwight D., U.S. president  
[2047](#), [2614](#), [2615](#), [2617](#), [2619](#), [2622](#), [2654](#), [2658](#), [2709](#), [2712](#), [2766](#), [2770](#), [2996](#),  
[2997](#), [3269](#), [3396](#), [3397](#), [3398](#), [3398](#), [3400](#), [3400](#), [3401](#), [3401](#), [3402](#), [3402](#), [3403](#),  
[3404](#), [3404](#), [3404](#), [3405](#), [3405](#), [3417](#), [3447](#), [3448](#), [3448](#), [3598](#), [3638](#), [3649](#), [3702](#),  
[3716](#), [3716](#), [3735](#), [4150](#), [4150](#), [4150](#), [4151](#), [4180](#), [4198](#), [4233](#), [4256](#), [4256](#).  
Eisenhower Doctrine  
[2655](#), [3771](#), [3845](#).  
Eisenstein, Sergei, Russian filmmaker  
[1707](#), [2068](#).  
Eisleben  
[613](#).  
Eisner, Kurt, German leader  
[1971](#), [1973](#).  
Ekaterinburg  
[2067](#), [2067](#).  
Ekkehard of St. Gall, poet

[416](#).  
Ekman, Carl, Swedish leader  
[2049](#).  
Ekrene  
[1139](#).  
Ekron  
[87](#), [103](#).  
Ekumeku, Nigerian sect  
[1520](#).  
Eladas, John, regent  
[436](#).  
Elagabalus, Roman emperor  
[255](#), [255](#), [255](#).  
Elah, king of Israel  
[104](#).  
El-Al Airlines  
[3861](#).  
El Alamein  
[2550](#), [2614](#), [2614](#).  
Elam  
[83](#), [84](#), [84](#), [84](#), [85](#), [85](#), [85](#), [85](#), [86](#), [86](#), [87](#), [87](#), [87](#), [87](#), [120](#), [121](#), [121](#), [122](#), [122](#), [122](#),  
[122](#), [122](#), [122](#), [122](#), [122](#), [122](#), [122](#), [122](#), [122](#), [123](#), [124](#), [216](#).  
El Argheila  
[2612](#), [2613](#).  
Elba, island  
[660](#), [1017](#); and exile of Napoleon, [1031](#), [1031](#), [1033](#).  
Elbasan, taken by Bulgarians  
[1797](#).  
Elbe River  
[243](#), [402](#), [402](#), [407](#), [408](#), [415](#), [416](#), [416](#), [456](#), [456](#), [456](#), [460](#), [752](#), [1237](#), [2621](#), [2982](#),  
[3011](#).  
Elbing  
[460](#).  
Elbistan  
[306](#), [311](#).  
Elbrick, C. Burke, U.S. diplomat  
[3616](#).  
El Caney, battle of  
[1609](#).  
Elchibey, Abulfaz, Azerbaijani leader  
[3312](#), [3313](#).

Eldjarn, Kristjan, Icelandic leader

[3086](#).

El Dorado

[897](#).

Elea

[186](#).

Eleanor, daughter of Henry II of England

[444](#).

Eleanor of Aquitaine, wife of Henry II of England

[444](#), [444](#), [449](#), [449](#).

Eleanor of Aragon

[525](#).

Eleatic School of philosophy

[186](#).

electoral laws

[1901](#), [1908](#); Italy, [1941](#), [1946](#), [1949](#); Switzerland, [1963](#); Germany, [1974](#); Denmark, [2039](#); Soviet Union, [2076](#); Yugoslavia, [2132](#), [3173](#); Bulgaria, [2169](#); Romania, [2178](#); Canada, [2224](#); Brazil, [2272](#); Albania, [3203](#); U.S., [3409](#); Venezuela, [3604](#). *See* [suffrage](#).

electricity

[638](#), [981](#), [981](#), [982](#), [982](#), [985](#), [986](#), [990](#), [1039](#), [1039](#), [1040](#), [1150](#), [1517](#), [1844](#).

Electricity Act, Great Britain

[2760](#).

electric lamp

[990](#).

electrolysis

[1039](#).

electromagnetism

[1039](#), [1148](#), [1148](#), [1150](#).

electron

[1149](#), [1729](#).

electronics

[991](#).

Elementary Training College for Teachers, Katsina

[2556](#).

elements

[1149](#); table of, [1152](#), [1260](#).

Eleonora, archduchess of Habsburg

[777](#).

Eleonora of Aragon, mother of Afonso V of Portugal

[529](#).

Elephanta  
[327](#), [835](#).

Elephantine Island  
[96](#).

Eleusinian mysteries  
[197](#).

Eleusis  
[193](#), [199](#).

Eleutheris River  
[103](#).

Eleventh International Conference  
[4457](#).

Elgin, 8th earl, James Bruce, colonial administrator  
[1397](#), [1398](#), [1417](#), [1628](#).

Elgin Marbles  
[186](#).

Elgin Treaty  
[1629](#).

El Greco, Kyriakos Theotokopoulos  
[604](#).

El Guettar  
[2615](#), [2615](#).

Eliécer Gaitán, Jorge, Colombian leader  
[3575](#).

Elijah the Tishbite  
[104](#).

Eliot, John, American Puritan missionary  
[933](#).

Eliot, John  
[590](#), [590](#), [591](#), [591](#).

Eliot, T. S., poet  
[1839](#), [2191](#).

Elis  
[168](#), [190](#), [197](#), [206](#), [206](#), [210](#), [211](#), [211](#), [211](#).

Elisabethville, University of  
[4432](#).

Elisha  
[105](#).

Elísio, Filinto, Portuguese writer  
[727](#).

Elissa, Dido

[109](#), [110](#).  
Elizabeth, betrothed of Louis XV of France  
[723](#).  
Elizabeth, Bowes-Lyon  
[1835](#), [1853](#), [2208](#), [2233](#).  
Elizabeth I, queen of England  
[585](#), [587](#), [588](#), [588](#), [588](#), [589](#), [589](#), [589](#), [603](#), [923](#).  
Elizabeth II, queen of England  
[2758](#), [2760](#), [2765](#), [2766](#), [2802](#), [3448](#), [3450](#), [4300](#), [4324](#).  
Elizabeth of Luxemburg  
[595](#).  
Elizabeth of Valois, wife of Philip II of Spain  
[602](#).  
Elizabeth of York, daughter of Edward IV  
[516](#).  
Elizabeth Petrovna, empress of Russia  
[661](#), [662](#), [665](#), [763](#), [766](#), [783](#).  
Elizabethville, Congo  
[2570](#), [4434](#). *See* [Lubumbashi, Congo](#).  
El-Kamil, Egyptian sultan  
[458](#).  
Elk Hills reserve, and Teapot Dome scandal  
[2194](#).  
Elkins Act, U.S.  
[1614](#).  
Ellauri, José E., Latin American leader  
[1667](#).  
Ellehammer, aviation pioneer  
[1736](#).  
Ellenborough, earl of, Edward Law, governor-general of India  
[1395](#).  
Ellice Islands  
[1477](#), [1478](#), [1479](#), [4284](#).  
Ellington, Edward Kennedy “Duke”, jazz musician  
[2191](#).  
Elliot, Charles, British administrator in China  
[1416](#).  
Elliot, George  
[1416](#).  
Elliot, Gilbert, viceroy of India  
[1356](#).

Ellora

[326](#), [327](#).

Ellsberg, Daniel

[3422](#).

Elmina

[359](#), [874](#).

El Mirador

[55](#).

El Mozote, El Salvador

[3668](#).

El Obeid, battle of

[963](#), [963](#).

El Paraíso

[56](#), [3670](#).

Elphinstone, Mountstuart, British envoy

[1354](#).

Elphinstone Institution, Bombay

[1394](#).

El Salvador

[1655](#), [1655](#), [1655](#), [1680](#), [1680](#), [1680](#), [1682](#), [1686](#), [2274](#), [2278](#), [2280](#), [2280](#), [2281](#), [2281](#), [2283](#), [2283](#), [2638](#), [2644](#), [2677](#), [2688](#), [2688](#), [3468](#), [3470](#), [3475](#), [3661](#), [3662](#), [3664](#), [3664](#), [3668](#), [3670](#), [3673](#), [3674](#), [3679](#), [3694](#), [3694](#), [3700](#), [3722](#); WWI, [2274](#); Military-Civilian Directorate, [3662](#); and U.S., [3662](#), [3664](#), [3664](#), [3667](#), [3667](#), [3668](#), [3668](#), [3668](#), [3669](#), [3669](#), [3671](#), [3671](#), [3673](#); student unrest, [3664](#), [3664](#); peace, [3671](#).

Eluard, Paul, artist

[1905](#).

Elvas, battle of

[727](#).

Elymians

[184](#), [185](#).

Elysée Palace, Paris

[1194](#).

El Zanjón, convention of

[1693](#).

Emancipation Edict, Russia

[1259](#), [1262](#).

Emancipation Proclamation, U.S.

[1587](#).

Embargo Act, U.S.

[1569](#), [1570](#).

embryology

[1043](#).  
Emergency Banking Relief Act  
[2202](#).  
Emergency Powers Act  
[1839](#).  
Emergency Powers Bill, Germany  
[3004](#).  
Emergency Powers Bill, Great Britain  
[1853](#).  
Emergency Railroad Transportation Act, U.S.  
[2201](#).  
Emergency Relief Appropriation Act, U.S.  
[2203](#).  
Emergency Tariff Act, U.S.  
[2192](#).  
Emergency Unemployment Act, Great Britain  
[1841](#).  
Emeric (Imre) I, king of Hungary  
[492](#).  
Emerson, Ralph Waldo, writer  
[1563](#), [1582](#).  
Emesa  
[215](#), [255](#), [255](#), [429](#).  
EMI, Ltd.  
[2704](#).  
Emin Pasha, Mehmet, explorer  
[1509](#), [1541](#).  
Emishi, Japanese leader  
[383](#).  
Emma, queen mother and regent of the Netherlands  
[1174](#).  
Emma, wife of Ethelred the Unready  
[422](#), [449](#).  
Emmanuel Philibert, king of Savoy  
[612](#).  
Emmet, Robert, Irish rebel  
[702](#).  
Empedocles, Greek philosopher  
[186](#).  
Empire of the East  
[260](#), [260](#), [260](#), [260](#), [261](#), [261](#), [261](#), [266](#), [268](#).

Empire of the West  
[261](#), [261](#).

Empire Settlement Act, Australia  
[2541](#).

Employers and Workmen Act, England  
[1160](#), [1161](#).

Employment Act, U.S.  
[3390](#).

Employment and Social Insurance Act, Canada  
[2231](#).

Employment Protection Act, Great Britain  
[2788](#).

Ems Telegram  
[1234](#).

Enabling Act, Germany  
[1986](#).

Enarea  
[1522](#).

Encalada, Manuel Blanco, Latin American leader  
[1662](#).

Encina, Juan del, Spanish playwright  
[604](#).

enclosures  
[687](#); in Sweden, [764](#).



Encumbered Estates Acts, Ireland  
[1164](#).

Endara, Guillermo, Panamanian leader  
[3645](#).

Ender, Otto, Austrian leader  
[2004](#), [2005](#).

Enderby Land  
[2047](#).

Endicott, John, governor of Massachusetts  
[926](#), [926](#).

End  Sh  saku, writer  
[4246](#).

Piccolomini, Enea Silvio de'  
*See* [Pius II, pope](#).

Enfantin, Prosper, French socialist  
[1035](#).

Eng, prince of Cambodia





See [Anglican Church](#).

English Channel

[163](#), [423](#), [512](#), [520](#), [521](#), [525](#), [603](#), [991](#), [1741](#), [1762](#), [2585](#), [2587](#), [2855](#).

English East India Company

[578](#), [578](#), [589](#), [814](#), [816](#), [817](#), [832](#), [834](#), [836](#), [836](#), [840](#), [845](#), [846](#), [943](#), [1157](#), [1331](#), [1367](#), [1394](#), [1394](#), [1395](#), [1396](#), [1402](#), [1410](#), [1415](#), [1416](#), [1473](#). See [British East India Company](#).

English Levant Company

[1329](#).

Enheduanna, high priestess

[84](#).

Eniwetok

[2630](#), [3403](#).

Enki

[83](#).

Enlightenment

[645](#), [646](#), [646](#), [646](#), [647](#), [707](#), [716](#), [718](#), [730](#), [735](#), [735](#), [737](#), [755](#), [756](#), [782](#), [789](#), [789](#), [1000](#), [1035](#), [1035](#), [1038](#), [1267](#); in Portugal, [727](#); in Switzerland, [751](#).

Enlil-nadin-ahhi, king of Babylon

[83](#), [85](#), [86](#).

Enmebaragesi, king of Kish

[84](#), [122](#).

Enmerkar of Uruk

[84](#).

Ennin, monk

[378](#).

Enniskillen

[2811](#).

Ennius, Quintus, Roman poet

[229](#).

Enos

[980](#), [1138](#).

Enos-Midia line, eastern Thrace

[1743](#).

Enpi-luhhan, king of Simashki

[122](#).

Enríquez, G. Alberto, Ecuadorian leader

[2265](#).

Enryakuji, monastery

[385](#), [386](#), [396](#).

Enryakuji monks, Japan

[857](#).  
Ensenada, marquis of, Zenón de Somodevilla, Spanish leader  
[724](#).  
Entebbe, Uganda  
[3861](#).  
Entente Cordiale, Anglo-French  
[1196](#), [1373](#).  
Entente Powers  
[1743](#), [1746](#), [1746](#), [1748](#), [1749](#), [1749](#), [1753](#), [1758](#), [1758](#), [1758](#), [1769](#).  
entertainment  
[990](#), [1146](#); U.S., [1607](#).  
Entre Ríos, province  
[1647](#), [1659](#).  
Enugu Colliery, Nigeria  
[4323](#).  
Enver Pasha, Turkish leader  
[1348](#), [1748](#).  
environmentalism  
[3407](#), [3477](#), [4472](#), [4489](#); environmental Issues, [2642](#); environmentalist movement, [2700](#); Swiss disaster, [2976](#); U.S., [3410](#), [3411](#), [3419](#), [3419](#), [3420](#), [3425](#), [3427](#), [3432](#); Bolivia, [3548](#); Peru, [3562](#); Brazil, [3617](#), [3622](#), [3625](#); Japan, [4241](#); Australia, [4295](#), [4313](#); New Zealand, [4314](#). *See* [globalization](#).  
Environmental Protection Agency, U.S.  
[3420](#).  
Epaminondas, Theban leader  
[202](#), [202](#), [202](#), [202](#).  
Eparti dynasty  
[122](#).  
Ephesus  
[175](#), [186](#), [186](#), [198](#), [218](#), [246](#); ecumenical council, [401](#).  
Ephialtes, Athenian leader  
[191](#), [191](#).  
Epictetus, Stoic philosopher  
[246](#).  
Epicureanism  
[208](#), [246](#).  
Epicurus, Greek philosopher  
[208](#), [239](#).  
Epidamnus  
[195](#).  
Epidaurus

[178](#), [192](#), [1273](#).

  epi  ka, Anton, Czech leader  
[3125](#).

Epila, battle of  
[526](#).

Epinay congress  
[2862](#).

Epipolae, heights  
[197](#), [197](#).

Epirus  
[129](#), [168](#), [190](#), [206](#), [210](#), [227](#), [233](#), [403](#), [500](#), [501](#), [508](#), [508](#), [508](#), [509](#), [509](#), [562](#), [564](#),  
[564](#), [564](#), [566](#), [1110](#), [1278](#), [1279](#), [1287](#), [1345](#), [1817](#).

Episcopal Church  
*See* [Anglican Church](#).

Equal Opportunities Commission, Great Britain  
[2788](#).

Equal Pay Act of 1970, Great Britain  
[2783](#).

Equal Rights Amendment, U.S.  
[3423](#), [3427](#).

Equatoria, African province  
[1509](#), [1541](#).

Equatorial Africa  
*See* [French Equatorial Africa](#).

Equatorial Guinea  
[4338](#), [4339](#); independence, [4338](#).

Equitable Labour Exchange, London  
[1047](#).

Eran  
[324](#), [324](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

 [PREVIOUS](#)

[NEXT](#) 

---

## Subject Index

### Page 25

- Era of Good Feeling  
[1573](#).
- Era of Regeneration, Switzerland  
[1070](#).
- Erasistratos, Greek physiologist  
[208](#).
- Erasmus, Desiderius, Dutch scholar  
[613](#), [616](#), [2745](#).
- Eratosthenes, Greek astronomer  
[208](#).
- Erbakan, Necmettin, Turkish leader  
[3795](#), [3799](#), [3802](#), [3802](#), [3802](#).
- Erdei, Ferenc, scholar  
[2029](#).
- Erebuni  
[116](#), [118](#).
- Erechtheum  
[186](#).
- Eretna  
[307](#).
- Eretria  
[182](#), [182](#), [182](#), [182](#), [184](#), [184](#), [187](#), [187](#), [188](#).
- Erfurt  
[613](#), [752](#), [1027](#), [1304](#), [3006](#).
- Erhard, Ludwig, German leader  
[2982](#), [2991](#), [2999](#), [3001](#), [3002](#), [3002](#).
- Eric II, the Priest Hater  
[464](#).
- Eric IV, Plowpenny  
[461](#).

Eric V, Glipping  
[461](#).

Eric VI, Menved  
[462](#), [551](#).

Eric VII, king of Denmark, Norway, and Sweden  
[554](#), [554](#), [554](#), [554](#), [554](#).

Eric XI Laespe, king of Sweden  
[463](#), [463](#).

Eric XIV, king of Sweden  
[628](#).

Eric IX, the St.  
[463](#).

Ericsson, Leif, Viking leader  
[281](#), [571](#).

Eric the Red, Norse explorer  
[281](#), [426](#), [992](#).

Erie Canal  
[983](#); completion of, [1574](#).

Erie Railroad  
[1580](#).

Erigena, Johannes Scotus, philosopher  
[426](#).

Eriksen, Erik, Danish leader  
[3043](#), [3044](#).

Erishum II, king of Assyria  
[85](#).

Eritrea, Italian colony  
[96](#), [954](#), [1522](#), [1523](#), [1523](#), [1832](#), [2612](#), [2612](#), [2636](#), [2636](#), [2636](#), [2636](#), [2638](#), [2672](#), [2689](#),  
[2694](#), [4320](#), [4390](#), [4391](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4395](#),  
[4395](#), [4395](#), [4396](#), [4398](#), [4398](#), [4398](#), [4398](#); WWI, [1746](#).

Eritrean People's Liberation Front, EPLF  
[4394](#), [4394](#), [4394](#), [4396](#), [4400](#).

Erivan  
[1258](#), [1349](#), [2322](#).

Erlander, Tage, Swedish leader  
[3062](#), [3062](#), [3062](#).

Erlau  
[798](#).

Erlichman, John, U.S. presidential adviser  
[3423](#).

Ermeland

[550](#).  
Ernest Augustus, duke of Cumberland  
[1072](#).  
Eromanga  
[1476](#).  
Errázuriz, Germán Riesco, Latin American leader  
[1664](#).  
Ershad, Bangladeshi leader  
[4023](#), [4023](#), [4023](#), [4023](#), [4024](#).  
Eryx  
[230](#).  
Erzberger, Matthias, German leader  
[1782](#), [1971](#), [1973](#), [1976](#).  
Erzerum  
[436](#).  
Erzinjan  
[812](#), [1750](#).  
Erzurum  
[307](#), [1328](#), [1333](#), [1749](#), [2321](#).  
Esarhaddon, king of Assyria  
[87](#), [87](#), [95](#), [109](#), [109](#).  
Escalón, Pedro José, Latin American leader  
[1682](#).  
Escandón, battle of, El Salvador  
[3669](#).  
Eschenbach, Wolfram von, poet  
[459](#).  
Escobar, Andrés, soccer player  
[3588](#).  
Escobar, Gonzalo, Mexican leader  
[2297](#).  
Escobar, Pablo, drug lord  
[3586](#), [3587](#), [3588](#).  
Escobar, Patricio, Latin American leader  
[1666](#).  
Escolar, Pedro de, explorer  
[281](#).  
Escorial Palace, Madrid  
[602](#), [604](#).  
Eshkol, Levi, Israeli leader  
[3858](#), [3859](#).

Eshmun  
[108](#).

Eshnunna  
[84](#), [85](#), [85](#), [85](#).

Eskimo people  
[33](#).

Eskishehir  
[2321](#).

Española  
[570](#), [572](#), [572](#), [572](#), [895](#), [895](#), [895](#), [907](#), [909](#), [923](#), [1696](#).

Espartero, Baldomero, Spanish leader  
[1062](#), [1199](#).

Espín, Vilma, wife of Raúl Castro  
[3716](#).

Espinoza, Juan Salazar de, Spanish explorer  
[900](#).

Espinoza, Pedro, Chilean leader  
[3519](#), [3519](#).

Espionage Act, U.S.  
[2188](#).

Espiritu Santo, New Hebrides  
[865](#), [865](#).

Esquiline Hill  
[224](#).

Esquivel, Adolfo Pérez, activist  
[3493](#).

Esquivel, Juan de, Spanish colonial settler  
[895](#).

Esquivel Ibarra, Ascensión, Latin American leader  
[1685](#).

Essaouira  
[825](#).

Essen  
[1071](#), [2587](#), [2621](#).

Essenes  
[250](#).

Essential Materials Act, Canada  
[3445](#).

Essex  
[421](#).

Essex, 3rd earl of, Robert Devereux, leader of parliamentary army



[591](#), [592](#), [593](#).  
Estado Cisplatino  
[1647](#).  
Estado Novo  
[1938](#), [2568](#).  
Estates  
[703](#); Finland, [1079](#).  
Estates General  
[452](#), [453](#), [521](#), [521](#), [521](#), [522](#), [524](#), [599](#), [599](#), [999](#), [1000](#), [1001](#), [1001](#).  
Estatuto Real, Spain  
[1062](#), [1062](#).  
Esterhazy, Ferdinand Walsin, French soldier  
[1195](#).  
Estigarribia, José Félix, Paraguayan leader  
[2251](#), [2251](#).  
Estimé, Dumarsais, Haitian leader  
[3745](#), [3745](#).  
Estonia  
[460](#), [461](#), [482](#), [489](#), [550](#), [620](#), [628](#), [632](#), [659](#), [1704](#), [1821](#), [1822](#), [1828](#), [1837](#), [1837](#),  
[1992](#), [2064](#), [2080](#), [2082](#), [2084](#), [2088](#), [2100](#), [2102](#), [2102](#), [2102](#), [2102](#), [2102](#), [2103](#),  
[2104](#), [2104](#), [2105](#), [2105](#), [2106](#), [2109](#), [2109](#), [2116](#), [2754](#), [2754](#), [3118](#), [3162](#), [3297](#),  
[3298](#), [3298](#), [3303](#), [3303](#), [3304](#), [3321](#), [3321](#), [3321](#), [3323](#), [3324](#), [3324](#), [3346](#), [3354](#);  
WWI, [1772](#); and Russia, [2084](#), [3321](#), [3321](#), [3321](#), [3322](#), [3323](#); Great Depression,  
[2106](#); WWII, [2597](#); independence, [3300](#), [3321](#); sovereignty, [3321](#); Republic of  
Estonia, [3321](#); Russian recognition, [3321](#); cultural minorities, [3322](#).  
Estrada, Joseph, Philippine leader  
[4294](#), [4294](#).  
Estrada Palma, Tomás, Cuban leader  
[1693](#).  
Estremoz  
[728](#).  
Étaples  
[597](#), [1023](#).  
Etemadi, Nur Ahmad, Afghan leader  
[3833](#).  
Eternal Edict, Holland  
[704](#).  
Ethelbert, king of Kent  
[421](#), [421](#).  
Ethelred II the Unready, king of England  
[422](#), [422](#), [426](#), [449](#).

Ethelstan, king of England

[422](#), [424](#).

ether

[1043](#).

Ethiopia

[19](#), [45](#), [74](#), [80](#), [87](#), [281](#), [286](#), [346](#), [346](#), [346](#), [360](#), [360](#), [360](#), [360](#), [427](#), [879](#), [879](#), [879](#), [879](#), [879](#), [879](#), [879](#), [879](#), [880](#), [880](#), [880](#), [880](#), [880](#), [954](#), [967](#), [967](#), [976](#), [1121](#), [1506](#), [1508](#), [1508](#), [1522](#), [1699](#), [1724](#), [1724](#), [1725](#), [1825](#), [1832](#), [1832](#), [1833](#), [1833](#), [1834](#), [1835](#), [1912](#), [1912](#), [1952](#), [1953](#), [1953](#), [1954](#), [1954](#), [1954](#), [2009](#), [2134](#), [2561](#), [2561](#), [2562](#), [2563](#), [2563](#), [2563](#), [2563](#), [2563](#), [2564](#), [2564](#), [2636](#), [2636](#), [2637](#), [2638](#), [2643](#), [2668](#), [2672](#), [2675](#), [2680](#), [2689](#), [2694](#), [3722](#), [4320](#), [4320](#), [4390](#), [4390](#), [4391](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4394](#), [4395](#), [4395](#), [4395](#), [4396](#), [4396](#), [4396](#), [4397](#), [4398](#), [4398](#), [4398](#), [4398](#), [4400](#), [4400](#), [4403](#); and Italy, [1220](#), [1222](#), [1222](#), [1222](#); WWII, [2611](#), [2612](#), [2612](#); Revolution, [2671](#).

Ethiopian Church

[1522](#), [1523](#), [1556](#), [1558](#), [4397](#).

ethnicity

[1271](#).

ethnoarchaeology

[13](#), [13](#).

Eti Bank, Turkey

[2332](#).

Étoile Nord-Africaine

[2423](#).

Eton College, founding of

[516](#).

Etruria

[221](#), [222](#), [227](#), [227](#), [229](#), [231](#), [403](#), [647](#).

Etruscans

[93](#), [110](#), [185](#), [190](#), [222](#), [222](#), [222](#), [222](#), [223](#), [223](#), [224](#), [224](#), [225](#), [225](#), [227](#), [237](#).

Eu agreements

[1063](#).

Euboea

[168](#), [176](#), [182](#), [183](#), [187](#), [188](#), [190](#), [193](#), [198](#), [199](#), [202](#), [204](#), [204](#), [210](#), [502](#), [507](#), [508](#), [1277](#).

Eubulis, Greek playwright

[208](#).

Eubulus, Athenian leader

[203](#).

Euclid, Greek mathematician

[208](#), [479](#).

Eucratides, king of Bactria  
[129](#), [217](#).

Eudes, count of Chartres and Troyes  
[449](#).

Eudo, prince of Oriel  
[425](#).

Eudocia, daughter of Valentinian III  
[404](#).

Eudoxia, wife of Constantine X  
[500](#).

Eudoxia, wife of Valentinian III  
[266](#), [269](#), [404](#).

Eudoxia Lopukhina, first wife of Peter I of Russia  
[785](#).

Eugene, archduke of Austria  
[1799](#).

Eugene, prince of Savoy  
[657](#), [657](#), [658](#), [659](#).

Eugene, viceroy of Italy  
[1026](#).

Eugene IV, pope  
[313](#).

Eugene of Savoy, prince  
[738](#).

Eugenia, princess of Battenberg and queen of Spain  
[1204](#).

Eugénie, empress of France  
[1178](#), [1179](#).

Eugenius, Roman emperor  
[264](#), [265](#).

Eugenius, scholar  
[471](#).

Eugenius III, pope  
[468](#), [505](#).

Eugenius (Eugene) IV, pope  
[531](#), [531](#), [531](#), [568](#).

Eugowra Rocks  
[1494](#).

Eulenburg, Friedrich  
[1235](#).

Euler, Leonhard, scientist

647.  
Eumenes, Macedonian general  
209, 217.  
Eumenes I, ruler of Pergamum  
213, 213, 218.  
Eumenes II Soter, ruler of Pergamum  
211, 214, 214, 215, 233, 233.  
Eupen  
1784, 1882, 2619.  
Euphrates River  
32, 36, 36, 36, 62, 66, 82, 85, 86, 93, 100, 206, 216, 253, 272, 288, 292, 306, 311,  
435, 436, 438, 501, 1140, 1331, 2334, 3775, 3782.  
Eurasia  
18, 18, 23, 23, 25, 25, 26, 26, 47, 47, 62, 67, 75, 75, 75, 78, 80, 276, 278, 281, 282,  
284, 575.  
Euratom  
2718, 2719, 2737.  
Eureka, high-technology program  
2744, 3086, 3158.  
Eureka Stockade, Ballarat  
1490.  
Euric, Visigoth king  
403, 418.  
Euripides, Greek playwright  
186, 197.  
Europe  
4, 5, 18, 18, 18, 21, 22, 22, 22, 23, 23, 23, 24, 24, 25, 25, 25, 25, 26, 29, 29, 31, 33,  
37, 37, 37, 37, 37, 38, 46, 46, 46, 46, 46, 46, 53, 53, 67, 71, 75, 76, 80, 80, 112, 113,  
124, 131, 131, 131, 178, 180, 233, 239, 245, 245, 255, 257, 262, 279, 279, 281, 281,  
281, 281, 281, 281, 281, 282, 282, 282, 283, 284, 290, 292, 293, 295, 299, 299, 306,  
309, 309, 309, 310, 310, 310, 311, 312, 312, 312, 312, 312, 313, 313, 313, 313, 313, 318,  
323, 323, 332, 333, 333, 339, 351, 353, 359, 363, 371, 374, 375, 376, 400, 400, 400,  
402, 406, 406, 410, 411, 412, 419, 420, 422, 425, 425, 425, 426, 426, 426, 431, 435,  
438, 440, 443, 443, 453, 466, 474, 483, 489, 492, 497, 505, 505, 505, 505, 505, 507,  
507, 508, 514, 530, 530, 530, 532, 532, 534, 541, 544, 546, 558, 561, 562, 564, 575,  
575, 575, 575, 575, 575, 577, 577, 577, 577, 578, 578, 578, 578, 578, 578, 578, 579, 579,  
579, 579, 579, 579, 579, 580, 580, 580, 581, 582, 584, 584, 584, 584, 584, 584, 584, 584,  
584, 584, 584, 596, 596, 597, 599, 602, 602, 603, 603, 603, 603, 604, 607, 607, 609, 613,  
615, 617, 624, 626, 636, 636, 643, 644, 644, 644, 644, 644, 644, 644, 645, 646, 646, 648,  
648, 649, 657, 657, 659, 662, 712, 715, 716, 718, 735, 735, 737, 738, 741, 742, 748,  
754, 754, 758, 768, 776, 783, 783, 785, 791, 791, 791, 791, 791, 791, 792, 793, 793, 796.

797, 797, 797, 804, 804, 804, 805, 806, 806, 807, 808, 810, 810, 810, 810, 811, 812, 814, 817, 822, 822, 822, 825, 825, 826, 826, 827, 827, 830, 834, 834, 834, 834, 835, 835, 836, 837, 837, 839, 840, 840, 841, 843, 844, 847, 847, 852, 857, 858, 859, 859, 860, 861, 862, 863, 865, 867, 869, 869, 869, 869, 869, 870, 871, 873, 873, 873, 880, 906, 906, 908, 908, 908, 935, 939, 953, 953, 953, 953, 954, 954, 955, 955, 955, 955, 955, 955, 956, 956, 957, 957, 957, 957, 957, 957, 958, 958, 959, 959, 959, 959, 959, 960, 961, 961, 961, 962, 962, 962, 965, 966, 981, 983, 985, 999, 999, 999, 999, 1018, 1020, 1026, 1029, 1033, 1033, 1034, 1034, 1034, 1034, 1034, 1035, 1037, 1045, 1053, 1056, 1056, 1060, 1064, 1064, 1068, 1069, 1069, 1071, 1072, 1072, 1075, 1081, 1081, 1089, 1092, 1095, 1099, 1099, 1100, 1102, 1104, 1104, 1108, 1109, 1119, 1121, 1128, 1129, 1131, 1140, 1141, 1142, 1142, 1142, 1142, 1142, 1142, 1142, 1142, 1143, 1143, 1143, 1143, 1143, 1144, 1146, 1146, 1146, 1147, 1170, 1180, 1182, 1211, 1226, 1235, 1247, 1247, 1268, 1271, 1274, 1284, 1284, 1284, 1296, 1297, 1311, 1317, 1318, 1323, 1325, 1325, 1326, 1326, 1327, 1327, 1327, 1327, 1327, 1327, 1327, 1328, 1329, 1331, 1333, 1333, 1334, 1334, 1335, 1336, 1337, 1340, 1341, 1343, 1343, 1346, 1346, 1346, 1346, 1346, 1348, 1350, 1351, 1366, 1366, 1367, 1367, 1384, 1394, 1404, 1494, 1506, 1506, 1506, 1506, 1563, 1565, 1610, 1656, 1698, 1698, 1700, 1702, 1702, 1703, 1706, 1706, 1706, 1706, 1707, 1710, 1712, 1728, 1729, 1742, 1751, 1814, 1814, 1814, 1815, 1932, 2020, 2070, 2238, 2363, 2432, 2494, 2520, 2524, 2527, 2529, 2530, 2550, 2554, 2558, 2632, 2636, 2637, 2640, 2641, 2641, 2642, 2643, 2643, 2645, 2672, 2700, 2703, 2704, 2706, 2710, 2711, 2713, 2717, 2718, 2723, 2724, 2724, 2730, 2730, 2731, 2750, 2756, 2877, 2886, 2963, 2964, 2976, 3008, 3039, 3040, 3262, 3443, 3477, 3628, 3774, 3779, 4162, 4295, 4297, 4386; and exploration of the New World, 61; postclassical society, 276, 400, 400, 406, 407, 407, 407, 408, 411, 411, 412, 413; medieval, 276; first use of term, 400; and feudalism, 449; and the Crusades, 505, 507; and Teutonic Knights, 550; and the Americas, 570, 570, 571, 572, 1574; and Southeast Asia, 844, 1402, 1402, 1402; and the Pacific Islands, 864, 865, 865, 1476; and Africa, 869, 871, 875, 875, 885, 886, 886, 887, 888, 890, 892, 1506, 1506, 1506, 1506, 1506, 1506, 1506, 1511, 1513, 1515, 1515, 1517, 1517, 1523, 1524, 1524, 1529, 1541, 1552, 1552, 1561, 1561, 1561, 2554; and Latin America, 894, 1614, 1643, 1676, 1695, 1697; and North America, 919, 919, 927, 933, 934, 941; War of the Austrian Succession, 939; and U.S., 952, 1563, 2191, 2208, 3395; 1800–1914, 953, 1142; and polar exploration, 993; and Middle East, 1329, 1331, 1335, 1339, 1342, 1346, 2317, 2317; and Crimean War, 1334; and Balkan Peninsula, 1342; and treaty of Berlin, 1344; and North Africa, 1345, 1385, 1387, 2317, 2317; and Crete, 1346; and Ottoman Empire, 1348; and Iran, 1349, 1349, 1350; and Egypt, 1366, 1366, 1367, 1367, 1367, 1368, 1370, 1372, 1372, 1372, 1372, 1372, 1372, 1373; and Morocco, 1375, 1376, 1376, 1376, 1376, 1377; and Algeria, 1381, 1383; and Tunisia, 1386, 1387, 1387, 1388, 1389, 1389, 1389, 1390, 1390; and Libya, 1392; and India, 1395, 1396; and China, 1415, 1421, 1423; and Sino-Japanese War, 1420; and Australia, 1487; and New Zealand, 1500.

[1500](#), [1500](#), [1500](#), [1502](#), [1503](#), [1503](#); exploration of Africa, [1507](#); immigration to U.S., [1598](#), [1598](#); WWI, [1769](#), [2200](#), [2554](#), [2554](#), [2554](#), [2575](#); between Wars, [1814](#), [1814](#), [1815](#), [1817](#), [1817](#), [1817](#), [1817](#), [1824](#), [1824](#), [1828](#), [1833](#), [1833](#), [1851](#), [1986](#); Great Depression, [1814](#); culture, [1816](#); imperialism, [2317](#); and Jews, [2386](#); WWII, [2526](#), [2553](#), [2590](#), [2608](#), [2623](#), [2632](#), [2632](#); colonialism, [2554](#), [2554](#), [2558](#); WWII end, [2621](#); WWII settlement, [2635](#); cold war, [2637](#); postwar colonialism, [2637](#), [4320](#), [4320](#), [4320](#); economic and social changes, [2700](#); cost of WWII, [2700](#); postwar cooperation, [2700](#), [2700](#); postwar society, [2700](#), [2700](#), [2700](#); postwar economy, [2700](#); postwar, [2706](#), [2706](#); customs union, [2706](#); Brussels Treaty, [2707](#); union, [2707](#), [2708](#), [2711](#), [2713](#).

European Advisory Commission

[2632](#).

European Army project

[2711](#).

European Atomic Community, Euratom

[2718](#).

European Bank for Reconstruction and Development

[2747](#).

European Central Bank, ECB

[2754](#).

European Coal and Steel Community

[2700](#), [2711](#), [2715](#), [2845](#).

European Commission

[2752](#), [2951](#).

European Common Market

[2636](#), [2637](#), [3224](#), [3475](#).

European Community (EC)

[2640](#), [2643](#), [2677](#), [2689](#), [2728](#), [2729](#), [2731](#), [2734](#), [2737](#), [2737](#), [2739](#), [2740](#), [2742](#), [2743](#), [2743](#), [2744](#), [2744](#), [2744](#), [2745](#), [2746](#), [2746](#), [2748](#), [2749](#), [2749](#), [2750](#), [2751](#), [2751](#), [2756](#), [2756](#), [2790](#), [2795](#), [2802](#), [2810](#), [2812](#), [2906](#), [2917](#), [2919](#), [2920](#), [2945](#), [2969](#), [2969](#), [2977](#), [3035](#), [3037](#), [3047](#), [3049](#), [3050](#), [3057](#), [3057](#), [3057](#), [3060](#), [3061](#), [3066](#), [3068](#), [3081](#), [3087](#), [3088](#), [3177](#), [3178](#), [3183](#), [3190](#), [3193](#), [3225](#); financial support, [2745](#). *See* [European Union \(EU\)](#).

European Community (EC) Commission

[3081](#).

European Confederation

[2877](#).

European Convention for the Protection of Human Rights and Fundamental Freedoms

[2740](#), [2741](#).

European Corps

[2880](#).

European Council  
[2747](#).

European Council for Nuclear Research  
[2703](#).

European Court of Human Rights  
[2719](#), [2740](#), [2791](#), [2813](#).

European Court of Justice  
[2882](#).

European Defense Community, EDC  
[2711](#), [2713](#), [2714](#), [2714](#), [2714](#), [2714](#), [2714](#).

European Defense Community Treaty  
[2847](#).

European Economic and Monetary Union, EMU  
[2746](#), [2749](#).

European Economic Area (EEA)  
[2749](#), [3087](#).

European Economic Assembly  
[2719](#).

European Economic Community, EEC  
[2655](#), [2700](#), [2718](#), [2863](#), [2902](#), [3047](#), [3079](#), [3794](#), [4316](#), [4325](#).

European Free Trade Association (EFTA)  
[2721](#), [2724](#), [2736](#), [2737](#), [2738](#), [2739](#), [2743](#), [2744](#), [2748](#), [2749](#), [2749](#), [2749](#), [2750](#),  
[2750](#), [2971](#), [3079](#), [3086](#).

European Human Rights Commission  
[2740](#).

European Industrial Market  
[2737](#).

European Market  
[2751](#).

European Monetary Institute  
[2746](#).

European Monetary System, EMS  
[2739](#), [2746](#), [2943](#), [2946](#).

European Monetary Union  
[3231](#).

European Parliament  
[2642](#), [2739](#), [2748](#), [2752](#).

European Payments Union  
[2850](#).

European Political Union, EPU  
[2748](#), [2749](#).

European Recovery Program  
[2706](#), [2707](#), [2707](#), [3394](#).

Europeans  
[1384](#).

European Space Agency  
[2682](#).

European Space Research Organization  
[2723](#).

European Union (EU)  
[2689](#), [2696](#), [2751](#), [2751](#), [2752](#), [2752](#), [2752](#), [2753](#), [2753](#), [2754](#), [2754](#), [2754](#), [2754](#),  
[2754](#), [2754](#), [2754](#), [2755](#), [2756](#), [2756](#), [2756](#), [2756](#), [2756](#), [2756](#), [2756](#), [2756](#), [2756](#), [2757](#),  
[2757](#), [2757](#), [2757](#), [2757](#), [2757](#), [2757](#), [2757](#), [2884](#), [2884](#), [2885](#), [2909](#), [2920](#), [2950](#),  
[2969](#), [3040](#), [3040](#), [3052](#), [3053](#), [3061](#), [3069](#), [3082](#), [3117](#), [3118](#), [3119](#), [3119](#), [3139](#),  
[3139](#), [3161](#), [3162](#), [3162](#), [3182](#), [3185](#), [3194](#), [3197](#), [3231](#), [3231](#), [3244](#), [3259](#), [3259](#),  
[3318](#), [3324](#), [3350](#), [3350](#), [3357](#), [3365](#), [3478](#), [3593](#), [3628](#), [3803](#), [3805](#), [3811](#), [3868](#),  
[4343](#), [4471](#), [4488](#); Treaty of Amsterdam, [2754](#).

European University Institute  
[2733](#).

Euroskeptics, England  
[2799](#).

Eurypontids, Spartan dynasty  
[178](#), [187](#).

Eusebius, bishop of Caesarea  
[268](#).

Eutaw, battle of  
[951](#).

euthanasia  
[1993](#).

Euthydemus, king of Bactria  
[129](#), [214](#), [217](#).

Eutropius, eunuch  
[265](#).

Euxine  
[194](#).

Euzkadi Ta Askatasuna, ETA  
[2893](#), [2894](#), [2905](#), [2906](#), [2909](#), [2910](#).

Evagoras, king of Salamis  
[95](#), [200](#).

Evangelical Church  
[1986](#).

evangelicalism



[934](#).  
Evans, Oliver, inventor  
[981](#), [989](#).  
Evanston, Illinois  
[2653](#).  
Evarchus, Naxian leader  
[184](#).  
Everlasting League  
*See* [League of the Three Forest Cantons](#).  
Ever Normal Granaries, in Korea  
[855](#).  
Ever-Victorious Army, China  
[1417](#).  
Evesham, battle of  
[445](#).  
Evian agreements, France and Algeria  
[2853](#), [3929](#).  
Evicted Tenants Act, England  
[1170](#).  
Evil-Merodach, king of Babylonia  
[88](#).  
Evliya Chelebi, Turkish traveler  
[804](#).  
evolution  
[3](#), [18](#), [18](#), [19](#), [19](#), [22](#), [23](#), [23](#), [24](#), [24](#), [28](#), [1042](#), [1043](#); theory of, [1043](#), [1143](#), [1151](#).  
Evora  
[605](#).  
Evren, Kenan, Turkish leader  
[3797](#).  
Ewart-Biggs, Christopher, British diplomat  
[2811](#).  
Ewuare, ruler of Benin  
[359](#).  
exchequer, England  
[444](#), [444](#).  
exclusionism  
[1424](#), [1466](#), [1469](#), [1492](#), [1496](#), [1497](#), [1497](#), [1503](#), [1505](#), [1601](#).  
exclusion principle  
[1729](#).  
Execration Texts  
[103](#).



Ezcurra, Encarnación, wife of Juan Manuel de Rosas  
[1658](#).  
Ezekiel, Hebrew prophet  
[105](#).  
Ezeta, Carlos, Latin American leader  
[1682](#).

## F

Fabians, Fabii  
[225](#).  
Fabian Society, England  
[1162](#).  
Fabius, Laurent, French leader  
[2873](#).  
Fabius Pictor, Quintus, Roman historian and general  
[229](#), [232](#).  
Facta, Luigi, Italian leader  
[1945](#), [1945](#), [1945](#).  
Factory Act, England  
[1155](#).  
Factory Laws, Scandinavia  
[1248](#).  
factory system  
[644](#), [1034](#), [1046](#), [1073](#), [1142](#), [1563](#).  
Fada'iyān-i Islam  
[3813](#).  
Fadlallah Astarabadi, religious leader  
[307](#).  
Faenius Rufus, Roman praetorian prefect  
[249](#).  
Fagerholm, Karl-August, Finnish leader  
[3072](#), [3075](#), [3075](#).  
Fahd, king of Saudi Arabia  
[3889](#).  
Fahrenheit, Gabriel D., scientist  
[647](#).  
Fa-hsien, Buddhist pilgrim  
[131](#).  
Faidherbe, Louis, French colonial administrator  
[1511](#).

Fair Employment Practices Committee, U.S.  
[2210](#), [2210](#).

Fairfax, Thomas  
[593](#), [593](#).

Fair Wages and Hours of Labor Act  
[2231](#).

Faisceau, France  
[1905](#).

Faith and Order Commission  
[1701](#).

Fakhr al-Din II, ruler of Mount Lebanon  
[798](#), [800](#), [800](#), [800](#), [801](#).

Fakhr al-Din al-Razi, theologian  
[303](#).

Falange, Spain  
[1704](#), [1927](#), [2887](#), [2891](#).

Falcón, Juan C., Latin American leader  
[1675](#).

Falcone, Giovanni, Italian jurist  
[2946](#).

Falk, Adalbert, German leader  
[1235](#).

Falkenhausen, Ludwig von, German commander  
[1738](#).

Falkenhayn, Erich von, Prussian commander  
[1739](#), [1740](#), [1754](#), [1754](#), [1754](#), [1757](#), [1806](#), [1806](#), [1806](#).

Falkenstein, Vogel von, German general  
[1102](#).

Falkland, lord, Lucius Cary,, English parliamentarian  
[591](#).

Falkland Islands  
[906](#), [906](#), [1658](#), [1659](#), [1741](#), [1795](#), [2679](#), [2791](#), [3494](#), [3506](#), [3506](#).

Fall, Albert, U.S. leader  
[2194](#).

Falla, Manuel de, composer  
[1921](#).

Fälldin, Thorbjorn, Swedish leader  
[3065](#).

Fallières, Armand, French leader  
[1187](#).

Falloux Law, France

[1084](#), [1179](#).  
Falun Gong, China  
[4177](#).  
Falwell, Jerry, Christian leader  
[3427](#).  
Famagusta  
[797](#).  
famille rose, style of pottery  
[854](#).  
famille verte, style of pottery  
[854](#).  
Family Allowances Act, Northern Ireland  
[1881](#).  
Family and Medical Leave Act, U.S.  
[3430](#).  
famine  
[1437](#), [2068](#), [2643](#), [2680](#); Byzantine Empire, [436](#); France, [523](#), [599](#), [715](#), [716](#), [1009](#);  
Italy, [534](#), [739](#), [741](#), [1066](#); Ireland, [700](#), [1049](#), [1051](#), [1052](#), [1164](#); Spain, [720](#); Finland,  
[766](#); India, [835](#), [1397](#); Japan, [861](#), [862](#), [862](#), [1437](#); Vietnam, [863](#), [2528](#); Africa, [883](#),  
[890](#), [1519](#), [2555](#), [2565](#); Europe, [1069](#); Iceland, [1253](#); Russia, [1261](#); Algeria, [1383](#);  
Ottoman Empire, [2318](#); China, [2465](#); Northeast Africa, [2561](#); East Africa, [2565](#);  
Afghanistan, [3833](#); Bangladesh, [4018](#); Korea, [4219](#), [4220](#); Ethiopia, [4394](#), [4394](#),  
[4395](#), [4396](#), [4397](#), [4398](#); Somalia, [4400](#); Sudan, [4406](#); Madagascar, [4492](#).  
Fancheng  
[375](#).  
Fanfani, Amintore, Italian leader  
[2935](#), [2936](#), [2937](#), [2937](#), [2938](#).  
Fang Lizhi, dissident  
[4166](#), [4168](#).  
Fanning Island  
[1795](#).  
Fante  
[876](#), [1513](#), [1513](#), [1514](#).  
Fan Zhongyan, Chinese leader  
[371](#).  
Faqariyya, political faction in Egypt  
[802](#), [806](#).  
Farabundo Martí National Liberation Front, FMLN  
[3668](#), [3668](#), [3669](#), [3670](#), [3670](#), [3671](#), [3671](#), [3673](#), [3673](#).  
Faraday, Michael, scientist  
[1039](#).

Farah Antun, writer

[2379](#).

Faranjiyya, Sulayman, Lebanese leader

[3845](#), [3847](#).

Far East

[28](#), [126](#), [1258](#), [1259](#), [1262](#), [1263](#), [1329](#), [2011](#), [2192](#), [2780](#).

Far Eastern Commission

[4223](#), [4225](#).

Far Eastern Republic, Soviet

[2067](#).

Farel, William, French Reformation leader

[625](#).

Farhat Abbas, Algerian leader

[2424](#).

Farid al-Din Attar, poet

[303](#).

Farina, Giuseppe, Italian leader

[1211](#).

Khuri, Faris al-, Syrian leader

[3839](#).

Farman Experimental, British plane

[1766](#).

Farm Credit Administration and Act, U.S.

[2202](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 26

Farmer's Party, Sweden

[1247](#).

Farm Mortgage Foreclosure Act, U.S.

[2202](#).

Farm Mortgage Refinancing Act, U.S.

[2202](#).

Farnese, Alexander, duke of Parma and governor of the Netherlands

[595](#), [595](#).

Farnese, Elizabeth, wife of Philip V of Spain

[723](#), [723](#), [723](#), [724](#), [745](#).

Farnese family

[660](#), [745](#).

Farnsworth, Philo, inventor

[1736](#).

Faroe (or Faeroe) Islands

[426](#), [464](#), [765](#), [771](#), [1251](#).

Farouk al-Sharon, Syrian leader

[3785](#), [3844](#).

Farragut, David G., Union admiral

[1587](#).

Farrakhan, Louis, African American leader

[3434](#).

Fars, province

[272](#), [298](#), [815](#).

Farther Spain

See [Hispania Ulterior](#).

Faruq, Farouk

[2366](#), [2368](#), [3904](#).

Fascio di Combattimento

[1941](#).

## Fascism

[1703](#), [1704](#), [1705](#), [1706](#), [1814](#), [1815](#), [1815](#), [1817](#), [1826](#), [1829](#), [1830](#), [1833](#), [1836](#), [2243](#); Belgium, [1888](#), [1889](#); France, [1905](#), [1910](#), [1912](#), [1913](#); Italy, [1922](#), [1944](#), [1944](#), [1945](#), [1945](#), [1945](#), [1945](#), [1945](#), [1945](#), [1946](#), [1946](#), [1947](#), [1947](#), [1947](#), [1948](#), [1949](#), [1950](#), [1956](#), [1960](#), [1960](#), [1962](#), [2632](#), [2931](#), [2948](#); Spain, [1927](#), [1933](#), [2887](#); Portugal, [1938](#), [1938](#), [1940](#); Fiume, [1945](#); Switzerland, [1970](#); Hungary, [2022](#), [2026](#), [2030](#), [2031](#), [2032](#), [2032](#); Finland, [2056](#), [2056](#); Lithuania, [2091](#), [2092](#); Poland, [2123](#); Albania, [2142](#); Latin America, [2240](#), [2243](#), [2243](#), [2247](#), [2257](#), [2273](#), [2273](#), [2305](#), [2309](#); North Africa, [2317](#); Middle East, [2317](#), [2379](#); China, [2475](#); Vietnam, [2528](#); Argentina, [2603](#); Paraguay, [3523](#); Turkey, [3794](#).

## Fascist Grand Council, Italy

[1949](#), [1949](#), [1956](#).

## fashion

[2520](#); Africa, [4320](#).

## Fashoda

[1123](#), [1524](#), [1526](#), [1526](#), [1526](#); crisis, [969](#), [1123](#).

## Fassbinder, Rainer Werner, film director

[2702](#).

## Fatehpur Sikri

[832](#).

## Fath Ali Akhundzadeh, Iranian reformer

[1351](#).

## Fath Ali Shah, ruler of Iran

[819](#), [1349](#), [1349](#), [1349](#), [1349](#).

## Fatherland Front, Austria

[2008](#), [2009](#), [2009](#), [2011](#), [3234](#).

## Fath Khan, Afghan official

[1354](#), [1354](#).

## Fatima, daughter of Muhammad

[286](#), [288](#), [291](#).

## Fatimid dynasty

[292](#), [292](#), [293](#), [293](#), [296](#), [297](#), [302](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [317](#), [318](#), [318](#), [318](#), [321](#), [321](#), [321](#), [321](#), [321](#), [321](#), [321](#), [322](#), [360](#), [419](#), [505](#).

## Fatio, Peter, Swiss rebel

[748](#).

## Fatma al-Yusuf, publisher

[2356](#).

## Faubus, Orval, U.S. leader

[3402](#).

## Faulhaber, Michael von, archbishop of Munich

[1986](#).



Faulkner, William, writer  
[2191](#).

Faure, Edgar, French leader  
[2846](#), [2848](#), [2848](#).

Faure, Félix, French leader  
[1187](#).

Fausta, wife of Constantine I  
[262](#).

Faustina, wife of Marcus Aurelius  
[254](#).

fauvism  
[1146](#).

Fawkes, Guy, English conspirator  
[589](#).

Fawkner, John, settler in Australia  
[1489](#).

Faxian, Chinese pilgrim  
[158](#).

fax machine  
[2641](#).

Fayette, New York  
[1575](#).

Faysal, king of Saudi Arabia  
[3889](#), [3889](#), [3889](#).

Faysal, son of Husayn, sharif of Mecca  
[1753](#).

Faysal I, king of Iraq and Syria  
[2371](#), [2371](#), [2373](#), [2395](#), [2400](#).

Faysal II, king of Iraq  
[2406](#), [3879](#).

Faysal ibn Turki, ruler of Muscat and Oman  
[1361](#).

Faysal ibn Turki, Saudi emir  
[1359](#), [1359](#), [1360](#).

Fayum Depression  
[89](#), [92](#).

Fayyûm  
[208](#).

Fazil Ahmed Pasha, grand vezir  
[804](#).

Fazil Mustafa Pasha

[804](#).  
Fazy, James, Swiss leader  
[1094](#).  
Febres Cordero, León, Ecuadorian leader  
[3569](#).  
February Manifesto  
[1255](#), [1255](#).  
February Patent, Austria  
[1239](#).  
Febvre, Lucien, historian  
[1815](#).  
Federación Obrera Chilena, FOCh  
[1664](#).  
Federación Obrera Regional Argentina, FORA  
[1661](#).  
Federación Obrera Regional Paraguaya  
[1666](#).  
Federal Act, Germany  
[1233](#).  
Federal Aid Highway Act, U.S.  
[3401](#).  
Federal Assembly, Switzerland  
[1226](#).  
Federal Bank, Morocco  
[2419](#).  
Federal Bank Deposit Insurance Corporation, FDIC  
[2202](#).  
Federal Bureau of Investigation, FBI  
[2601](#).  
Federal Communications Commission, FCC  
[2204](#).  
Federal Council, Switzerland  
[1095](#), [1227](#), [1229](#), [1970](#).  
Federal Emergency Relief Act and Administration, U.S.  
[2203](#).  
Federal Employee Loyalty Program, U.S.  
[3391](#).  
Federal Farm Board, U.S.  
[2195](#).  
Federal Intermediate Credit Act, U.S.  
[2195](#).

federalism  
[1005](#).

Federalists, U.S.  
[1563](#), [1565](#), [1568](#), [1569](#), [1570](#).

Federal Labour Party, Australia  
[4295](#).

Federal Mediation and Conciliation Service, U.S.  
[1620](#).

Federal Party, Ceylon  
[4027](#), [4028](#).

Federal Party, Philippines  
[1484](#), [1484](#).

Federal Power Commission, U.S.  
[2205](#).

Federal Radio Commission, U.S.  
[2204](#).

Federal Republic of Germany  
*See* [West Germany \(Federal Republic of Germany\)](#).

Federal Republic of Yugoslavia  
[3179](#).

Federal Reserve Bank Act, U.S.  
[1620](#).

Federal Reserve Bank of New York  
[1720](#).

Federal Theater Project, U.S.  
[2199](#).

Federal Trade Commission, FTC  
[2202](#).

Federal Trade Commission Act, U.S.  
[1621](#).

Federal Wars, Venezuela  
[1675](#).

Federated Malay States, FMS  
[1411](#), [1411](#).

Federated Transcaucasus Republic  
[1753](#).

Fédération Internationale de Football Associations  
[959](#).

Fédération nationale catholique  
[1906](#).

Federation of Agrarian Reform Cooperatives, FECORAH

[3694](#).  
Federation of Central America  
[2274](#), [2278](#), [2278](#).  
Federation of Labor, CGIL  
[2927](#), [2927](#).  
Federation of Labor Unions  
[2056](#).  
Federation of Labour, New Zealand  
[1505](#).  
Federation of Organized Trades and Labor Unions  
[1602](#).  
Federation of Students, Venezuela  
[2269](#).  
Federation of the United Provinces of Nueva Granada  
[1650](#).  
Federation of the West Indies  
[2656](#), [3756](#).  
Federation of Trade Unions, Belarus  
[3316](#).  
Federation of Trade Unions of Syria  
[2375](#).  
Federation of University Scholars  
[1923](#).  
Federation of Workers, Germany  
[1234](#).  
Federigo of Naples, deposed by pope  
[607](#).  
Federmann, Nikolaus, colonial agent  
[897](#).  
Fehrbellin, battle of  
[652](#).  
Fehrenbach, Konstantin, German leader  
[1975](#).  
Feijóo, Benito Jerónimo, Spanish writer  
[718](#).  
Féja, Géza, scholar  
[2029](#).  
Fejerváry de Komlós-Keresztes, Géza  
[1246](#).  
Felipe de Jesús, St.  
[912](#).

Felix, Roman general

[266](#).

Felix V, pope

[531](#), [531](#), [531](#), [532](#).

Felt, Dorr E., developer of comptometer

[986](#).

Felton, John, assassin of duke of Buckingham

[591](#).

feminism

[1076](#); 1800–1914, [1143](#); in Great Britain, [1163](#); in Spain, [1204](#); in Egypt, [1373](#); in the U.S., [1621](#). *See* [women](#).

Fénelon, François de Salignac de la Mothe, French prelate

[713](#), [714](#).

Feng Dao, printer

[370](#).

Feng Guozhang, Chinese leader

[2462](#).

Fengtai

[1420](#), [1424](#).

Feng Yunshan, religious leader

[1417](#).

Feng Yuxiang, Chinese leader

[2470](#).

Fenian Brotherhood, Irish nationalists

[1168](#), [1168](#), [1168](#), [1168](#), [1630](#).

Fennomen, Finland

[1254](#).

Feraoun, Mouloud, writer

[3933](#).

Ferdinand, duke of Parma

[745](#).

Ferdinand, duke of Styria

[616](#).

Ferdinand, prince of Bulgaria

[1121](#).

Ferdinand, ruler of Naples

[1066](#).

Ferdinand I, Austrian emperor

[1090](#).

Ferdinand (Fernando) I, the Great

[420](#), [480](#), [526](#).

Ferdinand I, Holy Roman emperor  
[614](#), [615](#), [616](#), [634](#), [635](#), [635](#); as king of Bohemia and Hungary, [616](#); as king of Hungary, [635](#).

Ferdinand I, king of Naples and later the Two Sicilies  
[724](#), [1066](#).

Ferdinand (Fernão) I, the Handsome  
[528](#), [528](#).

Ferdinand I, king of Romania  
[1318](#), [1320](#), [1742](#), [2174](#), [2179](#).

Ferdinand I, tsar of Bulgaria  
[1303](#), [2160](#), [2160](#).

Ferdinand II, Holy Roman emperor  
[617](#), [617](#), [617](#), [619](#), [619](#), [620](#), [621](#), [622](#).

Ferdinand II, the Catholic  
[525](#), [525](#), [525](#), [525](#), [525](#), [527](#), [572](#), [595](#), [597](#), [597](#), [601](#), [601](#), [601](#), [601](#), [601](#), [601](#), [601](#), [602](#), [607](#), [607](#), [607](#), [607](#), [613](#), [613](#).

Ferdinand II, king of Bohemia and Hungary  
[634](#).

Ferdinand II, king of the Two Sicilies  
[1212](#).

Ferdinand III, Holy Roman emperor  
[621](#), [622](#), [752](#), [757](#).

Ferdinand III, king of Castile and Leon  
[476](#).

Ferdinand VI, king of Spain  
[718](#), [724](#), [1027](#).

Ferdinand VII, king of Spain  
[1062](#), [1062](#), [1062](#), [1062](#), [1062](#), [1643](#), [1644](#), [1645](#), [1648](#), [1648](#), [1649](#), [1650](#), [1650](#), [1650](#), [1651](#), [1653](#).

Ferdinand de Saussure, linguist  
[2861](#).

Ferdinand of Austria  
*See* [Ferdinand I, Holy Roman emperor](#).

Ferdinand of Braganza  
[529](#).

Ferdinand of Brunswick, soldier  
[663](#), [664](#).

Ferdinand of Habsburg  
*See* [Ferdinand I, Holy Roman emperor](#).

Ferdinand of Naples  
[1092](#), [1092](#).

Ferdinand of Saxe-Coburg

*See* [Ferdinand I, tsar of Bulgaria](#).

Ferdinand the Constant, prince of Portugal

[529](#).

Ferghana

[830](#).

Fermat, Pierre de, French mathematician

[639](#), [639](#).

fermentation

[1151](#), [1153](#).

Fermi, Enrico, physicist

[1730](#), [1732](#).

Fernandez, Juan

[1795](#).

Fernández de Quirós, Pedro, Spanish explorer

[865](#).

Fernandez Reyna, Leonel, Dominican leader

[3744](#).

Po, Fernando

[1516](#), [2559](#), [2892](#), [4338](#).

Fernymead

[1503](#).

Ferrante I, king of Naples

[526](#), [532](#), [532](#), [533](#), [535](#), [535](#), [536](#), [607](#).

Ferrara

[531](#), [538](#), [746](#), [1014](#).

Ferrara, Gregorio, Honduran leader

[2288](#), [2289](#).

Ferrara-Florence, council of

[531](#), [536](#).

Ferrarese War

[532](#).

Ferraro, Geraldine, U.S. leader

[3428](#).

Ferré, Luis A., Puerto Rican leader

[3732](#).

Ferreira, Benigno, Latin American leader

[1666](#).

Ferrello, Bartolomé, Spanish explorer

[903](#).

Ferrera, Francisco, Latin American leader

[1686](#).  
Ferry, Jules, French leader  
[963](#), [964](#), [1112](#), [1114](#), [1194](#), [1474](#).  
Ferry Laws, France  
[1193](#).  
Fertile Crescent  
[1750](#).  
fertilizers  
[987](#).  
Fessenden, Reginald E., engineer  
[990](#).  
Festival of the Supreme Being, France  
[1007](#).  
feudalism  
[411](#), [411](#), [412](#), [413](#), [422](#), [422](#), [422](#), [435](#), [444](#), [466](#), [523](#); Europe, [407](#); England, [445](#);  
France, [449](#); Italy, [612](#), [739](#), [740](#), [747](#); Germany, [614](#); abolished in Portugal, [731](#);  
Hungary, [759](#); Sweden, [764](#); Japan, [1448](#).  
Feuerbach, Ludwig, philosopher  
[1036](#).  
Feuillants, French political party  
[1001](#).  
Fez  
[293](#), [322](#), [529](#), [605](#), [822](#), [822](#), [822](#), [822](#), [822](#), [823](#), [823](#), [823](#), [824](#), [824](#), [827](#), [975](#), [978](#),  
[979](#), [1135](#), [1378](#), [1378](#), [1378](#), [1384](#), [1387](#), [1507](#); rebellion in, [1375](#).  
Fezzan, region  
[1392](#), [1392](#), [1393](#), [2431](#), [3947](#), [3947](#). *See* [Fez](#).  
Fhimah, Lamem Khalifa, terrorist  
[3949](#).  
Fianna Fáil Party, Ireland  
[1869](#), [2805](#), [2807](#).  
Fiat company  
[2944](#), [3280](#).  
Fichte, Johann Gottlieb, German philosopher  
[1026](#).  
Ficino, Marsilio, scholar  
[536](#).  
Fidesz-Hungarian Civic Party, Hungary  
[3162](#).  
Fieandt, Rainar von, Finnish leader  
[3075](#).  
Field, Cyrus W., layer of first transatlantic cable



[989](#).  
Field, Stephen D., inventor  
[990](#).  
Fiesole  
[534](#).  
Fifth Monarchists, England  
[589](#), [674](#).  
Fiftieth Ordinance, South Africa  
[1551](#).  
“fifty families”  
[3662](#).  
Figl, Leopold, Austrian leader  
[3028](#).  
Figiolé, Daniel, Haitian leader  
[3745](#), [3745](#).  
Figueiredo, João Baptista, Brazilian leader  
[3618](#), [3619](#).  
Figueres, José (Pepe) Ferrer, Costa Rican leader  
[3686](#), [3686](#), [3686](#), [3688](#), [3689](#), [3689](#).  
Figueres Olsen, José Maria, Costa Rican leader  
[3691](#).  
Figueroa, Fernando, Latin American leader  
[1682](#).  
Figueroa Alcorta, Vicente, Latin American leader  
[1661](#).  
Fiji Islands  
[52](#), [864](#), [864](#), [865](#), [1476](#), [1476](#), [1477](#), [1477](#), [1477](#), [1477](#), [1477](#), [2530](#), [2530](#), [4283](#), [4284](#),  
[4285](#), [4286](#), [4287](#), [4287](#), [4288](#), [4287](#), [4287](#), [4287](#); Republic of, [4285](#).  
Filelfo, Francesco, humanist  
[537](#).  
Filho, João Café, Brazilian leader  
[3611](#).  
Filipinos  
[574](#), [1480](#), [1480](#), [1481](#), [1481](#), [1481](#), [1483](#), [1484](#).  
Filipov, Grisha, Bulgarian leader  
[3239](#).  
Fillmore, Millard, U.S. president  
[1580](#).  
film  
*See* [cinema](#).  
Filov, Bogdan, Bulgarian leader



See [armaments](#).

Firestone Rubber

[2559](#), [2559](#).

First Cataract

[38](#), [43](#), [89](#), [91](#), [93](#), [96](#).

First Empire, France

[1019](#).

First International Workingmen's Association

[1143](#).

First Provisional Democratic Government of Free Greece

[3208](#).

Firth of Clyde

[2772](#).

Firth of Forth

[424](#).

Firuz Tughluk, ruler of India

[332](#), [332](#), [333](#).

Fischart, Johann, German satirist

[616](#).

Fischer, Rudolph, pioneer in developing color film

[990](#).

Fisher, Andrew, Australian leader

[1497](#), [1498](#), [1499](#).

Fisher, Ronald A., geneticist

[1731](#).

Fish River

[891](#), [891](#), [1550](#), [1550](#), [1552](#).

Fisk University

[2201](#).

Fitch, John, inventor

[989](#).

Fitzgerald, F. Scott, writer

[2191](#).

Fitzmaurices, Norman family

[425](#).

Fiume

[1708](#), [1778](#), [1817](#), [1818](#), [1821](#), [1823](#), [1941](#), [1943](#), [1943](#), [1945](#).

Five, Kaci Kullmann, Norwegian leader

[3060](#).

five-and-ten-cent stores

[1599](#).

Five Dynasties

[369](#), [370](#), [370](#), [370](#), [371](#).

Five Forks, battle of

[1590](#).

Five-Mile Act, England

[674](#), [675](#).

Five Mountains, Zen literary school

[396](#).

Five Pecks of Rice, Chinese rebel band

[156](#).

Fivers, Zaydi Shi'ites

[291](#).

Fizeau, Armand, physicist

[1147](#).

Flaccus, Quintus Horatius

*See* [Horace, Roman author](#).

Flagellants

[541](#).

Flamininus, Titus Quinctius, Roman general

[211](#), [233](#).

Flaminius, Caius, Roman general

[231](#).

Flammock, Thomas, Cornish rebel

[585](#).

Flanders

[413](#), [415](#), [445](#), [446](#), [449](#), [450](#), [450](#), [452](#), [453](#), [479](#), [511](#), [512](#), [514](#), [514](#), [520](#), [520](#), [521](#), [521](#), [524](#), [524](#), [524](#), [548](#), [548](#), [548](#), [585](#), [595](#), [595](#), [601](#), [604](#), [614](#), [648](#), [649](#), [722](#), [1887](#), [2585](#), [2644](#), [2822](#), [2823](#); and France, [453](#), [453](#); WWI, [1754](#), [1754](#), [1755](#), [1757](#), [1781](#), [1781](#), [1801](#), [1812](#). *See* [Belgium](#).

Flanders, of

[1316](#).

Flandin, Pierre, French leader

[1910](#), [1911](#).

Flannery, Kent, archaeologist

[35](#).

Flannigan, Hallie Q., theater promoter

[2199](#).

Flatters, French commander in Africa

[1511](#).

Flaubert, Gustave, writer

[1146](#).

Flavelle, Joseph, Canadian leader  
[2218](#).

Flavian dynasty  
[246](#), [251](#), [251](#), [252](#).

Flavius, Cnaeus, Roman leader  
[223](#).

Flavius Clemens, cousin of Domitian  
[252](#).

Fleming, Alexander  
[1731](#), [1845](#).

Fleming, John Ambrose, inventor  
[991](#).

Flemish  
[1882](#), [1882](#), [1882](#), [1882](#), [1885](#), [1886](#), [1887](#), [2822](#). *See* [Belgium](#).

Flemish Free University of Brussels  
[2823](#).

Fletcher, John, English playwright  
[594](#).

Fletcher v. Peck, U.S. Supreme Court decision  
[1574](#).

Fleurus, battle of  
[653](#), [1007](#).

Fleury  
[422](#).

Fleury, André-Hercule de, French leader  
[715](#).

Flinders Island  
[1488](#).

Flint, James, British envoy in China  
[853](#).

Flodden Field, battle of  
[585](#).

Flor, Roger de, mercenary commander  
[565](#), [565](#).

Florence  
[265](#), [400](#), [443](#), [459](#), [469](#), [472](#), [511](#), [530](#), [531](#), [532](#), [532](#), [532](#), [533](#), [534](#), [537](#), [537](#), [537](#),  
[537](#), [538](#), [558](#), [597](#), [602](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [609](#), [612](#), [1011](#), [1215](#),  
[1944](#), [2590](#), [2618](#), [2733](#).

Florence, council of  
[568](#).

Florence, treaty of

[1017](#), [1017](#).  
Flores, Alfredo González, Costa Rican leader  
[2286](#), [2286](#).  
Flores, Juan, Latin American leader  
[1671](#), [1671](#), [1671](#).  
Flores, Venancio, Latin American leader  
[1667](#), [1667](#).  
Flores Avendaño, Guillermo, Guatemalan leader  
[3650](#).  
Flores Facusse, Roberto, Honduran leader  
[3699](#), [3699](#), [3699](#).  
Flores Jijón, Antonio, Latin American leader  
[1671](#).  
Flores Pérez, Francisco, Salvadoran leader  
[3673](#), [3673](#).  
Florianus, Marcus Annus, Roman emperor  
[258](#).  
Florida  
[53](#), [573](#), [574](#), [574](#), [666](#), [724](#), [894](#), [905](#), [905](#), [905](#), [905](#), [905](#), [905](#), [905](#), [906](#), [907](#), [907](#), [920](#),  
[921](#), [938](#), [940](#), [940](#), [950](#), [954](#), [1574](#), [1585](#), [3420](#), [3435](#), [3441](#), [3722](#), [3728](#), [3753](#).  
Florina, battle of  
[1806](#).  
Florus, Julius, rebel leader  
[247](#).  
Flour War, France  
[717](#).  
Foch, Ferdinand, French commander  
[1738](#), [1757](#), [1780](#), [1781](#), [1781](#), [1781](#), [1781](#), [1781](#), [1782](#), [1812](#), [1812](#).  
Fock, Jenő, Hungarian leader  
[3151](#), [3152](#).  
Focke, Heinrich, inventor  
[1736](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 27

- Focsani  
[1808](#); truce of, [1776](#).
- Foda, Farag, journalist  
[3916](#).
- Fogazzaro, Antonio, writer  
[1223](#).
- Foix, French region  
[477](#), [479](#).
- Foix, Gaston de, duke of Nemours  
[597](#).
- Fokin, Vitold, Ukrainian leader  
[3380](#), [3382](#).
- Fokker, German plane  
[1765](#), [1766](#).
- Foley, Robert, ecologist  
[24](#).
- Folketing, Denmark  
[1078](#), [1251](#), [1253](#), [3044](#).
- folktales  
[1036](#).
- Folkung dynasty, Sweden  
[463](#).
- Follen, Karl, German leader  
[1071](#), [1071](#).
- Fon  
[873](#).
- Fonck, René, French pilot  
[1766](#).
- Fonseca, Carlos, Nicaraguan leader  
[3675](#), [3676](#).

Fonseca, Deodoro da, Latin American leader  
[1677](#), [1677](#).

Fonseca, Hermes da, Latin American leader  
[1677](#).

Fonseca Bay  
[895](#).

Fontainebleau  
[1026](#), [4254](#); treaty of, [653](#), [665](#), [732](#).

Fontaney, Jean de, missionary in China  
[854](#).

Fontarabia  
[602](#).

Fontenay, battle of  
[411](#).

Fontenoy, battle of  
[660](#).

Fontism, reform program  
[1207](#).

food  
[12](#), [12](#), [13](#); preservation of, [987](#), [987](#), [987](#), [987](#), [987](#).

Food Administration, U.S.  
[2187](#).

Food and Drug Administration, U.S.  
[3437](#).

football  
[959](#).

foot-binding, in China  
[852](#).

Foraker Act, U.S.  
[1694](#).

Forbes, W. Cameron, U.S. diplomat  
[2316](#).

Forbidden City, Beijing  
[2462](#).

Force Bill, U.S.  
[1576](#), [1604](#).

Force Ouvrière, France  
[2841](#).

Forchheim  
[415](#).

Ford, Gerald, U.S. president



[3424](#), [3425](#), [3425](#).  
Ford, Henry, automobile manufacturer  
[986](#), [990](#), [1617](#), [1734](#), [2191](#).  
Ford Motor Company  
[986](#), [990](#), [1700](#), [1859](#), [2191](#), [2217](#), [2640](#), [3400](#); Model T Ford, [1734](#).  
Fordney-McCumber Tariff Act, U.S.  
[2193](#).  
Foreign and Commonwealth Office  
[2780](#).  
Foreign Economic Administration, U.S.  
[2214](#).  
Foreign Office, Great Britain  
[2780](#).  
Foreign Service Act, England  
[1156](#).  
Forest, Lee de, inventor  
[991](#).  
Forest Cantons, Switzerland  
[540](#), [546](#), [546](#), [546](#), [546](#).  
Former Han dynasty  
[153](#), [154](#), [154](#), [155](#), [155](#), [155](#), [155](#), [156](#), [156](#), [167](#).  
Former Qin state  
[157](#).  
Formosa  
[339](#), [2634](#), [3395](#). *See* [Taiwan](#).  
Formosus, pope  
[415](#).  
Forrest, John, explorer  
[1494](#).  
Forrest, Nathan Bedford, Confederate commander  
[1589](#).  
Forrestal, James V., U.S. leader  
[3391](#).  
Forster, Albert, Nazi leader in Danzig  
[1837](#), [1838](#).  
Fort Albazin  
[852](#).  
Fort Amsterdam  
[596](#).  
Fortas, Abe, U.S. jurist  
[3416](#).

Fort Caroline  
[905](#), [905](#), [920](#).

Fort Charles  
[1548](#).

Fort Christina  
[932](#).

Fort Churchill  
[1623](#).

Fort Crèvecoeur  
[921](#).

Fort Donelson  
[1587](#).

Fort Douaumont, taken by Germans  
[1800](#), [1800](#).

Fort Duquesne  
[940](#).

Fort Eben Emael, Belgium  
[2585](#).

Fort Erie  
[1623](#), [1630](#).

Fortescue, John  
[516](#).

Fort Frontenac  
[921](#).

Fort Garry  
[1630](#).

Fort Hare  
[2577](#).

Fort Henry  
[1587](#).

Forth River  
[421](#).


Fort Jesus  
[882](#), [882](#).

Fort Laramie  
[1592](#).

Fort Le Boeuf  
[939](#).

Fort Mercer  
[948](#).

Fort Mifflin

[948](#).  
Fort Nassau  
[932](#).  
Fort Necessity  
[940](#).  
Fort Niagara  
[1623](#).  
Fort Orange  
[932](#), [935](#).  
Fort Pillow, massacre at  
[1589](#).  
Fort Rupel, Bulgarian-German occupation  
[1758](#).  
Fort Salisbury  
[1548](#).  
Fortschrittspartei, Progressive Party  
[1232](#), [1232](#).  
Fort Sumter  
[1586](#).  
Fort Ticonderoga  
[940](#).  
Fort Tuli  
[1548](#).  
Fort Vaux, taken by Germans  
[1800](#), [1800](#).  
Fort Victoria  
[1548](#).  
Forty–Seven R  nin Incident  
See [Ch !\[\]\(67433ad4a135c113d9a9c29aff5e5943\_img.jpg\) shingura Incident](#).  
Forum, Rome  
[224](#), [239](#), [253](#).  
Forum Boarium  
[224](#), [229](#).  
Forward Bloc, India  
[2445](#).  
fossil, oldest known  
[4309](#).  
Foster, Stephen, composer  
[1582](#).  
Fotheringay Castle  
[588](#).

Foucault, Jean Bernard, physicist  
[1147](#).

Foucault, Michel, scholar  
[2701](#), [2861](#).

Fouche, Edmund, inventor of oxyacetylene torch  
[986](#).

Fouché, Joseph, French leader  
[1005](#).

Foundation of the National Union, Portuguese Fascist party  
[1938](#), [1938](#).

Fouqué, Heinrich August de, German soldier  
[664](#).

Fourah Bay  
[1513](#).

Fourah Bay College, Sierra Leone  
[1516](#).

Four Articles of Prague, reform program  
[541](#), [544](#).

Four Courts, Dublin  
[1864](#), [1864](#).

Four Days Fight, battle of  
[648](#).

Four Estates, Sweden  
[1247](#).

Four Hundred, Athens  
[198](#).

Fourier, Charles, utopian socialist  
[1035](#), [1035](#), [1060](#).

Fourier, Joseph, mathematician  
[1039](#).

Fourneyron, Benoit, engineer  
[981](#).

Fournier, François-Ernest, French envoy  
[1419](#).

Four-power Pacific Treaty  
[1710](#).

four-power pact  
[1830](#).

Fourteen Points, President Wilson's program  
[1780](#), [1781](#), [1784](#), [2189](#), [2554](#), [4320](#).

Fourth Cataract

[93](#), [98](#).  
Fourth Party, England  
[1162](#).  
Fourth Sacred War  
[205](#).  
Fourth Syrian War  
[214](#).  
Four-Year Plan, Nazi Germany  
[1986](#), [1991](#).  
Four Years' Diet, Poland  
[782](#).  
Four Years' War  
[209](#).  
Fowler, John, developer of steam plow  
[987](#).  
Fox, Terry, charity organizer  
[3458](#).  
Fox Indians  
[1575](#).  
Fox Quesada, Vicente, Mexican leader  
[3713](#).  
Fox River  
[921](#).  
Foyle River  
[696](#).  
Fracastoro, Girolamo, Italian physician  
[638](#).  
Fraga  
[477](#).  
France  
[23](#), [52](#), [229](#), [231](#), [239](#), [276](#), [282](#), [302](#), [375](#), [406](#), [410](#), [411](#), [411](#), [412](#), [413](#), [413](#), [413](#),  
[413](#), [413](#), [413](#), [415](#), [416](#), [419](#), [422](#), [426](#), [443](#), [443](#), [443](#), [443](#), [445](#), [450](#), [453](#), [454](#), [456](#),  
[466](#), [466](#), [468](#), [469](#), [470](#), [470](#), [470](#), [470](#), [477](#), [479](#), [479](#), [488](#), [505](#), [505](#), [507](#), [508](#), [511](#),  
[511](#), [512](#), [525](#), [525](#), [530](#), [530](#), [531](#), [531](#), [532](#), [533](#), [534](#), [535](#), [540](#), [541](#), [541](#), [541](#), [544](#),  
[546](#), [547](#), [575](#), [577](#), [577](#), [578](#), [578](#), [578](#), [578](#), [579](#), [579](#), [579](#), [582](#), [584](#), [584](#), [584](#), [585](#),  
[585](#), [585](#), [586](#), [586](#), [588](#), [588](#), [588](#), [588](#), [589](#), [590](#), [591](#), [591](#), [591](#), [595](#), [597](#), [597](#), [597](#),  
[597](#), [597](#), [597](#), [597](#), [598](#), [598](#), [598](#), [598](#), [598](#), [599](#), [599](#), [599](#), [599](#), [600](#), [600](#), [600](#), [600](#),  
[601](#), [601](#), [601](#), [602](#), [602](#), [602](#), [602](#), [603](#), [603](#), [604](#), [604](#), [604](#), [605](#), [606](#), [607](#), [607](#), [607](#),  
[607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [608](#), [608](#), [608](#), [609](#), [609](#), [609](#), [610](#), [611](#), [612](#), [612](#), [612](#),  
[613](#), [613](#), [614](#), [614](#), [614](#), [614](#), [615](#), [615](#), [615](#), [617](#), [620](#), [620](#), [622](#), [622](#), [622](#), [622](#), [623](#),  
[624](#), [624](#), [624](#), [624](#), [624](#), [625](#), [625](#), [625](#), [625](#), [626](#), [626](#), [626](#), [633](#), [644](#), [645](#), [646](#), [648](#),

648, 648, 648, 648, 649, 650, 650, 650, 651, 652, 653, 653, 653, 653, 653, 653, 653, 653,  
653, 653, 654, 656, 656, 657, 657, 657, 657, 657, 658, 659, 659, 659, 659, 659, 659,  
659, 659, 659, 659, 659, 659, 659, 660, 660, 660, 660, 660, 660, 660, 660, 662, 662, 662,  
662, 662, 662, 663, 664, 665, 666, 667, 670, 671, 674, 675, 677, 677, 679, 682, 682,  
683, 684, 685, 686, 687, 688, 688, 691, 692, 692, 697, 701, 701, 703, 704, 704, 704,  
704, 705, 705, 705, 705, 705, 705, 706, 707, 707, 707, 707, 707, 707, 707, 711, 711,  
711, 711, 712, 712, 713, 713, 713, 713, 713, 714, 714, 714, 714, 714, 716, 716,  
716, 716, 716, 717, 717, 717, 717, 717, 718, 718, 718, 719, 719, 720, 720, 720, 720,  
720, 723, 723, 723, 723, 723, 724, 724, 724, 725, 725, 726, 726, 726, 726, 727, 727,  
728, 728, 728, 728, 731, 731, 732, 732, 734, 736, 736, 736, 737, 737, 737, 738, 738,  
739, 745, 745, 745, 746, 746, 746, 748, 748, 748, 749, 749, 749, 749, 749, 749, 749,  
750, 750, 750, 750, 750, 751, 752, 754, 755, 755, 759, 759, 760, 761, 762, 770, 771,  
780, 781, 781, 782, 785, 787, 789, 790, 797, 802, 806, 807, 809, 809, 810, 810, 811,  
815, 817, 827, 827, 828, 830, 847, 865, 904, 904, 906, 906, 906, 906, 906, 911, 914,  
914, 917, 939, 940, 953, 954, 954, 955, 956, 956, 957, 957, 957, 961, 961, 961, 961,  
962, 963, 964, 965, 965, 965, 966, 967, 970, 971, 971, 976, 980, 983, 984, 984, 985,  
987, 989, 989, 989, 989, 999, 999, 999, 1001, 1001, 1002, 1002, 1003, 1003, 1004,  
1004, 1005, 1005, 1005, 1005, 1005, 1007, 1007, 1007, 1008, 1008, 1008, 1008,  
1009, 1009, 1009, 1009, 1009, 1009, 1010, 1011, 1011, 1011, 1013, 1014, 1014,  
1015, 1016, 1016, 1017, 1017, 1018, 1018, 1019, 1020, 1020, 1020, 1021, 1021,  
1021, 1021, 1022, 1023, 1023, 1023, 1023, 1024, 1024, 1025, 1026, 1026, 1026,  
1026, 1026, 1027, 1027, 1028, 1028, 1029, 1029, 1029, 1029, 1029, 1029, 1029,  
1030, 1030, 1030, 1031, 1031, 1031, 1032, 1033, 1033, 1033, 1033, 1034, 1035,  
1035, 1035, 1035, 1036, 1045, 1045, 1053, 1053, 1053, 1055, 1055, 1056, 1058,  
1059, 1059, 1059, 1059, 1060, 1060, 1060, 1061, 1061, 1061, 1062, 1062, 1062,  
1063, 1066, 1066, 1068, 1068, 1075, 1081, 1081, 1081, 1081, 1081, 1081, 1083,  
1087, 1090, 1092, 1093, 1093, 1095, 1096, 1099, 1100, 1100, 1100, 1101, 1102,  
1102, 1102, 1103, 1104, 1104, 1104, 1104, 1105, 1105, 1106, 1108, 1109, 1109,  
1110, 1111, 1111, 1112, 1114, 1114, 1114, 1114, 1114, 1115, 1115, 1117, 1117,  
1118, 1118, 1118, 1119, 1120, 1121, 1123, 1126, 1126, 1128, 1128, 1129, 1129,  
1129, 1129, 1130, 1131, 1131, 1132, 1132, 1133, 1135, 1136, 1137, 1137, 1140,  
1140, 1140, 1140, 1141, 1141, 1141, 1141, 1141, 1141, 1142, 1146, 1171, 1174,  
1177, 1177, 1179, 1180, 1180, 1182, 1183, 1188, 1188, 1189, 1191, 1195, 1195,  
1195, 1195, 1198, 1199, 1200, 1201, 1211, 1211, 1211, 1211, 1212, 1216, 1216,  
1217, 1217, 1218, 1222, 1232, 1235, 1235, 1235, 1236, 1237, 1247, 1247, 1256,  
1257, 1259, 1261, 1263, 1266, 1267, 1267, 1268, 1274, 1275, 1275, 1276, 1276,  
1277, 1278, 1279, 1280, 1293, 1298, 1305, 1311, 1312, 1312, 1312, 1318, 1327,  
1328, 1331, 1334, 1473, 1506, 1507, 1617, 1641, 1696, 1696, 1696, 1699, 1699,  
1702, 1702, 1703, 1706, 1706, 1707, 1708, 1710, 1710, 1710, 1711, 1714, 1714,  
1717, 1719, 1720, 1721, 1721, 1722, 1725, 1725, 1726, 1728, 1728, 1736, 1738,  
1738, 1738, 1738, 1791, 1800, 1814, 1824, 1835, 1901, 1912, 1914, 1916, 1964,

1973, 2067, 2192, 2372, 2377, 2426, 2524, 2634, 2637, 2638, 2640, 2640, 2640,  
2641, 2641, 2641, 2641, 2641, 2641, 2642, 2664, 2665, 2673, 2679, 2681, 2690, 2692,  
2700, 2703, 2704, 2704, 2704, 2706, 2707, 2707, 2708, 2708, 2709, 2709, 2710,  
2710, 2710, 2711, 2711, 2711, 2711, 2711, 2712, 2712, 2712, 2712, 2713, 2714, 2714,  
2714, 2714, 2718, 2718, 2719, 2720, 2723, 2724, 2724, 2724, 2725, 2725, 2726,  
2727, 2727, 2727, 2731, 2740, 2742, 2748, 2752, 2754, 2756, 2756, 2756, 2757,  
2769, 2774, 2778, 2794, 2802, 2825, 2832, 2833, 2836, 2838, 2839, 2839, 2839,  
2840, 2840, 2843, 2844, 2845, 2845, 2846, 2847, 2848, 2849, 2850, 2850, 2850,  
2852, 2852, 2854, 2855, 2855, 2855, 2855, 2855, 2855, 2855, 2856, 2857, 2858, 2859,  
2860, 2861, 2863, 2864, 2865, 2865, 2868, 2868, 2869, 2871, 2872, 2874, 2874,  
2874, 2877, 2879, 2882, 2882, 2882, 2883, 2883, 2883, 2883, 2883, 2883, 2884, 2884,  
2884, 2884, 2885, 2885, 2885, 2886, 2886, 2886, 2888, 2910, 2926, 2951, 2982,  
2983, 2985, 2985, 2990, 2990, 2992, 2993, 2995, 2996, 2998, 3000, 3005, 3039,  
3082, 3089, 3250, 3269, 3400, 3748, 3771, 3771, 3851, 3957, 3960, 4087, 4255,  
4255, 4256, 4283, 4297, 4314, 4316, 4317, 4325, 4421; and Africa, 871, 873, 873,  
874, 874, 875, 878, 892, 892, 893, 969, 1121, 1123, 1373, 1509, 1510, 1510, 1510,  
1510, 1511, 1511, 1511, 1511, 1511, 1511, 1511, 1511, 1511, 1511, 1511, 1512, 1516,  
1517, 1517, 1517, 1517, 1517, 1517, 1524, 1524, 1526, 1526, 1527, 1538, 1538,  
1539, 1540, 1540, 1561, 1561, 1562, 1562, 1562, 1562, 1901, 2555, 2555, 2555,  
2555, 2556, 2556, 2556, 2556, 2558, 2561, 2563, 2568, 2569, 4329, 4330, 4332,  
4333, 4333, 4334, 4336, 4336, 4336, 4336, 4336, 4340, 4340, 4346, 4347, 4347, 4353,  
4364, 4365, 4377, 4386, 4387, 4393, 4393, 4415, 4415, 4416, 4420, 4447, 4450; and  
England, 445, 446, 451, 452, 511, 512, 515, 515, 517, 522; and Scotland, 447, 518;  
and Germany, 449, 1141, 1237, 1237; and Flanders, 453; and Albigensian Crusade,  
469; and the papacy, 470, 470, 470; and Spain, 476, 478, 479, 950, 1912, 1929, 1930,  
1932, 1932, 1932, 1932, 1932; and Hungary, 492, 2023, 2027; Hundred Years' War,  
512, 512, 512, 512, 513, 513, 513, 513, 514, 514, 514, 515, 515, 515, 515, 515, 520,  
520, 520, 521, 521, 521, 521, 521, 521, 521; civil war in, 522, 522; treaties with Ottoman  
Empire, 793, 796; treaty with Iran, 816; and Morocco, 824, 1376, 1376, 1376, 1377,  
1377, 1377, 1378, 1378, 1378, 1378, 1378, 1378, 1378, 1378, 1378, 1378, 1379, 1379,  
1379, 1380, 2417, 2417, 2418, 2418, 2418, 2418, 2419, 2419, 2421, 3919, 3919,  
3919, 3920; and North Africa, 827, 827, 827, 975, 975, 976, 976, 978, 979, 979, 979,  
1060, 1129, 1129, 1130, 1132, 1135, 1135, 1135, 1135, 1135, 1193, 1205, 1329,  
1345, 1375, 1392, 1393, 2431, 3769; and Tunisia, 828, 1385, 1386, 1387, 1387, 1387,  
1387, 1387, 1389, 1389, 1389, 1390, 1391, 1391, 1391, 2426, 2426, 2426, 2426,  
2427, 2428, 3940, 3940, 3941, 3941, 3942, 3942, 3943, 3943; and India, 834, 834,  
834, 835, 835, 835, 836; and Southeast Asia, 846, 847, 1402, 1406, 1406, 1407, 1407,  
1407, 1407, 1409, 1409, 1409, 1409, 1410, 1418, 1419, 1419, 2451, 2453, 2453,  
2453, 2453, 2453, 2454, 2625; and Vietnam, 863, 863, 1473, 1473, 1473, 1473, 1473,  
1473, 1474, 1474, 1474, 1474, 1474, 1474, 1474, 1474, 1474, 1475, 1475, 1475,  
2524, 2524, 2524, 2524, 2524, 2524, 2525, 2526, 2526, 2527, 2527, 2528, 2529,





[1830](#), [1831](#), [1832](#), [1832](#), [1832](#), [1832](#), [1832](#), [1832](#), [1832](#), [1833](#), [1833](#), [1833](#), [1834](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1836](#), [1836](#), [1836](#), [1837](#), [1837](#), [1853](#), [1901](#), [1901](#), [1901](#), [1901](#), [1901](#), [1903](#), [1904](#), [1905](#), [1905](#), [1907](#), [1907](#), [1907](#), [1908](#), [1909](#), [1909](#), [1911](#), [1912](#), [1913](#), [1913](#), [1915](#); culture, [1816](#), [1903](#), [1903](#), [1903](#), [1905](#); WWII, [1838](#), [1853](#), [1915](#), [1916](#), [1919](#), [1919](#), [2520](#), [2521](#), [2526](#), [2528](#), [2551](#), [2556](#), [2556](#), [2557](#), [2584](#), [2584](#), [2585](#), [2585](#), [2585](#), [2585](#), [2585](#), [2585](#), [2586](#), [2586](#), [2586](#), [2586](#), [2586](#), [2586](#), [2587](#), [2587](#), [2590](#), [2590](#), [2598](#), [2604](#), [2605](#), [2605](#), [2607](#), [2609](#), [2610](#), [2611](#), [2614](#), [2615](#), [2619](#), [2619](#), [2620](#), [2621](#), [2622](#), [2623](#), [2624](#), [2624](#), [2627](#), [2632](#), [2758](#), [4321](#); invasion of Ruhr, [1885](#); and Syria, [1901](#), [2333](#), [2370](#), [2373](#), [2376](#), [2376](#), [3838](#), [3838](#); Great Depression, [1909](#); and Italy, [1912](#), [1951](#), [1952](#), [1953](#), [1954](#), [1956](#), [1958](#), [1961](#); WWII, declaration of war, [1915](#), [1992](#); German invasion, [1916](#); armistice with Germany, [1916](#); resistance, [1918](#); WWII liberation, [1919](#); and Portugal, [1934](#), [1934](#), [1939](#); and Czechoslovakia, [2018](#), [2020](#), [2020](#); and Finland, [2052](#); and Baltic region, [2088](#), [2089](#), [2091](#); and Balkan Peninsula, [2138](#), [2170](#), [2176](#), [2180](#), [2184](#), [2185](#), [2185](#), [2885](#); and Greece, [2155](#), [2157](#); and Canada, [2234](#), [3452](#), [3453](#); and Turkey, [2322](#), [2323](#), [2324](#); colonialism, [2554](#), [2554](#); WWII merchant tonnage, [2604](#); WWII settlement, [2635](#), [2635](#); and Indochina, [2636](#); post-WWII colonialism, [2636](#), [2636](#), [2653](#), [2668](#), [2843](#), [2844](#), [2847](#), [2847](#), [2848](#), [2848](#), [2848](#), [2849](#), [2850](#), [2850](#), [2855](#), [2855](#), [3768](#), [4320](#), [4321](#), [4321](#), [4321](#), [4323](#), [4324](#), [4324](#), [4325](#), [4325](#); postwar, [2637](#); cold war, [2655](#); economic recovery, [2700](#); education, [2700](#); postwar provisional government, [2838](#); Fourth Republic, [2838](#), [2840](#), [2841](#), [2846](#), [2850](#), [4321](#), [4321](#); Fifth Republic, [2838](#), [2850](#), [4324](#); collaboration, [2838](#), [2838](#); National Assembly (Chamber of Deputies), [2840](#); Council of the Republic, [2840](#); French Union, [2840](#); European unity, [2845](#); Ministry of the Environment, [2862](#); European currency, [2885](#); and Lebanon, [3845](#); and Laos, [4093](#), [4093](#), [4093](#); and Pacific, [4283](#), [4283](#), [4286](#); and Madagascar, [4492](#), [4492](#). *See* [Franco-American relations](#); [Franco-German relations](#); [Franco-Swiss relations](#); [Free French](#), [Vichy](#); [Vichy](#).

France, Anatole, writer

[1903](#).

France Union

[4255](#).

Franche-Comté

[602](#), [602](#), [615](#), [625](#), [649](#), [652](#), [653](#), [748](#).

Francia

[411](#).

Francia, José Gaspar Rodríguez de, Latin American leader

[1645](#), [1645](#), [1646](#), [1646](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#).

Francis, duke of Alençon

[599](#), [599](#).

Francis, duke of Guise

[598](#), [598](#).

Francis I, emperor of Austria  
[1023](#), [1033](#), [1073](#), [1074](#). *See* [Francis II, Holy Roman Emperor](#), later [Francis I of Austria](#).

Francis I, Holy Roman emperor  
[660](#), [660](#), [661](#), [752](#), [1066](#).

Francis I, king of France  
[586](#), [597](#), [607](#), [614](#).

Francis II, Holy Roman Emperor  
[1002](#), [1003](#), [1021](#), [1023](#), [1073](#).

Francis II, king of France  
[588](#), [598](#), [760](#).

Francis II, king of the Two Sicilies  
[1212](#).

Francis IV, ruler of Modena  
[1066](#).

Francis, Philip  
[835](#).

Franciscans, religious order  
[445](#), [446](#), [459](#), [469](#), [530](#), [530](#), [530](#), [535](#), [572](#), [601](#), [854](#), [903](#); Japan, [858](#), [859](#); Philippines, [867](#); Africa, [880](#), [880](#); New Spain, [901](#); California, [904](#); North America, [905](#); Americas, [910](#), [913](#).

Francis Charles, archduke of Austria  
[1073](#).

Francisco, duke of Cádiz  
[1063](#).

Francis Ferdinand, archduke of Austria  
[980](#), [1140](#), [1243](#), [1244](#), [1295](#).

Francis Joseph I, Austrian emperor  
[1090](#), [1100](#), [1104](#), [1182](#), [1211](#), [1242](#), [1246](#), [1996](#); as king of Hungary, [1245](#).

Francis of Assisi, St.  
[469](#), [469](#).

Francis of Guise  
[615](#).

Francis of Lorraine, grand duke of Tuscany  
[744](#), [744](#).

Francis Xavier, St., Jesuit missionary in Japan  
[857](#).

Franco, Francisco, Spanish dictator  
[1704](#), [1705](#), [1929](#), [1929](#), [1929](#), [1930](#), [1930](#), [1931](#), [1932](#), [1932](#), [1932](#), [1932](#), [1932](#), [1933](#), [1939](#), [1990](#), [2421](#), [2590](#), [2887](#), [2887](#), [2887](#), [2887](#), [2888](#), [2889](#), [2889](#), [2890](#), [2891](#), [2891](#), [2891](#), [2892](#), [2892](#), [2893](#), [2894](#), [2894](#), [2894](#), [2894](#), [2894](#), [2906](#), [2914](#), [2914](#).

Franco, Itamar, Brazilian leader  
[3625](#), [3625](#).

Franco, João, Portuguese leader  
[1207](#).

Franco, Julio Cesar, Paraguayan leader  
[3527](#).

Franco, Manuel, Paraguayan leader  
[2248](#), [2248](#).

Franco, Rafael, Paraguayan leader  
[2249](#), [2249](#), [2250](#), [3522](#).

Franco, Ruben, Argentine abductor  
[3505](#).

Franco-American relations  
[2192](#), [2208](#), [2216](#).

Franco-Arab colleges  
[1383](#).

Franco-Belgian relations  
[1883](#), [1886](#), [1886](#), [1889](#), [1978](#).

Franco-British Channel Tunnel Treaty  
[2874](#).

Franco-British relations  
[1129](#), [1335](#).

Franco-Czechoslovakian treaty for mutual assistance  
[1824](#).

Franco-Dutch War  
[652](#).

Franco-German relations  
[978](#), [1115](#), [1132](#), [1135](#), [1190](#), [1196](#), [1973](#), [1975](#), [1978](#), [1978](#), [1986](#), [1989](#), [1992](#), [1992](#), [2021](#), [2527](#), [2854](#), [2876](#), [2878](#), [2992](#), [2993](#), [3002](#); convention of 1911, [979](#); and North Africa, [1378](#).

François, Hermann von, German commander  
[1792](#).

Franco-Italian relations  
[971](#), [1110](#), [1125](#), [1724](#), [1832](#), [2426](#), [2429](#).

Franco-Japanese relations  
[1131](#), [1465](#), [1465](#).

Franco-Japanese Trade Agreement  
[4235](#).

Franco-Lebanese Treaty  
[2380](#).

Franco-Merina war

1562.

Franconia

415, 415, 415, 415, 416, 416, 454, 613, 614, 620, 620, 622, 622.

Franco-Prussian War

1104, 1142, 1171, 1185, 1185, 1188, 1188, 1234, 1260, 1317.

Franco-Russian Alliance

2075.

Franco-Russian relations

1111, 1114, 1117, 1126, 1136, 1832, 1833, 1835, 1889, 2066, 2067, 2073, 2074, 2078, 2838, 2855, 2857, 2861, 2872, 2876; and China, 1421; Alliance, 1832.

Franco-Siamese Treaty

1406, 1409.

Franco-Spanish relations

975, 1126, 2418; and Morocco, 1379.

Franco-Swiss relations

1964, 1966, 1967, 1967, 1968.

Franco-Syrian Treaty

2376.

Frangipanis, Italian family

468.

Frankfurt

613, 617, 620, 664, 1071, 1072, 1096, 1096, 1096, 1096, 1096, 1096, 1097, 1097, 1097, 1098, 1098, 1102, 1102, 1233, 1975, 3023; treaty of, 1186, 1188.

Frankish Church

411.

Frankland, Edward

1151.

Franklin, Benjamin, American leader

935, 940.

Franklin, John

995, 995, 995.

Franklin, John Hope, historian

3436.

Franklin Relief Expeditions

995.

Franks

257, 257, 258, 262, 264, 276, 279, 318, 318, 318, 318, 318, 318, 320, 320, 400, 403, 403, 405, 406, 407, 407, 407, 407, 407, 407, 407, 407, 407, 408, 408, 408, 408, 410, 410, 410, 410, 410, 410, 411, 411, 411, 411, 411, 411, 411, 411, 412, 412, 413, 413, 415, 415, 415, 419, 419, 419, 421, 432, 473, 473, 477, 483, 494, 494, 496, 496, 497, 497, 509, 568.

Franz Joseph Land

[996](#).  
Frasch, Herman, chemist  
[983](#).  
Fraser, Malcolm, Australian leader  
[4308](#), [4309](#).  
Fraser, Peter, New Zealand leader  
[2553](#), [4314](#).  
Frashëri, Abdul, Albanian leader  
[1325](#), [1326](#).  
Frashëri, Naim, writer  
[1326](#).  
Fraunhofer, Joseph von, astronomer  
[1038](#).  
Frazier-Lemke Farm Bankruptcy Act, U.S.  
[2202](#), [2202](#).  
Fredericia, battle of  
[1078](#).  
Frederick, archduke of Austria  
[1739](#).  
Frederick, grand duke of Baden  
[1232](#).  
Frederick I, king of Sweden  
[627](#), [627](#), [754](#), [761](#), [762](#).  
Frederick I Barbarossa, Holy Roman emperor  
[444](#), [450](#), [455](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [457](#), [457](#), [458](#), [468](#), [468](#), [468](#),  
[469](#), [469](#), [469](#), [469](#), [471](#), [484](#), [486](#), [496](#), [503](#), [505](#), [537](#).  
Frederick II, duke of Austria  
[493](#), [546](#).  
Frederick II, Holy Roman emperor  
[450](#), [451](#), [457](#), [457](#), [457](#), [457](#), [457](#), [457](#), [457](#), [457](#), [458](#), [458](#), [458](#), [458](#), [458](#), [458](#), [458](#), [458](#),  
[458](#), [458](#), [459](#), [459](#), [459](#), [459](#), [459](#), [459](#), [459](#), [459](#), [460](#), [460](#), [460](#), [469](#), [469](#), [469](#), [469](#), [484](#),  
[507](#), [507](#), [534](#), [540](#), [548](#), [759](#).  
Frederick II, king of Denmark  
[627](#).  
Frederick II, the Great  
[578](#), [660](#), [660](#), [660](#), [660](#), [660](#), [660](#), [661](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#), [662](#),  
[663](#), [664](#), [664](#), [664](#), [665](#), [665](#), [665](#), [667](#), [754](#), [755](#), [755](#), [759](#), [788](#).  
Frederick III, elector of Brandenburg and king of Prussia  
[754](#).  
Frederick III, Holy Roman emperor  
[531](#), [541](#), [542](#), [542](#), [542](#), [542](#), [544](#), [546](#), [561](#).

Frederick III, king of Denmark  
[768](#), [768](#).

Frederick III, king of Sicily  
[526](#), [526](#), [533](#).

Frederick III the Handsome, Habsburg antiking  
[540](#), [546](#).

Frederick IV, king of Denmark  
[616](#), [768](#), [769](#).

Frederick V, king of Bohemia  
[617](#), [617](#), [634](#), [634](#).

Frederick V, king of Denmark  
[768](#), [770](#).

Frederick VI, king of Denmark  
[1077](#), [1077](#).

Frederick VI, prince of Brandenburg  
[541](#).

Frederick VII, king of Denmark  
[1077](#), [1077](#), [1078](#), [1078](#), [1100](#), [1251](#), [1251](#).

Frederick VIII, king of Denmark  
[1251](#).

Frederick IX, king of Denmark  
[3042](#), [3044](#), [3044](#), [3047](#).

Frederick Augustus, prince of Saxony and duke of Poland  
[1267](#).

Frederick Augustus II  
*See* [Augustus III, king of Poland](#).

Charles, Frederick, king of Finland  
[1775](#).

Frederick Henry, stadholder of Holland  
[703](#).

Frederick of Antioch  
[534](#).

Frederick of Swabia  
*See* [Frederick I Barbarossa, Holy Roman emperor](#).

Frederick of the Palatinate  
*See* [Frederick V, king of Bohemia](#).

Frederick Red Beard  
*See* [Frederick I Barbarossa, Holy Roman emperor](#).

Fredericksburg, battle of  
[1587](#).

Frederick the Wise, elector of Saxony

[613](#).  
Frederick William, the Great Elector  
[622](#), [652](#), [754](#), [754](#), [754](#), [754](#), [754](#), [1097](#).  
Frederick William I, king of Prussia  
[754](#), [754](#), [754](#).  
Frederick William II, king of Prussia  
[1002](#).  
Frederick William III, king of Prussia  
[756](#), [1010](#), [1025](#), [1033](#), [1071](#).  
Frederick William IV, king of Prussia  
[1072](#), [1072](#), [1072](#), [1096](#), [1096](#), [1097](#), [1098](#), [1230](#).  
Frederik, or Frederick  
[770](#), [771](#), [771](#), [772](#).  
Frederik III, king of Denmark  
[774](#), [774](#).  
Frederik IV, king of Denmark  
[772](#), [774](#).  
Frederik V, king of Denmark  
[774](#).  
Fredrikshamm, treaty of  
[1026](#).  
Fredro, Alexander  
[1267](#).  
Freed, Alan, radio personality  
[3401](#).  
Free Democrat Party, FDP  
[2987](#).  
freedmen  
[1591](#), [1592](#), [1592](#). *See* [slavery](#).  
Freedmen's Bureau  
[1591](#), [1592](#).  
Freedom Charter, South Africa  
[4470](#), [4470](#).  
Freedom Council, Denmark  
[2041](#).  
Freedom Movement, Iran  
[3825](#).  
Freedom of Press Act, Sweden  
[763](#).  
Freedom Party, FDP  
[3038](#), [3039](#).

Freedom Union, Poland

[3119](#).

Free French, Vichy

[1916](#), [2377](#), [2377](#), [2382](#), [2382](#), [2424](#), [2428](#), [2554](#), [2556](#), [2560](#), [2569](#), [2592](#), [2611](#),  
[2611](#), [2612](#), [4253](#), [4321](#).

Freeman, Cathy, athlete

[4313](#).

Freeman's Journal, Irish radical paper

[700](#).

Freemasonry

[685](#), [744](#), [1066](#), [1481](#), [1644](#), [1671](#); Italy, [1948](#).

Free Officers' Association, South Yemen

[3891](#).

Free Officers' Movement, Egypt

[3903](#).

Free Officers' Society, Egypt

[3904](#), [3910](#).

Freeport doctrine

[1583](#), [1584](#).

Free Presbyterian Church

[2780](#).

Free Republican Party, Turkey

[2330](#).

free silver movement, U.S.

[1599](#), [1609](#), [1610](#).

Free Soil Party, U.S.

[1579](#).

Freetown

[877](#), [1513](#), [1513](#), [1514](#), [1515](#), [2559](#), [4383](#), [4384](#), [4385](#).

Free Trade Area of the Americas, FTAA

[2694](#), [3477](#), [3520](#), [3628](#), [3691](#).

Free Yemen Party

[2416](#).

free zones, Franco-Swiss negotiations regarding

[1825](#), [1964](#), [1967](#).

Frege, Gottlob, mathematician

[1148](#).

Fregellae

[227](#).

Fregoso, Genoese family

[612](#).



Freiburg  
[653](#), [656](#), [659](#), [665](#), [1070](#).

Frei Montalva, Eduardo, Chilean leader  
[3509](#), [3510](#), [3510](#), [3511](#).

Freinet  
[465](#).

Freire, Gomes, Portuguese writer  
[727](#).

Freire, Ramón, Latin American leader  
[1662](#), [1662](#), [1662](#), [1662](#).

Frei Ruiz-Tagle, Eduardo, Chilean leader  
[3519](#), [3520](#).

French, John  
[1754](#).

French Africa  
[4434](#).

French and Indian War  
[940](#), [940](#).

French Army of Italy  
[1016](#).

French Canadians  
[1622](#), [1625](#), [1629](#), [1634](#), [2217](#), [2219](#), [2219](#), [2644](#).

French Community  
[2636](#), [2850](#), [2851](#), [4324](#), [4340](#), [4446](#).

French Concession  
[2465](#).

French Congo  
[979](#), [1135](#), [1135](#), [1544](#), [1544](#).

French East India Company  
[578](#), [656](#).

French Equatorial Africa  
[954](#), [1544](#), [4340](#).

French Forces of the Interior, FFI  
[1918](#), [2619](#).

French Guiana  
[573](#), [917](#), [1195](#).

French Indochina  
*See* [Indochina](#).

French-Moroccan relations  
[1375](#).

French Morocco

*See* [Morocco](#).

French North Africa

[1706](#), [1917](#), [1917](#), [1918](#), [2213](#), [2614](#), [2615](#), [2848](#).

French Republic

[1004](#), [1005](#), [1006](#).

French Revolution

[578](#), [578](#), [597](#), [599](#), [727](#), [737](#), [764](#), [789](#), [790](#), [957](#), [957](#), [999](#), [999](#), [999](#), [1000](#), [1001](#),  
[1001](#), [1003](#), [1005](#), [1005](#), [1008](#), [1009](#), [1033](#), [1035](#), [1035](#), [1035](#), [1037](#), [1046](#), [1059](#),  
[1272](#), [1272](#), [1643](#), [1696](#), [1814](#); bicentennial, [2877](#).

French Sudan

[4325](#). *See* [Mali](#); [Sudan](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 28

French Union

[4093](#), [4093](#), [4254](#), [4255](#).

French West Africa

[1511](#), [1512](#), [1544](#), [2554](#), [2555](#), [2555](#), [2556](#), [2556](#), [2556](#), [2557](#), [2559](#), [2611](#), [4320](#),  
[4324](#), [4324](#), [4325](#), [4325](#).

French West African Federation

[4325](#).

French West Indies

[940](#).

Frentani

[222](#).

Frente Amplia

[3530](#).

Frente de Libertação de Mozambique, FRELIMO

[2636](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#), [4463](#), [4463](#), [4463](#), [4464](#), [4464](#), [4467](#).

Frente Nacional de Libertação de Angola, FNLA

[4436](#), [4436](#), [4436](#), [4437](#), [4477](#).

Frente Sandinista de Liberación Nacional, FSLN

See [Sandinistas](#).

Frère-Orban, Walther, Belgian leader

[1171](#), [1171](#).

Frescobaldi, Girolamo, Italian composer

[735](#).

Fresnel, Augustin, scientist

[1038](#).

Freud, Sigmund, psychoanalyst

[1143](#), [1144](#), [1147](#).

Freudenthal, Axel Olof, Swedish philologist

[1254](#).

Freycinet, Charles de, French leader

[1187](#), [1194](#).  
Friar Land, Philippines  
[1485](#).  
Friars Minor  
See [Franciscans](#).  
Friars Preachers  
See [Dominicans](#).  
Frías, Tomás, Latin American leader  
[1668](#).  
Fribourg  
[547](#), [597](#), [625](#), [625](#).  
Frick, Wilhelm, Nazi leader  
[1986](#).  
Friedan, Betty, feminist writer  
[3408](#), [3413](#).  
Frieden, Pierre, leader of Luxembourg  
[2835](#).  
Friedland, battle of  
[618](#), [1025](#).  
Friedman, Milton, economist  
[3514](#).  
Friedrich, István, Hungarian industrialist  
[2023](#).  
Friedrichshafen  
[1764](#).  
Friendly Societies' Act, England  
[692](#).  
Friese-Green, William, motion picture pioneer  
[990](#).  
Friesland  
[524](#), [595](#), [595](#), [653](#), [755](#).  
Frigidus  
[265](#).  
Frisch, Otto, physicist  
[1730](#).  
Frisia  
[407](#), [411](#), [411](#), [415](#), [426](#).  
Fritigern, Visigoth leader  
[403](#), [403](#).  
Friuli  
[416](#).

Friulian Mark  
[411](#).

Frobisher, Martin  
[923](#), [993](#).

Frobisher Bay  
[923](#).

Froissart, Jean, chronicler  
[513](#), [524](#).

Fronde, revolt against the French regency  
[644](#), [707](#), [709](#), [709](#), [711](#).

Frondizi, Arturo, Argentine leader  
[3485](#), [3485](#), [3485](#).

Front de Libération du Québec, FLQ  
[3449](#), [3455](#).

Front de Libération Nationale, FLN  
[2636](#), [2850](#), [3925](#), [3925](#), [3925](#), [3926](#), [3927](#), [3930](#), [3933](#), [3942](#).

Front for Democracy and Development, FDD  
[3632](#).

Front for United Popular Action, FAPU  
[3665](#).

Frontiers, battle of the  
[1738](#), [1789](#).

Frontinus, Sextus Iulius, Roman generals  
[251](#).

Frontline States  
[4438](#).

Fronto, Marcus Cornelius, Roman author  
[246](#).

Frost, John, Chartist leader  
[1049](#).

Fructidor Coup, France  
[1009](#).

Fruili  
[408](#).

Frutos, Manuel, Paraguayan leader  
[3522](#).

Fu'ad  
[2351](#).

Fu'ad I University  
[2356](#).

Fu'ad Pasha, Turkish leader

1331.  
Fuchs, Leonhart, botanist  
637.  
Fuentes, Carlos, writer  
3465.  
Fuentes Mohr, Alberto, Guatemalan leader  
3653.  
fugitive slave laws  
1580.  
Fujian  
155, 852, 1423, 1459, 1465, 2470, 4183.  
Fu Jian, Tibetan general  
157, 157, 158.  
Fujimori, Alberto K., Peruvian leader  
2698, 3559, 3559, 3561, 3561, 3561, 3562, 3562, 3563, 3564, 3564, 3564, 3565,  
3566, 3566, 3566, 3566, 3566, 4118.  
Fujiwara clan, Japan  
383, 384, 385, 385, 385, 386, 386, 386, 386, 386, 386, 386, 387, 387, 387, 394, 394, 395.  
Fujiwara Michinaga, Japanese leader  
386.  
Fujiwara Mototsune, Japanese leader  
386, 386.  
Fujiwara no Nakamaro, Japanese leader  
385.  
Fujiwara no Sumitomo, Japanese leader  
386.  
Fujiwara Tadahira, Japanese leader  
386, 386.  
Fujiwara Tokihira, Japanese leader  
386.  
Fujiwara Yorimichi, Japanese leader  
386, 386.  
Fukuoka  
396.  
Fulani people  
355, 355, 869, 871, 1510, 1510, 1513, 1519.  
Fulbright, James William, U.S. leader  
3413.  
Fulda  
407.  
Fulton, Missouri

3390.  
Fulton, Robert, developer of the first commercial steamboat  
989, 1569.  
Fulvia, wife of Mark Antony  
242.  
Funan  
51, 135, 135, 135, 135, 135, 840.  
Fundamental Constitutions, of Carolinas  
938.  
fundamentalist movement  
801.  
Fundamental Law, Libya  
2323, 2429.  
Fundamental Laws, Russia  
1264, 1264.  
Fundamental Orders, Connecticut  
928.  
Funding Bill, U.S.  
1565.  
Fünen  
551.  
Funj-Abdallabi sultanate  
879, 880.  
Funk, Walther, Nazi financier  
1991, 1992.  
Furnes  
659.  
Furness, Lancashire  
443.  
furniture  
584.  
Fürstenberg, Franz Egon von, bishop  
653, 656.  
Fur sultanate  
880.  
fur trade  
921, 935, 940.  
Füssen, treaty of  
660.  
Fust, Johann, printer  
542, 643.

Fustat

[287](#), [287](#), [317](#), [317](#).

Futa Jallon

[580](#), [871](#), [871](#).

Futanke

[872](#).

Futa Toro

[872](#), [1510](#).

Futuna

[1477](#).

Fuxi, mythical Chinese ruler

[138](#).

Fuyu

See [Puy](#) .

## G

Gaberone

[4458](#).

Gabès

[2615](#).

Gabiene

[209](#).

Gabinius

[218](#).

Gabon

[1508](#), [1511](#), [1538](#), [1544](#), [2555](#), [2568](#), [4333](#), [4340](#), [4340](#), [4440](#); and Canada, [3453](#);  
independence, [4340](#); student unrest, [4341](#).

Gabon River

[1538](#), [1538](#).

Gabras family

[503](#).

Gades

[110](#), [228](#).

Gadsden purchase

[1581](#).

Gaelic Athletic Association

[1170](#).

Gaelic Union for the Preservation and Cultivation of the Irish Language

[1170](#).

Gaels



[421](#).

Gaeta  
[466](#), [607](#), [1212](#), [1212](#).

Gaetani  
*See* [Boniface VIII, pope](#).

Gaetani Palace, Anagni  
[453](#).

Gaetulicus, Cnaeus Cornelius Lentulus, conspirator against Caligula  
[248](#).

Gaganelli, Lorenzo  
*See* [Clement XIV, pope](#).

Gagarin, Yuri A., astronaut  
[2641](#), [2658](#), [2703](#), [3275](#).

Gagnoa, Ivory Coast  
[4353](#).

Gahal, Israel  
[3858](#).

Gaillard, Félix, French leader  
[2849](#), [2850](#).

Gairy, Eric  
[3762](#), [3762](#).

Gaiseric, Vandal leader  
[269](#), [401](#), [402](#), [404](#), [404](#), [404](#).

Gaitskell, Hugh, British leader  
[2768](#), [2772](#), [2774](#).

Gaius, adopted son of Augustus  
[243](#), [243](#).

Gajevi  
[3187](#).

Galán, José Antonio, leader of revolt in Nueva Granada  
[913](#).

Galán, Luis Carlos, Colombian leader  
[3584](#).

Galapagos Islands  
[2601](#).

Galata  
[474](#), [474](#), [810](#).

Galatia  
[208](#), [209](#), [213](#), [213](#), [213](#), [233](#), [240](#), [245](#).

Galba, Roman emperor  
[249](#), [251](#), [251](#), [251](#).

Galdan, Mongol leader

[576](#), [852](#), [852](#).

Galen, physician

[246](#), [294](#), [479](#).

Galen of Münster, bishop-count

[1993](#).

Galerius, Roman emperor

[261](#), [261](#), [261](#), [261](#), [262](#), [268](#), [272](#).

Galicia

[419](#), [480](#), [488](#), [489](#), [489](#), [496](#), [667](#), [1073](#), [1089](#), [1199](#), [1268](#), [1268](#), [1268](#), [1269](#), [1739](#), [1739](#), [1739](#), [1740](#), [1740](#), [1742](#), [1756](#), [1785](#), [1792](#), [1794](#), [1803](#), [1803](#), [2062](#), [2113](#), [2113](#), [2113](#).

Galilee

[87](#), [105](#), [105](#), [206](#), [250](#), [807](#), [808](#), [2391](#), [2391](#).

Galilei, Galileo, Italian scientist

[638](#), [639](#), [639](#), [640](#), [640](#), [643](#).

Galinda, Carlos Blanco, Bolivian leader

[2255](#).

Galip Dede, Ottoman poet

[810](#).

Gall

[425](#), [625](#).

Galla people

[879](#), [879](#), [879](#), [881](#), [1522](#), [1523](#).

Galla Placidia, Roman empress of the West

[266](#), [266](#), [403](#), [403](#), [404](#).

Gallas, Matthias, military commander

[622](#).

Galle, Johann, astronomer

[1040](#).

Gallegos, Rómulo, Venezuelan leader

[2241](#), [3595](#).

Gallia Lugdunensis

[249](#).

Gallia Narbonensis

[235](#), [240](#), [240](#), [241](#).

Gallia Transalpina

[245](#).

Gallicanism

[610](#), [736](#).

Gallic Wars

239.  
Gallieni, Joseph, French colonial administrator  
1562, 1789.  
Gallienus, Roman emperor  
255, 257, 257, 257, 272.  
Gallipoli  
309, 312, 507, 508, 567.  
Gallipoli Peninsula, Turkey  
1749, 2537, 2551.  
Gallo-Romans  
402, 403, 407, 407, 407, 407.  
Galloway, Joseph, American leader  
944.  
Gallus, Roman emperor  
257, 262, 262.  
Gallwitz, Max von, German general  
1794.  
Galois, Evariste, mathematician  
1039.  
Galtieri, Leopoldo, Argentine leader  
3493, 3494.  
Galton, Francis, social scientist  
1148.  
Galvani, Luigi, Italian scientist  
735.  
galvanic cell  
*See* [Voltaic pile, forerunner of modern battery](#).  
galvanized iron  
983.  
Gálvez, José de, Spanish colonial administrator  
904, 904, 909.  
Gálvez, Juan Manuel, Honduran leader  
3693.  
Galway  
693, 991.  
Gama, Vasco da, Portuguese explorer  
281, 337, 365, 605.  
Gamarnik, Ian, Russian commander  
2077.  
Gamarra, Agustín, Latin American leader  
1668, 1670, 1670, 1670.

Gambetta, Léon, French leader

[1184](#), [1187](#), [1187](#).

Gambia

[870](#), [871](#), [876](#), [878](#), [1128](#), [1506](#), [1513](#), [1513](#), [1514](#), [2555](#), [2558](#), [4324](#), [4324](#), [4327](#), [4343](#), [4343](#), [4343](#), [4343](#), [4343](#), [4343](#), [4360](#), [4378](#); independence, [4343](#), [4343](#); student unrest, [4343](#).

Gambia River

[281](#), [358](#), [873](#), [873](#), [1507](#), [1507](#).

Gambier Islands

[1476](#).

Gamelin, Maurice Gustave, French commander

[2585](#).

Gamio, Manuel, Mexican leader

[2294](#).

Gamsakhurdia, Zviad, Georgian leader

[3326](#), [3326](#), [3327](#), [3328](#).

Ganapati, ruler of India

[337](#).

Ganda dynasty

[347](#), [883](#).

Gandamak, treaty of

[1355](#).

Gandersheim

[416](#).

Gandhara school of art

[77](#), [129](#), [129](#), [129](#), [129](#), [130](#), [132](#), [158](#), [324](#).

Gandhi, Indira, Indian leader

[2680](#), [3967](#), [3967](#), [3968](#), [3969](#), [3969](#), [3969](#), [3970](#), [3970](#), [3971](#), [3971](#), [3971](#), [3972](#), [3972](#), [3973](#), [3973](#), [3974](#), [3974](#), [3975](#), [3975](#), [3975](#), [3976](#), [3977](#), [3977](#), [3977](#), [3988](#), [4036](#).

Gandhi, Mohandas K. (Mahatma), Indian leader

[1398](#), [1558](#), [1559](#), [1706](#), [2432](#), [2433](#), [2433](#), [2434](#), [2434](#), [2435](#), [2435](#), [2435](#), [2436](#), [2436](#), [2437](#), [2437](#), [2439](#), [2439](#), [2439](#), [2440](#), [2440](#), [2440](#), [2441](#), [2441](#), [2441](#), [2442](#), [2442](#), [2444](#), [2445](#), [2446](#), [2648](#), [3955](#).

Gandhi, Rajiv, Indian leader

[3977](#), [3977](#), [3977](#), [3977](#), [3977](#), [3978](#), [3978](#), [3979](#), [3979](#), [3980](#), [3982](#), [3984](#), [4026](#), [4037](#).

Gandhi, Sanjay, Indian leader

[3976](#), [3976](#), [3977](#).

Ganga dynasty

[133](#), [327](#), [327](#), [327](#), [328](#), [336](#), [337](#).

Ganges River

[39](#), [48](#), [129](#), [129](#), [129](#), [129](#), [130](#), [133](#), [245](#), [324](#), [326](#), [331](#), [337](#), [830](#), [831](#), [1398](#), [4002](#).

Gangetic Plain

[2435](#), [3960](#), [3982](#).

Gang of Four, China

[4161](#), [4163](#), [4164](#).

Gan Island

[4040](#).

Ganjin, monk

[385](#).

Gansu

[154](#), [154](#), [852](#), [1417](#), [2481](#).

Gan Ying, Chinese soldier

[155](#).

Gao

[344](#), [357](#), [889](#).

Gao Gang, Chinese leader

[4146](#).

Gaona, Juan Bautista, Latin American leader

[1666](#).

Gao Xianzhi, Chinese commander

[368](#).

Gaoxiong

[4183](#).

Gaozong, Chinese emperor

[368](#), [372](#).

Gaozu

[154](#), [154](#), [154](#), [156](#).

Gapon, Georgi Apollonivich, Russian leader

[1263](#).

Garasanin, Iliya, Serbian leader

[1285](#), [1288](#).

Garay, Juan de, Spanish explorer

[900](#), [900](#).

Garbai, Alexander, Hungarian leader

[1787](#), [2023](#).

Garcia, king of Leon

[420](#).

Garcia, Carlos, Philippine leader

[4291](#).

García, Guillermo, Salvadoran leader

[3666](#), [3669](#).  
García-Godoy, Hector, Dominican leader  
[3739](#).  
García Márquez, Gabriel, writer  
[3465](#).  
García Márquez, Gabriel, Latin American leader  
[3575](#).  
García Meza Tejada, Luis, Bolivian leader  
[3545](#), [3546](#).  
García Moreno, Gabriel, Latin American leader  
[1671](#), [1671](#).  
García Pérez, Alan, Peruvian leader  
[3557](#), [3557](#), [3558](#).  
Garcilaso de la Vega, writer  
[604](#), [912](#).  
Gardiner, Frank, Australian bushranger  
[1494](#).  
Gardiner, Stephen, bishop of Winchester and lord chancellor  
[587](#).  
Garenganze kingdom  
[1539](#).  
Garfield, James A., U.S. president  
[1595](#), [1600](#).  
Garibaldi, Giuseppe, Italian leader  
[1093](#), [1211](#), [1212](#), [1212](#), [1212](#), [1212](#), [1212](#), [1214](#), [1214](#), [1216](#), [1217](#), [1667](#).  
Garigliano  
[436](#), [601](#), [607](#).  
Garigliano River  
[597](#).  
Garlande, French family  
[449](#).  
Garner, Saville  
[3446](#).  
Garnier, Marie Joseph François, French explorer  
[1474](#).  
Garonne River  
[403](#), [451](#).  
Garrastazú Médiçi, Emilio, Brazilian leader  
[3616](#).  
Garrison, William Lloyd, U.S. leader  
[1575](#), [1577](#).

Garvey, Marcus M., African American leader  
[1706](#), [2187](#).

Gary, Indiana  
[1615](#).

gas  
[981](#); in Ottoman Empire, [1334](#).

Gasca, Pedro de la, Spanish colonial administrator  
[899](#).

Gascony  
[411](#), [413](#), [444](#), [445](#), [446](#), [446](#), [449](#), [449](#), [449](#), [452](#), [512](#), [515](#), [571](#).

gases  
[1148](#), [1149](#).

Gaspée Affair  
[943](#).

Gastein  
[1100](#); convention, [1233](#).

Gaston of Orléans, brother of Louis XIII  
[599](#).

Gate Pa, battle of  
[1503](#).

Gates, Bill, owner of Microsoft  
[3437](#).

Gates, Horatio, American commander  
[948](#), [951](#).

Gath  
[103](#), [104](#), [104](#), [129](#).

Gatling, Richard Jordan, inventor  
[985](#).

Gatty, Harold, pilot  
[2199](#).

Gaudí, Antonio, architect  
[1146](#).

Gaugamela  
[124](#).

Gauguin, Paul, artist  
[1146](#).

Gaul  
[46](#), [177](#), [222](#), [223](#), [226](#), [226](#), [227](#), [227](#), [231](#), [231](#), [235](#), [240](#), [240](#), [241](#), [241](#), [241](#), [243](#),  
[246](#), [247](#), [251](#), [255](#), [257](#), [257](#), [258](#), [258](#), [260](#), [260](#), [261](#), [261](#), [261](#), [261](#), [261](#), [262](#), [262](#),  
[262](#), [262](#), [264](#), [265](#), [265](#), [265](#), [266](#), [266](#), [269](#), [402](#), [403](#), [403](#), [403](#), [405](#), [408](#), [410](#), [411](#),  
[421](#), [421](#), [425](#).

Gaullist Union for the New Republic, France  
[2850](#).

Gaumata, king of Persia  
[124](#), [124](#).

Gaur  
[333](#).

Gauss, Carl Friedrich, mathematician and astronomer  
[1038](#), [1038](#), [1038](#), [1040](#).

Gautama Siddhartha (the Buddha)  
[68](#), [129](#).

Gaveston, Piers, adviser  
[512](#).

Gaviria, César, Colombian leader  
[3585](#).

Gawilgarh  
[133](#).

Gaya  
[130](#).

Gay-Lussac, Joseph, scientist  
[983](#), [1041](#).

Gayoom, Maumoon Abdul, Maldivian leader  
[4042](#), [4042](#), [4042](#), [4042](#), [4042](#), [4042](#), [4042](#), [4043](#), [4044](#), [4044](#), [4044](#), [4045](#).

gay rights  
[3390](#), [3390](#), [3417](#), [3427](#), [3430](#), [3430](#), [3439](#), [3441](#); Canada, [3443](#), [3454](#), [3460](#).

Gaza  
[87](#), [103](#), [110](#), [125](#), [209](#), [792](#), [803](#), [1548](#), [3769](#). *See* [Israel](#).

Gaza Strip  
[2664](#), [3769](#), [3769](#), [3769](#), [3771](#), [3771](#), [3777](#), [3861](#), [3862](#), [3863](#), [3863](#), [3863](#), [3863](#),  
[3863](#), [3863](#), [3864](#), [3865](#), [3907](#).

Gazi Hasan Pasha, Ottoman admiral  
[809](#), [809](#).

Gazzoda, Italy  
[2958](#).

Gbagbo, Laurent, Ivory Coast leader  
[4354](#), [4354](#).

Gdansk  
[3099](#), [3100](#), [3102](#), [3109](#).

Gdynia, Polish port  
[2118](#), [2121](#).

Gedaliah, governor of Judah  
[105](#).



Gediminas, Lithuanian ruler  
[555](#), [557](#), [557](#).

Gedrosian Desert  
[207](#).

Geelong  
[1488](#).

Geer, baron de, Louis Gerhard de Geer, Swedish leader  
[1247](#).

Geffrard, Fabre, Haitian leader  
[1697](#).

Ge Hong, Chinese encyclopedist  
[158](#).

Gê Indians  
[570](#), [915](#), [915](#), [916](#).

Geisel, Ernesto, Brazilian leader  
[3617](#).

Gela  
[184](#), [185](#), [196](#), [2617](#).

Gelasius I, pope  
[406](#).

Gelderland  
[595](#), [595](#), [595](#).

Geldof, Bob, Live Aid organizer  
[2681](#).

Gelimer, Vandal usurper  
[427](#).

Gellius, Aulus, Roman author  
[246](#).

Gelon, tyrant of Gela  
[188](#), [189](#), [190](#).

Gematen  
[93](#), [98](#).

General Agreement on Tariffs and Trade, GATT  
[2640](#), [2640](#), [2640](#), [2659](#), [2664](#), [2676](#), [2689](#), [2690](#), [3390](#).

General Confederation of Greek Workers  
[3229](#).

General Confederation of Labor, CGT  
[1903](#), [1910](#), [1912](#), [3480](#), [3484](#), [3485](#), [3486](#), [3504](#).

General Confederation of Labor, Portugal  
[1938](#).

General Confederation of Peruvian Workers

[2260](#).  
General Confederation of Tornogród, Poland  
[780](#).  
General Conference of Latin American Bishops, CELAM  
[3472](#), [3474](#).  
General Council of Burmese Associations, GCBA  
[2448](#), [2448](#).  
General Directory, Prussia  
[754](#).  
General Finance Directory, Prussia  
[754](#).  
General German Labor Congress  
[1097](#).  
General German Workers' Association, ADAV  
[1233](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 29

General Intendant of the Court and Kingdom Police, Portugal  
[729.](#)

General Labor Union  
[2469.](#)

General Motors  
[1700](#), [2187](#), [2206](#), [2217](#), [2232](#), [2640](#), [2640](#), [3392](#).

General Syrian Congress  
[2370](#), [2371](#).

general theory of relativity  
[1729.](#)

General Trades' Union, New York  
[1576.](#)

General Union of Labor, UGT  
[2902](#), [2904](#), [2904](#).

General War Commissary, Prussia  
[754.](#)

General Workers' Command, CGT  
[3621.](#)

Generation of 1837, Argentine society  
[1659.](#)

Generation of 1842  
[1662.](#)

Generation of 1952  
[3933.](#)

generators  
[981.](#)

Genet, Edmond, French envoy  
[1565.](#)

genetics  
[1154.](#)

## Geneva

[405](#), [411](#), [615](#), [625](#), [625](#), [625](#), [625](#), [625](#), [626](#), [626](#), [626](#), [748](#), [748](#), [749](#), [749](#), [749](#), [750](#), [959](#), [965](#), [1094](#), [1228](#), [1709](#), [1779](#), [1820](#), [1964](#), [1964](#), [1967](#), [2016](#), [2637](#), [2640](#), [2654](#), [2656](#), [2659](#), [2661](#), [2670](#), [2673](#), [2679](#), [2690](#), [2703](#), [2714](#), [2726](#), [2847](#), [2852](#), [2882](#), [2971](#), [2996](#), [3184](#), [3184](#), [3776](#), [4097](#), [4098](#), [4199](#), [4199](#), [4222](#); seat of League's permanent secretariat, [1698](#); disarmament conference (1932), [1698](#); Protocol, [1713](#), [1714](#), [1824](#); economic conference (1927), [1716](#); three-power naval conference, [1716](#); disarmament conference, [1721](#), [2659](#); agreements (on Vietnam), [2653](#); conference, [2992](#); conference on Laos, [4096](#).

## Geneva Accords

[4256](#), [4256](#), [4262](#).

## Geneva Conference

[3269](#), [4076](#), [4081](#), [4264](#); Vietnam, [4256](#).

## Geneva Conventions

[1100](#); and treatment of prisoners of war, [959](#).

## Genji

[386](#).

Genkō , Buddhist leader

[395](#).

## Genoa

[281](#), [451](#), [458](#), [471](#), [474](#), [474](#), [502](#), [510](#), [526](#), [528](#), [532](#), [537](#), [537](#), [538](#), [538](#), [538](#), [560](#), [566](#), [567](#), [572](#), [603](#), [605](#), [607](#), [607](#), [612](#), [614](#), [719](#), [745](#), [745](#), [745](#), [746](#), [796](#), [895](#), [1011](#), [1016](#), [1212](#), [1941](#), [1960](#); and Venice, [473](#), [474](#), [474](#); economic conference, [1710](#), [2069](#).

## Genocide Convention

[3268](#), [4423](#).

## Genovesi, Antonio, Italian scientist

[735](#).

## Genpaku, Sugita, Japanese scholar

[861](#).

## genre painting

[856](#).

## Genroku period, Japan

[861](#).

## Genscher, Hans-Dietrich, German leader

[3008](#), [3023](#).

## Genshin, monk

[386](#).

## Gentileschi, Artemisa, Italian artist

[607](#).

## Gentlemen's Agreement, U.S. and Japan

[1466](#), [1615](#).  
Geoffrey IV, count of Anjou  
[444](#), [449](#).  
Geoffrey of Monmouth, historian  
[444](#).  
Geoffrin, Marie Thérèse, French Enlightenment patroness  
[707](#).  
Geoffroy St.-Hilaire, Étienne F., French naturalist  
[647](#).  
Geoffroy de Villehaardouin, chronicler  
[505](#).  
Geographic Information Systems  
[9](#).  
geography  
[82](#); ancient Egypt, [89](#); East Africa, [96](#); Syria-Palestine, [100](#); Phoenicia, [107](#); Asia Minor, [111](#); Armenia, [116](#); ancient Iran, [120](#); Arabia, [125](#); Japan, [163](#); ancient Greece, [168](#); ancient Rome, [221](#); the Roman Republic, [228](#); the Roman Empire, [245](#); the Pacific Islands, [864](#).  
Geological Society, London  
[1041](#).  
geology  
[7](#), [1041](#), [1042](#), [1731](#), [1731](#).  
Georgakopoulos, Constantine, Greek leader  
[3214](#).  
George, duke of Clarence  
[585](#).  
George, prince of Greece  
[1122](#).  
George I, king of England  
[668](#), [683](#), [685](#).  
George I, king of Greece  
[1278](#), [1282](#).  
George II, king of England  
[662](#), [662](#), [668](#).  
George II, king of Greece  
[2146](#), [2147](#), [2148](#), [2151](#), [2154](#), [2154](#), [2155](#), [2158](#), [2591](#), [3207](#), [3207](#), [3208](#).  
George III, king of England  
[665](#), [668](#), [689](#), [692](#), [940](#), [1046](#).  
George IV, king of England  
[692](#), [1046](#).  
George V, king of England

[1155](#), [1163](#), [1399](#), [1839](#).  
George VI, king of England  
[1835](#), [1839](#), [1853](#), [2208](#), [2233](#), [2758](#), [2765](#), [2806](#).  
Georgetown College, later University  
[1565](#).  
George Tupou I, king of Tonga  
[1477](#).  
George William, elector of Brandenburg  
[622](#).  
Georgi, Dimitrov, Bulgarian leader  
[3236](#).  
Georgia  
[272](#), [307](#), [794](#), [805](#), [806](#), [807](#), [809](#), [812](#), [813](#), [813](#), [813](#), [815](#), [938](#), [938](#), [944](#), [1256](#),  
[1329](#), [1333](#), [1753](#), [2067](#), [2076](#), [2644](#), [2757](#), [3297](#), [3297](#), [3298](#), [3303](#), [3303](#), [3304](#),  
[3308](#), [3314](#), [3325](#), [3325](#), [3327](#), [3327](#), [3329](#), [3330](#), [3331](#), [3436](#); annexation by Russia,  
[1349](#); independence, [3303](#), [3326](#); Republic of Georgia, [3325](#); South Ossetia, [3326](#);  
and Russia, [3326](#), [3326](#), [3329](#).  
Georgia, U.S. state  
[1574](#), [1575](#), [1585](#), [1588](#), [1589](#), [1594](#), [1611](#), [2187](#).  
Georgian Bay  
[921](#), [921](#).  
Georgiev, Kimon, Bulgarian leader  
[2167](#), [2167](#).  
Gepids  
[402](#), [402](#).  
Gerardi, Juan José, Guatemalan prelate  
[3659](#), [3660](#).  
Gerard of Cremona, scholar  
[479](#).  
Gerards, Norman family  
[425](#).  
Gerbert of Aurillac and Reims  
*See* [Sylvester II, pope](#).  
Gerhard, count of Holstein  
[551](#).  
Gerhardsen, Einar, Norwegian leader  
[3054](#), [3054](#), [3056](#), [3057](#), [3057](#).  
Gerhardt, Paul, German clergyman and hymnist  
[624](#).  
German Activists, Czechoslovakia  
[2020](#).

German African Society  
[1529](#).

German Americans  
[2188](#), [2189](#).

German-Anatolian Railway Company  
[1347](#).

German Austria  
*See* [Austria](#).

German-Austrian relations  
[1115](#), [1743](#), [1829](#), [1974](#), [1986](#), [1997](#), [1998](#), [1998](#), [2003](#), [2005](#), [2005](#), [2006](#), [2007](#),  
[2007](#), [2008](#), [2008](#), [2009](#), [2010](#), [2011](#), [2011](#), [2011](#).

German-Belgian relations  
[1890](#).

German-British relations  
[1124](#).

German Colonial Society  
[963](#).

German Confessional Church  
[1986](#).

German-Czech relations  
[1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [2020](#).

German Democratic Republic  
*See* [East Germany](#).

German East Africa  
[1532](#), [1533](#), [1534](#), [1882](#), [1934](#), [2565](#), [2565](#); WWI, [1768](#).

German East Africa Company  
[1530](#).

German Economic Commission  
[2985](#).

German Economic Council  
[2984](#).

German-French relations  
[1978](#), [2020](#).

Germanic Confederation  
[1071](#), [1071](#), [1071](#), [1072](#), [1075](#), [1078](#), [1100](#), [1102](#), [1103](#), [1230](#).

Germanic tribes  
[278](#), [400](#), [402](#), [402](#), [402](#), [402](#), [403](#), [403](#), [406](#), [406](#), [407](#), [407](#), [407](#); society, [402](#).

Germanicus Caesar, Drusus the Younger  
[247](#), [247](#), [247](#), [247](#).

Germanikeia  
[432](#).

German-Italian-Japanese pact

*See* [Axis powers \(Germany, Italy, Japan\)](#).

German-Italian pact

[1833](#).

German-Italian relations

[1114](#), [1115](#).

Germanization

[460](#), [460](#); of Poland, [460](#), [1268](#), [1268](#); in Austria, [1238](#).

German-Japanese relations

[1833](#).

German National Council, Vienna

[1779](#).

German Nationalist Party, Austria

[1998](#), [2000](#).

German New Guinea

[2530](#), [2530](#).

German Order of Swordbearers

*See* [Livonian Brothers of the Sword](#).

German-Polish relations

[1831](#), [1992](#), [1992](#).

German-Russian relations

[1104](#), [1128](#), [1129](#), [1133](#), [1837](#), [1837](#), [2049](#), [2067](#), [2067](#), [2067](#), [2074](#), [2074](#), [2079](#), [2079](#), [2080](#).

German Samoa, Western Samoa

[2530](#).

German Southwest Africa

[1768](#), [2574](#), [2575](#), [2576](#).

Germantown

[935](#), [935](#), [948](#).

German-Turkish relations

[2612](#).

Germanus, bishop of Auxerre

[425](#).

Germany

[23](#), [235](#), [235](#), [243](#), [243](#), [244](#), [247](#), [248](#), [249](#), [249](#), [251](#), [251](#), [252](#), [253](#), [255](#), [257](#), [257](#), [276](#), [302](#), [402](#), [403](#), [406](#), [407](#), [407](#), [408](#), [408](#), [410](#), [411](#), [415](#), [415](#), [415](#), [415](#), [416](#), [416](#), [416](#), [417](#), [417](#), [417](#), [426](#), [440](#), [443](#), [444](#), [454](#), [456](#), [460](#), [466](#), [466](#), [466](#), [466](#), [467](#), [468](#), [469](#), [472](#), [476](#), [479](#), [483](#), [483](#), [483](#), [483](#), [483](#), [484](#), [484](#), [484](#), [484](#), [485](#), [485](#), [486](#), [486](#), [486](#), [486](#), [486](#), [487](#), [489](#), [491](#), [491](#), [492](#), [492](#), [494](#), [505](#), [506](#), [507](#), [511](#), [530](#), [530](#), [530](#), [531](#), [540](#), [540](#), [540](#), [541](#), [541](#), [541](#), [541](#), [542](#), [542](#), [543](#), [544](#), [544](#), [544](#), [544](#), [548](#), [550](#), [550](#), [550](#), [550](#), [551](#), [551](#), [551](#), [551](#), [551](#), [551](#), [554](#), [554](#), [555](#), [557](#), [558](#), [560](#), [560](#), [560](#),





1739, 1739, 1739, 1739, 1739, 1739, 1740, 1740, 1740, 1740, 1741, 1741, 1741,  
1741, 1741, 1741, 1742, 1743, 1743, 1743, 1746, 1746, 1746, 1746, 1748, 1750,  
1750, 1751, 1754, 1754, 1754, 1755, 1755, 1755, 1756, 1757, 1757, 1758, 1758,  
1760, 1762, 1762, 1762, 1762, 1762, 1763, 1763, 1764, 1764, 1764, 1764, 1765,  
1765, 1766, 1766, 1766, 1767, 1768, 1768, 1768, 1768, 1768, 1768, 1768, 1769, 1769,  
1769, 1769, 1770, 1770, 1770, 1770, 1771, 1772, 1772, 1773, 1774, 1774, 1774,  
1774, 1775, 1776, 1777, 1777, 1778, 1779, 1779, 1780, 1780, 1780, 1781, 1781,  
1781, 1781, 1781, 1781, 1781, 1782, 1783, 1784, 1784, 1784, 1784, 1784, 1784, 1784,  
1784, 1785, 1789, 1789, 1789, 1789, 1789, 1789, 1789, 1789, 1789, 1791, 1791, 1791, 1791,  
1792, 1792, 1792, 1792, 1794, 1794, 1794, 1795, 1795, 1795, 1795, 1795, 1795,  
1796, 1796, 1796, 1797, 1800, 1800, 1800, 1801, 1801, 1801, 1802, 1803, 1803,  
1803, 1806, 1806, 1806, 1806, 1806, 1808, 1809, 1809, 1809, 1810, 1810, 1811, 1812,  
1812, 1812, 1812, 1812, 1812, 1812, 1812, 1812, 1812, 1814, 1901, 1971, 1971, 1971,  
1976, 2062, 2064, 2189, 2238, 2309, 2417, 2530, 2554, 2554, 2554, 2555, 2565,  
2568, 2575; and Franco-Prussian War, 1185, 1188, 1188, 1188; and Great Britain,  
1237; and Denmark, 1251, 2041, 2041; and Poland, 1269, 1838, 1838, 1838, 1838,  
1838, 1838, 1838, 1957, 1992, 1992, 2111, 2112, 2112, 2116, 2116, 2117, 2124,  
2124, 2124, 2124, 2124, 2125, 2125, 2126; and Ottoman Empire, 1346; and Middle  
East, 1347, 2369, 2377; and Morocco, 1378; and Japan, 1421, 1457, 2462, 2494,  
2500, 2500, 2519; and China, 1423, 1423, 2461, 2462, 2462, 2464, 2465, 2466, 2474;  
and Boxer Uprising, 1424; and Korea, 1430, 1430; and Philippines, 1481; and Latin  
America, 1676, 1681, 2245, 2247, 2252, 2254, 2258, 2263, 2264, 2266, 2270, 2273,  
2274, 2278, 2285, 2289, 2299, 2300, 2301, 2307, 2308, 2314, 2315, 2315, 2316; and  
Haiti, 1697; armistice WWI, 1782; between Wars, 1814, 1817, 1817, 1817, 1817,  
1817, 1818, 1819, 1819, 1819, 1819, 1819, 1819, 1819, 1819, 1821, 1821, 1821, 1822, 1822,  
1822, 1822, 1824, 1824, 1825, 1825, 1826, 1827, 1828, 1829, 1829, 1830, 1830,  
1830, 1832, 1832, 1832, 1832, 1832, 1832, 1832, 1833, 1833, 1834, 1835, 1835, 1835,  
1835, 1835, 1835, 1835, 1836, 1836, 1837, 1837, 1837, 1837, 1837, 1837, 1837, 1851,  
1889, 1905, 1915, 1953, 2000, 2000; WWII, 1814, 1838, 1853, 1855, 1881, 1993,  
1993, 2080, 2082, 2233, 2233, 2521, 2549, 2556, 2565, 2584, 2598, 2601, 2603,  
2632, 2632, 2632, 2634, 2818, 2838, 2982, 3132; culture, 1816, 1816, 1974;  
occupation of Rhineland, 1833; and Spanish Civil War, 1833; annexation of Austria,  
1835, 1991, 1997, 2011, 2011, 2020, 2031; and Czechoslovakia, 1835, 1991, 2016,  
2018, 2018, 2020, 2020, 2020, 2021; Reich, 1835, 2020; occupation of  
Czechoslovakia, 1835; annexation of Czechoslovakia, 1837, 1991; annexation of  
Memel, 1837; and Russia, 1837, 2064, 3275; and Ireland, 1858; and Belgium, 1882,  
1882, 1882, 1882, 1893; invasion of Belgium, 1892; invasion of Netherlands, 1898;  
and Netherlands in WWII, 1898; WWI, France declares war, 1915, 1992; invasion of  
France, 1916, 2585, 2585, 2585, 2585, 2585, 2586, 2586, 2586; armistice with France,  
1916; and Spain, 1929, 1929, 1930, 1932, 1933, 1990; and Portugal, 1934, 1934,  
1939; and Italy, 1952, 1989; and Austria, 1956; Republic, 1971, 1973; Weimar, 1974,

[1974](#), [1974](#), [1974](#), [1975](#), [1977](#), [1978](#), [1978](#), [1981](#); WWI losses, [1974](#); responsibility for WWI, [1982](#); Great Depression, [1983](#), [1984](#); Nazi, [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1987](#), [1987](#), [1987](#), [1989](#), [1989](#), [1990](#), [1990](#), [1990](#), [1991](#), [1993](#), [2009](#), [2021](#); rearmament, [1992](#); occupation of Bohemia, Moravia, and Czechoslovakia, [1992](#); invasion of Poland, [1992](#), [2124](#), [2582](#), [2582](#), [2582](#); WWII, Great Britain declares war, [1992](#); and Ruthenia, [2020](#); and Slovakia, [2021](#); and Hungary, [2029](#), [2031](#), [2032](#), [2032](#), [2033](#), [2034](#), [2035](#); occupation of Denmark, [2041](#); and Norway, [2047](#); and Sweden, [2051](#), [2051](#); and Finland, [2052](#), [2053](#), [2053](#), [2056](#), [2059](#); attack on Russia, [2058](#); and Iceland, [2060](#); invasion of Russia, [2080](#), [2589](#), [2589](#), [2593](#), [2593](#), [2593](#), [2593](#), [2593](#), [2593](#), [2593](#), [2593](#), [2594](#), [2594](#), [2595](#), [2595](#), [2595](#), [2596](#), [2596](#), [2596](#), [2596](#), [2597](#), [2597](#), [2597](#), [2597](#), [2597](#); and Baltic region, [2084](#), [2084](#), [2084](#), [2084](#), [2084](#), [2085](#), [2085](#), [2085](#), [2085](#), [2091](#), [2092](#), [2093](#), [2094](#), [2096](#), [2096](#), [2097](#), [2097](#), [2100](#), [2101](#), [2102](#), [2102](#), [2102](#), [2109](#); and Balkan Peninsula, [2134](#), [2134](#), [2142](#), [2142](#), [2143](#), [2143](#), [2170](#), [2172](#), [2184](#), [2185](#), [2185](#); and Greece, [2155](#), [2158](#), [2158](#), [2158](#), [2159](#); and U.S., [2187](#), [2190](#), [2192](#), [2208](#), [2208](#), [2208](#), [2210](#), [2216](#), [2626](#); declaration of war on U.S., [2211](#); and India, [2435](#), [2445](#); and Southeast Asia, [2450](#); and Australia, [2537](#), [2538](#), [2539](#); and New Zealand, [2551](#); invasion of Denmark, [2584](#); invasion of Norway, [2584](#), [2584](#), [2584](#), [2584](#), [2584](#); invasion of Low Countries, [2585](#), [2585](#), [2585](#), [2585](#), [2585](#); attack on Great Britain, [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2589](#), [2589](#); WWII losses, [2587](#), [2596](#), [2621](#); WWII Balkan Campaigns, [2590](#), [2590](#), [2591](#), [2591](#), [2591](#), [2591](#), [2591](#), [2591](#); WWII in Middle East, [2591](#), [2591](#), [2592](#); WWII naval warfare, [2604](#), [2604](#), [2604](#), [2604](#), [2605](#), [2605](#), [2605](#), [2607](#), [2608](#), [2608](#), [2609](#); WWII merchant tonnage, [2604](#), [2604](#); WWII in Africa and Middle East, [2610](#), [2612](#), [2612](#), [2612](#), [2613](#), [2613](#), [2615](#), [2615](#), [2616](#), [2616](#), [2627](#); WWII in Europe, [2617](#), [2617](#), [2618](#), [2618](#), [2619](#), [2619](#), [2619](#), [2619](#), [2620](#), [2620](#), [2621](#); WWII in Germany, [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2631](#); WWII end, [2621](#), [2621](#), [2621](#), [2621](#), [2622](#); WWII occupation, [2622](#); WWII settlement, [2634](#), [2634](#); postwar, [2637](#), [2645](#), [2708](#), [2982](#), [2982](#), [2984](#), [2984](#), [2984](#), [2985](#), [2985](#), [2985](#), [2986](#), [2987](#); unification, [2637](#), [2757](#), [2878](#), [2990](#), [2990](#), [2991](#), [2992](#), [2992](#), [3015](#); reunification, [2644](#), [2686](#), [2982](#), [2996](#), [2998](#), [2999](#), [3006](#), [3010](#), [3010](#), [3010](#), [3021](#), [3027](#); cold war, [2654](#), [2658](#); economic recovery, [2700](#); WWII surrender, [2758](#); Bizonia, [2983](#); treaty between East and West, [3007](#); Federal Republic of, [3010](#); postreunification, [3022](#), [3025](#), [3025](#), [3025](#), [3025](#), [3026](#); all-German elections, [3022](#); European currency, [3026](#). *See* [East Germany](#); [Franco-German relations](#); [German-Austrian relations](#); [Nazi Party](#); [Reichstag](#); [West Germany \(Federal Republic of Germany\)](#); [reparations](#).

Germer, Lester H., American physicist  
[1729](#).

Germiyan  
[305](#), [310](#), [310](#), [313](#).

Gero, markgraf of Poland

486.  
Gero, Erno, Hungarian leader  
3147, 3147, 3150.  
Gerona  
479, 601, 719.  
Geronimo, Apache leader  
1602.  
Gerousia  
178.  
Gerry, Elbridge, U.S. envoy  
1565.  
Gershwin, George, composer  
2191.  
Gertruydenburg  
659.  
Gervais, Alfred, French admiral  
1117.  
Gerzean culture  
91, 103.  
Gesellschaft deutscher Naturforscher, Germany  
1039.  
Geshem, king of Qedar  
127.  
Gesner, Abraham, manufacturer of kerosene  
981.  
Gesner, Conrad, scientist  
637, 638.  
Gestalt psychology  
1145.  
Gestapo, Nazi  
1986, 2021, 2125.  
Gestido, Oscar Diego, Uruguayan leader  
3528, 3528.  
Geta, Roman emperor  
255.  
Getae  
270.  
Gettysburg, battle of  
1588, 1588.  
Gex, problem of free zone of  
626, 1964.

Geza I, king of Hungary  
[491](#), [492](#).

Geza II, king of Hungary  
[492](#).

Gezer  
[100](#).

Gezira Scheme, Sudan  
[2561](#), [2561](#), [2561](#), [2562](#).

Ghana  
[44](#), [44](#), [281](#), [343](#), [344](#), [344](#), [344](#), [344](#), [345](#), [351](#), [351](#), [352](#), [353](#), [1506](#), [2554](#), [2636](#),  
[2644](#), [2644](#), [2693](#), [4320](#), [4326](#), [4327](#), [4344](#), [4344](#), [4344](#), [4344](#), [4344](#), [4344](#), [4344](#), [4345](#),  
[4360](#), [4367](#), [4369](#), [4386](#); independence, [4320](#), [4324](#), [4344](#). *See* [Gold Coast](#).

Gharyan  
[1392](#).

Ghassan people  
[286](#).

Ghazan Khan, Ilkhanid ruler  
[281](#), [305](#), [305](#), [306](#).

Ghazi, king of Iraq  
[2405](#), [2406](#).

Ghazna  
[300](#), [302](#), [817](#), [819](#).

Ghaznavid dynasty  
[300](#), [300](#), [300](#), [301](#), [301](#), [302](#), [325](#), [331](#).

Ghazni  
[325](#), [325](#), [331](#), [331](#), [331](#).

Ghent  
[520](#), [595](#), [595](#), [653](#), [653](#), [658](#), [1033](#), [1789](#), [1882](#), [1882](#); treaty of, [1572](#), [1624](#).

Gheorghiu-Dej, Gheorghe, Romanian leader  
[3172](#), [3249](#), [3250](#), [3250](#), [3250](#).

Ghibellines  
[455](#), [459](#), [459](#), [534](#), [534](#), [534](#), [534](#), [534](#), [534](#), [537](#), [540](#), [540](#).

Ghiberti, Lorenzo, artist  
[536](#).

Ghilzay Afghans  
[816](#), [816](#), [819](#), [819](#), [819](#), [819](#).

Ghirlandaio, Florentine artist  
[532](#), [584](#).

Ghislieri, Antonio Michele  
*See* [Pius V](#), pope.

Ghiyas-ud-Din Muhammad, ruler of Ghur

[331](#).  
Ghiyas-ud-din Tughluk, ruler of India  
[332](#).  
Ghizikis, Phaidon, Greek leader  
[3221](#), [3222](#).  
Ghose, Aurobindo, religious leader  
[1701](#).  
Ghost Dance  
[1604](#).  
Ghur, Ghor  
[331](#), [331](#), [333](#).  
Ghurid Dynasty  
[302](#), [302](#).  
Gia-long, emperor of Vietnam  
[863](#), [1473](#), [1473](#), [1473](#), [1473](#).  
Giannone, Pietro, Italian scientist  
[735](#).  
Giao-châu  
[397](#).  
Giao-chi, Jiaozhi  
[397](#), [397](#).  
Gibbon, Edward, English historian  
[645](#).  
Gibbons, Orlando, English composer  
[594](#).  
Gibbons v. Ogden, U.S. Supreme Court decision  
[1574](#).  
Gibbs, Josiah W., physicist  
[981](#), [1152](#).  
Gibraltar  
[418](#), [419](#), [657](#), [659](#), [950](#), [1375](#), [1376](#), [2754](#), [2777](#), [2922](#), [2922](#), [2922](#), [2922](#), [2922](#),  
[2923](#), [2923](#), [2923](#), [2923](#), [2923](#), [2923](#), [2923](#), [2924](#), [2924](#); British capture of, [824](#).  
Gibson, Violet, failed assassination of Mussolini  
[1948](#).  
Gide, André, writer  
[1903](#), [2841](#).  
Gierek, Edward, Polish leader  
[3099](#), [3100](#), [3100](#).  
Giers, Nicholas, Russian diplomat  
[1114](#), [1117](#).  
Giessen

[624](#), [1042](#).  
Giffard, Henri, engineer  
[986](#).  
Gijon  
[1930](#).  
Gilan  
[272](#), [308](#), [815](#), [1352](#), [1703](#), [2335](#), [2335](#).  
Gilbert, Humphrey  
[923](#).  
Gilbert, William, scientist  
[638](#).  
Gilbert Islands  
[1477](#), [1478](#), [1479](#), [2532](#), [2629](#), [4284](#), [4284](#).  
Gilbert's Act, England  
[689](#).  
Gilbreth, Frank, efficiency expert  
[1734](#).  
Gilchrist, Percy, inventor  
[984](#).  
Gilead  
[87](#), [105](#).  
Gilgamesh Epic  
[83](#), [84](#).  
Gill, Juan Bautista, Latin American leader  
[1665](#), [1666](#).  
Gillette, C.  
[986](#).  
Ginastera, Alberto, composer  
[2241](#).  
Gingrich, Newt, U.S. leader  
[3433](#), [3435](#), [3437](#).  
Gioberti, Vincenzo, Italian leader  
[1069](#).  
Giolitti, Giovanni, Italian leader  
[1221](#), [1223](#), [1224](#), [1225](#), [1225](#), [1746](#), [1943](#), [1944](#).  
Giorgione da Castelfranco, Italian artist  
[607](#).  
Giornico, battle of  
[546](#).  
Giotto di Bondonne, artist  
[470](#), [525](#), [533](#), [534](#).

Giovanna, wife of Boris III of Bulgaria  
[1951](#), [2165](#).

Giraud, Henri, French leader  
[1918](#), [1918](#), [2614](#), [2615](#), [2615](#).

Giraudoux, Jean, playwright  
[1903](#).

Giri, V. V., Indian leader  
[3969](#).

Girnar  
[132](#), [334](#).

Girón, Francisco, Spanish colonial administrator  
[899](#).

Girondists, French political party  
[1003](#), [1004](#), [1004](#), [1004](#), [1005](#), [1006](#), [1007](#).

Giscard d'Estaing, Valéry, French leader  
[2838](#), [2858](#), [2865](#), [2867](#), [2867](#), [2869](#), [2870](#), [2873](#).

Gist, Christopher, American explorer  
[939](#).

Gitschin  
[1102](#).

Giza  
[91](#), [792](#); pyramids of, [1](#).

Glabbrio, Marcus Acilius, Greek consul  
[233](#).

Gladstone, William Ewart, English leader  
[1106](#), [1110](#), [1110](#), [1110](#), [1155](#), [1158](#), [1162](#), [1162](#), [1162](#), [1162](#), [1168](#), [1170](#).

Gla fortress  
[171](#).

Glagau, Otto, writer  
[1235](#).

Glanvil, English jurist  
[444](#).

Glarus  
[546](#), [546](#), [625](#), [625](#), [748](#), [749](#), [751](#), [1226](#).

Glasgow  
[591](#), [1841](#), [1847](#).

Glasgow, University of  
[594](#).

Glasgow Missionary Society  
[878](#).

glasnost



[3294](#).  
Glatz, Ferenc, Hungarian leader  
[3155](#).  
Glavlit, Russian censor  
[3294](#).  
Glen Grey Act, Cape Colony  
[1556](#).  
Glenn, John H., Jr., U.S. astronaut and leader  
[3407](#), [3437](#).  
Glenrowan  
[1495](#).  
Glinka, Mikhail, playwright  
[1258](#).  
Glinski, Helen, mother of Ivan IV of Russia  
[629](#).  
globalization  
[1528](#), [1698](#), [1698](#), [1698](#), [1698](#), [1698](#), [1700](#), [1700](#), [1700](#), [1700](#), [1700](#), [1701](#), [1706](#),  
[1706](#), [1707](#), [1707](#), [1708](#), [2636](#), [2636](#), [2636](#), [2636](#), [2637](#), [2640](#), [2644](#), [2644](#), [2668](#),  
[2668](#); postclassical period, [284](#); 1500–1800, [575](#), [575](#), [579](#), [581](#), [581](#), [582](#), [583](#), [584](#);  
1800–1914, [953](#), [953](#), [953](#), [959](#), [961](#); 19th century, [1506](#); economic, [2640](#), [2640](#),  
[2640](#), [2640](#), [2686](#); trade, [2640](#), [2640](#); multinational corporations, [2640](#), [2640](#), [3419](#);  
oil, [2640](#), [2673](#), [2674](#), [2741](#), [2757](#), [2789](#), [2803](#), [2886](#), [2911](#), [2941](#), [3058](#), [3061](#), [3425](#),  
[3441](#), [3443](#), [3456](#), [3768](#), [3973](#), [4183](#), [4241](#); production and ownership, [2640](#); business,  
[2640](#), [2640](#), [2680](#); science and technology, [2641](#); disease, [2641](#), [2641](#); information  
technology and communications, [2641](#); cultural response, [2641](#); environment, [2642](#),  
[2688](#), [2691](#), [2693](#), [2693](#), [2695](#), [2697](#), [2699](#), [2700](#), [2703](#), [2754](#), [2756](#), [2757](#), [3010](#),  
[3061](#), [3065](#), [3407](#), [3436](#), [3505](#), [4043](#); religion, [2644](#); resistance, [3140](#). *See*  
[environmentalism](#).  
Glogau  
[660](#).  
Glorious Revolution, England  
[678](#), [682](#), [934](#).  
Gloucester  
[421](#); cathedral, [513](#).  
Gloucester, duke of, regent for Henry VI  
[515](#), [515](#).  
Glubb, John, British leader  
[2398](#), [3872](#).  
Glycerius, Roman emperor in the West  
[269](#).  
Glynn, James, U.S. naval commander

[1438](#).  
Scipio, Gnaeus Cornelius  
[232](#).  
Gnesen  
[486](#), [486](#).  
Gnome et Rhône, aircraft engine works  
[2839](#).  
Goa, Indian state  
[281](#), [327](#), [575](#), [830](#), [832](#), [844](#), [953](#), [3960](#), [3963](#), [3980](#).  
Gobi Desert  
[282](#), [474](#).  
Gobineau, Joseph de  
[1143](#).  
Gobir  
[355](#), [870](#), [1510](#).  
Godaigo, emperor of Japan  
[395](#), [395](#), [395](#), [396](#), [396](#).  
Godard, Jean-Luc, film director  
[2702](#).  
Godavari River  
[132](#), [132](#), [326](#), [337](#), [337](#).  
Godeffroy and Sohn, German traders  
[1477](#).  
Gödel, Kurt, mathematician  
[1730](#), [1730](#).  
Goderich, Frederick John Robinson, 1st earl of Ripon  
[1046](#).  
Godesberg  
[1835](#).  
Godfrey of Bouillon, king of Jerusalem  
[505](#), [505](#).  
Godfrey the Bearded, duke of Lorraine  
[454](#), [467](#), [467](#).  
Godowsky, Leopold, Jr., developer of color film  
[990](#).  
Godoy, Manuel de, Spanish leader  
[725](#), [726](#).  
God's Army, Burma  
[4063](#), [4074](#).  
Godthåb  
[769](#).

Godunov, Boris, tsar of Russia  
[630](#), [630](#), [630](#), [630](#).

Godwin, earl of Wessex  
[422](#), [422](#), [422](#), [449](#).

Godwin, William, political philosopher  
[645](#).

Goebbels, Joseph, Nazi leader  
[1986](#), [2018](#).

Goering, Hermann, Nazi leader  
[1838](#), [1986](#), [1991](#).

Goethe, Johann Wolfgang von, German poet  
[646](#).

Goga, Octavian, Romanian leader  
[2182](#), [2182](#), [2182](#), [2183](#).

Gogol, Nikolai, playwright  
[1258](#).

Gogra River  
[831](#).

Goh Chok Tong, Singaporean leader  
[4117](#), [4117](#), [4117](#), [4117](#).

Goiás  
[916](#), [918](#).

Goidels  
[421](#), [424](#), [425](#).

Gökalp, Ziya, writer  
[2326](#).

Gokameyama, emperor of Japan  
[396](#).

Gokhale, Indian leader  
[1398](#).

Gokhale, Gopal Krishna, Indian leader  
[2432](#).

Gokomatsu, emperor of Japan  
[396](#).

Golan Heights, Syria  
[2638](#), [2664](#), [2671](#), [3771](#), [3774](#), [3775](#), [3785](#), [3843](#), [3844](#), [3861](#).

Golconda  
[333](#), [830](#), [831](#), [833](#), [834](#).

gold  
[292](#), [351](#), [353](#), [355](#), [356](#), [359](#), [362](#), [362](#), [364](#), [364](#), [364](#), [584](#), [601](#), [602](#), [1607](#), [1610](#),  
[2676](#); Africa, [43](#), [823](#), [869](#), [873](#), [889](#), [1506](#), [1556](#), [1556](#); Sahara, [323](#); Latin America,

[895](#), [895](#), [908](#); the Americas, [911](#), [916](#), [916](#); Australia, [1490](#); New Zealand, [1502](#), [1503](#); the U.S., [1579](#), [1606](#), [1609](#); Canada, [1630](#); standard, [1700](#), [1700](#), [1720](#), [1843](#), [1847](#), [1888](#), [1896](#), [1896](#), [2044](#), [2049](#), [2509](#), [2579](#).

Gold Coast, Africa  
[281](#), [358](#), [359](#), [873](#), [874](#), [874](#), [874](#), [874](#), [875](#), [875](#), [877](#), [1513](#), [1514](#), [1514](#), [1516](#), [1516](#), [1520](#), [2554](#), [2555](#), [2558](#), [2558](#), [2558](#), [2559](#), [2559](#), [2559](#), [2559](#), [2559](#), [2636](#), [4320](#), [4322](#), [4324](#); post-WWII colonialism, [4321](#). *See* [Ghana](#).

Gold Coast, University College of the  
[4322](#).

Golden Bulls  
[484](#), [493](#), [544](#); of Eger, [457](#); of Rimini, [460](#); of Charles IV, [541](#).

Golden Horde  
[281](#), [489](#), [490](#).

Golden Law, Brazil  
[1677](#).

Golden Pavilion, Kinkakuji  
[396](#), [396](#).

Golden Square, Iraq  
[2406](#), [2406](#), [2406](#).

Golden Temple of Amritsar  
[3977](#), [3979](#).

Goldie, George  
[1516](#).

Goldman, Emma, U.S. activist  
[2188](#), [2190](#).

Goldman, Ronald L., murder victim  
[3436](#).

Goldmark, Peter C., inventor  
[1736](#).

Goldoni, Carlo, Italian playwright  
[735](#).

Gold Repeal Joint Resolution, U.S.  
[2202](#).

Gold Reserve Act, U.S.  
[2202](#).

Golitsyn, Alexander  
[1257](#).

Golitsyn, Basil  
[784](#).

Golkar Party, Indonesia  
[4135](#), [4135](#), [4138](#).

Goltz, Colmar von der, German commander  
[1738](#), [2097](#).

Goltz, Rüdiger von der, German commander  
[2053](#).

Goma  
[4413](#).

Gómara, Francisco Lopez de, Spanish historian  
[604](#).

Gomba  
[877](#).

Gömbös, Gyula, Hungarian leader  
[2028](#), [2029](#), [2029](#), [2029](#).

Gomensoro, Tomás, Latin American leader  
[1667](#).

Gomes, Teixeira, Portuguese leader  
[1935](#).

Gómez, Esteban, explorer  
[574](#).

Gómez, José Miguel, Cuban leader  
[1693](#), [2301](#).

Gómez, Juan Vicente, Venezuelan leader  
[1676](#), [1676](#), [2269](#), [2269](#), [2269](#).

Gómez, Laureano, Colombian leader  
[3575](#), [3576](#).

Gómez, Miguel Mariano, Cuban leader  
[2305](#), [2305](#).

Gómez de la Gloria, Sebastián, rebel leader in Cancuc  
[913](#).

Gómez de la Torre, Francisco, Ecuadorian leader  
[2264](#).

Gómez Farías, Valentín, Mexican leader  
[1688](#).

Gompers, Samuel, U.S. union leader  
[1602](#).

Gomulka, Wladyslaw, Polish leader  
[3092](#), [3096](#), [3096](#), [3096](#), [3096](#), [3096](#), [3096](#), [3096](#), [3096](#), [3097](#), [3098](#), [3098](#), [3098](#), [3099](#).



## Subject Index

### Page 30

- Gonatas, Stylianos, Greek leader  
[2145](#).
- Goncharov, Ivan, writer  
[1258](#).
- Göncz, Árpád, Hungarian leader  
[3156](#), [3158](#).
- Gondar  
[880](#), [880](#), [880](#), [880](#), [880](#), [1522](#), [1522](#).
- Gondokoro  
[1508](#), [1508](#).
- Gondra, Manuel, Paraguayan leader  
[2248](#).
- Gonds  
[333](#).
- Gong, prince  
[1417](#), [1418](#), [1419](#).
- Gongson family  
[160](#).
- Gongson Long, Chinese philosopher  
[152](#), [152](#).
- Gongson Yang, Chinese counselor  
[140](#), [149](#).
- Gonzaga, Italian princely family  
[612](#).
- Gonzaldo de Córdoba, Hernandez, Spanish commander  
[607](#).
- Gonzáles, Manuel, Mexican leader  
[1692](#).
- Gonzales y Mendoza, Juan, monk in China  
[851](#).

Gonzalez, Elian, Cuban boy  
[3728](#).

González, Fernán, count of Burgos (later Castile)  
[420](#).

Gonzalez, Guillermo Alberto, Colombian leader  
[3590](#).

González, Juan Gualberto, Latin American leader  
[1666](#).

González, Luís Arturo, Guatemalan leader  
[3650](#).

González, Natalicio, Paraguayan leader  
[3522](#).

González, Santiago, Latin American leader  
[1682](#).

González Dávila, Gil, Spanish explorer  
[895](#), [896](#).

González Marques, Felipe, Spanish leader  
[2887](#), [2900](#), [2903](#), [2903](#), [2908](#), [2909](#).

González Prada, Manuel, writer  
[2260](#).

González Viquez, Cleto, Costa Rican leader  
[1685](#), [2287](#).

Gonzalvo de Córdoba, Hernandez, Spanish general  
[597](#), [601](#).

Goode, William  
[4105](#).

Good Friday Accord  
[2815](#), [2815](#).

Goodman, Andrew, civil rights activist  
[3409](#).

Good Neighbor Policy  
[2240](#), [2274](#), [2602](#).

Good Parliament, England  
[513](#).

Goodpaster, Andrew J., U.S. commander  
[2730](#).



Goods and Services Tax, GST  
[3458](#).

Goodyear, Charles, inventor  
[983](#).

Gorazde



[3185](#).  
Gorbach, Alfons, Austrian leader  
[3034](#), [3034](#), [3035](#).  
Gorbachev, Mikhail, Russian leader  
[2637](#), [2683](#), [2684](#), [2685](#), [2700](#), [2790](#), [3010](#), [3020](#), [3020](#), [3020](#), [3108](#), [3293](#), [3293](#),  
[3294](#), [3295](#), [3296](#), [3296](#), [3297](#), [3297](#), [3297](#), [3297](#), [3299](#), [3299](#), [3299](#), [3300](#), [3300](#),  
[3300](#), [3300](#), [3301](#), [3301](#), [3301](#), [3301](#), [3301](#), [3303](#), [3303](#), [3303](#), [3304](#), [3304](#), [3321](#), [3345](#),  
[3346](#), [3353](#), [3354](#), [4165](#), [4214](#), [4244](#); resignation, [3304](#).  
Gorchakov, Alexander  
[1104](#), [1105](#), [1106](#), [1106](#), [1108](#).  
Gordianus I, Roman emperor  
[257](#).  
Gordianus II, Roman emperor  
[257](#).  
Gordianus III, Roman emperor  
[257](#), [257](#).  
Gordillo, Francisco de, explorer  
[574](#).  
Gordimer, Nadine, writer  
[2687](#), [4320](#).  
Gordium  
[114](#).  
Gordon, Charles George, British commander  
[1372](#), [1417](#), [1524](#), [1535](#).  
Gordon, Pamela, Bermudian leader  
[3766](#).  
Gordon Commission report, Canada  
[3447](#).  
Gordon Riots  
[689](#).  
Gore, Al, Jr., U.S. leader  
[3116](#), [3429](#), [3437](#), [3441](#), [3441](#), [3442](#), [4114](#).  
Goree  
[666](#).  
Gorée  
[871](#), [876](#).  
Gorée Island  
[873](#).  
Goremykin, Ivan, Russian leader  
[1264](#), [2063](#).  
Gorgas, William, U.S. public health expert

2264.  
Görgei, Arthur, Hungarian general  
1088, 1088.  
Gorges, Ferdinando  
926.  
Gorgias, Greek philosopher  
186.  
Gorgias of Leontini  
196.  
Göring, Hermann  
2983.  
Gorizia, Italian claims to  
1746, 1746, 1799, 1804.  
Gorki  
3290.  
Gorki, Maxim, writer  
1258.  
Gorlice-Tarnow, battle of  
1794.  
Gorna Djumaya  
1322.  
Gornicki, Lucas, Polish writer  
633.  
Gor , Miura, Japanese official  
1433.  
Gorrie, John, inventor  
986.  
Gorst, Eldon  
1374, 1374.  
Gorst, John  
1162.  
Gorton, John G., Australian leader  
4304.  
Gorze  
466.  
Gorzian monastic reform  
417.  
Gosanj , emperor of Japan  
386.  
Goshirakawa, emperor of Japan  
387, 387.

Gospels

[259](#), [446](#).

Gotamiputa Siri Satakani, of Surashtra

[132](#).

Gotha

[662](#).

Gotha Program

[1174](#), [1234](#).

Gothenburg

[1075](#), [1248](#).

Gothia

[463](#).

Gothic style

[443](#), [452](#), [479](#).

Gothicus

[257](#).

Gothland

[548](#), [548](#), [548](#), [551](#).

Goths

[255](#), [257](#), [257](#), [257](#), [257](#), [257](#), [257](#), [257](#), [258](#), [264](#), [264](#), [402](#), [402](#), [403](#), [403](#), [403](#), [403](#), [408](#), [463](#), [463](#), [482](#).

Gotoba, emperor of Japan

[394](#).

Gottwald, Klement, Czech leader

[2016](#), [3120](#), [3121](#), [3123](#), [3123](#), [3127](#), [3127](#).

Gouge, Marie-Olympe de, French leader

[1001](#).

Gough, Hubert

[1780](#).

Gouin, Félix, French leader

[2838](#), [2840](#).

Goujon, Jean, French artist

[600](#).

Goulart, João, Brazilian leader

[3610](#), [3611](#), [3612](#), [3613](#), [3613](#), [3613](#), [3613](#).

Goulburn

[1490](#).

Gouled Aptidon, Hassan, Djibouti leader

[4393](#), [4393](#), [4393](#).

Gounaris, Demetrios, Greek leader

[1743](#), [1743](#), [2146](#).

Gouraud, Henri, French leader  
[2370](#), [2378](#).

Gourlay, Robert, Canadian leader  
[1625](#).

Gouvernement Général, Polish territory  
[2582](#).

Government of India Act, England  
[578](#), [1396](#), [3956](#).

Government of Ireland Act, England  
[1862](#).

Government of National Unity, Belgium  
[1888](#).

Government of National Unity, Latvia  
[2100](#).

Government of the Korean Restoration Army  
[2488](#).

Govinda II, ruler of India  
[327](#), [327](#).

Govinda III, ruler of India  
[327](#).

Govind Singh, Sikh guru  
[834](#).

Gowda, H. D. Deve, Indian leader  
[3986](#).

Gower, John, poet  
[525](#).

Gowon, Yakubu, Nigerian leader  
[4367](#), [4368](#).

Gowrie, 1st baron, Alexander Gore Arkwright Hore-Ruthven, Australian leader  
[2549](#).

Grabski, Ladislav, Polish leader  
[2118](#).

Gracchus, Caius Sempronius, Roman tribune  
[229](#), [235](#), [235](#).

Gracchus, Tiberius Sempronius, Roman tribune  
[235](#), [235](#).

Gradisca, Italian claims to  
[1746](#), [1746](#).

Graduates Congress  
[1706](#).

Graf Spee, German ship

[2598](#), [2604](#).  
Grain Corporation, U.S.  
[2188](#).  
Gramme, Zénobe T., inventor  
[981](#).  
Gramm-Rudman Balanced Budget and Emergency Reduction Control Act, U.S.  
[3428](#).  
Gramsci, Antonio, Italian Communist  
[1944](#).  
Gran  
[798](#), [804](#).  
Granada  
[475](#), [476](#), [525](#), [584](#), [601](#), [601](#), [601](#), [607](#), [822](#).  
Granada, Nicaragua  
[896](#).  
Granadan Confederation  
[1673](#).  
Granaganza kingdom  
[1541](#).  
Gran Colombia  
[1650](#), [1651](#), [1652](#), [1670](#), [1671](#), [1672](#), [1675](#); republic of, [1650](#).  
Grand Alliance, against France  
[653](#), [657](#), [720](#), [738](#), [1257](#).  
Grand Army, France  
[1029](#).  
Grand Canal, China  
[367](#), [375](#), [376](#), [1416](#), [1417](#).  
Grand Canyon  
[903](#).  
Grand Catalan Company  
[526](#).  
Grand Council, China  
[1419](#).  
Grande Chartreuse  
[466](#).  
Grande Comore Island  
[4411](#), [4416](#).  
Grand Fleet  
[1741](#).  
Grand General Union of All the Spinners  
[1047](#).

Grand Hotel, Brighton  
[2793](#).

Grandi, Dino, Italian Fascist leader  
[1945](#).

Grandière, Pierre de la, French colonial administrator  
[1473](#).

Grand National Assembly  
[3241](#).

Grand National Consolidated Trades Union  
[1048](#), [1048](#).

Grand People's Hural, Mongolia  
[2487](#), [4187](#).

Grand Remonstrance, England  
[591](#).

Grand Secretariat, China  
[851](#).

Grandson, battle of  
[524](#), [546](#).

Grand Trunk Railway  
[1629](#), [1640](#), [2217](#).

Gran Federación de Obreros de Chile  
[1664](#), [1664](#).

Grange, U.S.  
[1596](#).

Granger decisions, U.S. Supreme Court  
[1596](#).

Granicus  
[115](#), [124](#).

Granovitaya Palace, Moscow  
[558](#).

Grant, James, explorer  
[1508](#).

Grant, Ulysses S., U.S. president  
[1594](#), [1595](#), [1595](#); as Union commander, [1587](#), [1587](#), [1588](#), [1589](#), [1589](#), [1589](#), [1590](#).

Granville, Antoine Perrenot  
[595](#).

Grass, Günter, writer  
[2988](#).

Grasse, Franç de  
[951](#).

Gratian, monk

[468](#), [469](#).  
Gratian, Roman emperor in the West  
[260](#), [264](#), [264](#), [264](#), [264](#), [268](#).  
Grau San Martín, Ramón, Cuban leader  
[2303](#), [2304](#), [2307](#), [3714](#), [3714](#).  
Gravelines, battle of  
[598](#), [602](#).  
gravity  
[675](#).  
Gray, Elisha, inventor  
[990](#).  
Gray, Robert, U.S. explorer  
[1568](#).  
Gray Friars  
*See* [Franciscans](#).  
Gray Wolves, Turkey  
[3794](#).  
Graz  
[2011](#).  
Great American Tea Company  
[1589](#).  
Great Arab Revolt  
[2391](#).  
Great Atlantic and Pacific Tea Company, A & P  
[1589](#).  
Great Awakening, New England  
[934](#); Second, [1563](#), [1565](#), [1575](#).  
Great Basin  
[53](#).  
Great Bast, sanctuary for Persian revolutionaries  
[977](#).  
Great Blood Purge, Nazi Germany  
[1988](#).  
Great Bonanza, discovery of silver  
[1595](#).  
Great Britain  
[52](#), [578](#), [578](#), [578](#), [578](#), [579](#), [579](#), [579](#), [579](#), [584](#), [584](#), [589](#), [596](#), [606](#), [629](#), [654](#), [659](#), [659](#),  
[659](#), [659](#), [660](#), [662](#), [662](#), [662](#), [662](#), [665](#), [666](#), [667](#), [668](#), [678](#), [682](#), [683](#), [685](#), [685](#), [686](#), [688](#),  
[691](#), [700](#), [700](#), [700](#), [701](#), [701](#), [702](#), [703](#), [703](#), [704](#), [704](#), [705](#), [705](#), [705](#), [707](#), [707](#), [715](#),  
[716](#), [720](#), [723](#), [723](#), [724](#), [724](#), [725](#), [725](#), [726](#), [726](#), [726](#), [728](#), [728](#), [731](#), [762](#), [764](#), [766](#),  
[771](#), [771](#), [789](#), [789](#), [810](#), [812](#), [814](#), [817](#), [819](#), [823](#), [824](#), [824](#), [824](#), [824](#), [825](#), [828](#), [868](#), [873](#).

904, 906, 906, 906, 906, 906, 906, 906, 911, 953, 954, 954, 955, 955, 956, 956, 956, 956, 957, 961, 961, 961, 961, 961, 961, 962, 962, 962, 962, 963, 964, 965, 965, 965, 965, 967, 969, 970, 970, 972, 974, 976, 976, 977, 980, 984, 995, 997, 999, 1002, 1005, 1005, 1005, 1005, 1010, 1010, 1011, 1011, 1011, 1017, 1018, 1020, 1021, 1023, 1023, 1025, 1026, 1026, 1027, 1027, 1028, 1029, 1030, 1030, 1031, 1032, 1032, 1032, 1032, 1033, 1033, 1034, 1035, 1035, 1037, 1039, 1045, 1045, 1045, 1045, 1046, 1046, 1047, 1050, 1051, 1051, 1051, 1052, 1053, 1055, 1062, 1062, 1063, 1064, 1065, 1066, 1068, 1075, 1081, 1092, 1099, 1100, 1100, 1100, 1100, 1100, 1100, 1100, 1102, 1104, 1105, 1105, 1105, 1106, 1106, 1106, 1107, 1108, 1108, 1108, 1108, 1108, 1108, 1108, 1108, 1109, 1109, 1110, 1110, 1110, 1111, 1112, 1112, 1112, 1114, 1114, 1114, 1114, 1115, 1116, 1116, 1117, 1120, 1124, 1126, 1126, 1127, 1128, 1128, 1128, 1129, 1129, 1130, 1130, 1131, 1131, 1132, 1132, 1132, 1132, 1133, 1134, 1135, 1135, 1136, 1136, 1137, 1137, 1140, 1140, 1140, 1141, 1141, 1141, 1142, 1155, 1155, 1155, 1155, 1155, 1155, 1162, 1168, 1168, 1171, 1180, 1182, 1196, 1199, 1204, 1211, 1231, 1235, 1243, 1247, 1258, 1259, 1260, 1261, 1263, 1266, 1274, 1275, 1275, 1275, 1276, 1276, 1277, 1278, 1279, 1280, 1302, 1312, 1312, 1318, 1327, 1328, 1329, 1331, 1331, 1331, 1337, 1344, 1436, 1473, 1473, 1475, 1476, 1478, 1494, 1506, 1563, 1568, 1617, 1622, 1622, 1625, 1630, 1699, 1699, 1699, 1700, 1701, 1702, 1702, 1703, 1703, 1704, 1706, 1706, 1706, 1708, 1710, 1710, 1710, 1711, 1713, 1714, 1714, 1716, 1717, 1719, 1720, 1721, 1722, 1725, 1725, 1726, 1736, 1736, 1738, 1738, 1738, 1738, 1738, 1789, 1795, 1822, 1822, 1839, 1839, 1844, 1846, 1851, 1851, 1853, 1863, 1864, 2020, 2067, 2192, 2334, 2359, 2366, 2389, 2398, 2530, 2537, 2538, 2539, 2546, 2548, 2558, 2558, 2588, 2619, 2634, 2638, 2640, 2640, 2640, 2641, 2641, 2641, 2644, 2673, 2675, 2686, 2690, 2692, 2703, 2703, 2704, 2704, 2704, 2707, 2707, 2708, 2710, 2710, 2710, 2711, 2711, 2711, 2713, 2713, 2714, 2714, 2714, 2714, 2714, 2714, 2715, 2718, 2719, 2720, 2721, 2722, 2723, 2723, 2724, 2724, 2724, 2725, 2727, 2728, 2728, 2728, 2728, 2728, 2729, 2730, 2731, 2733, 2739, 2749, 2751, 2754, 2754, 2756, 2756, 2758, 2758, 2759, 2759, 2760, 2761, 2761, 2762, 2765, 2770, 2770, 2772, 2774, 2777, 2778, 2779, 2780, 2781, 2781, 2791, 2794, 2795, 2797, 2797, 2799, 2799, 2800, 2802, 2803, 2813, 2817, 2845, 2852, 2854, 2858, 2859, 2860, 2862, 2882, 2885, 2888, 2913, 2914, 2922, 2922, 2922, 2923, 2923, 2923, 2924, 2924, 2946, 2962, 2967, 2967, 2967, 2968, 2982, 2983, 2984, 2985, 2985, 2985, 2990, 2990, 2995, 2995, 2996, 2998, 3005, 3057, 3089, 3091, 3167, 3198, 3198, 3245, 3269, 3270, 3273, 3398, 3408, 3438, 3482, 3506, 3520, 3606, 3756, 3756, 3757, 3759, 3759, 3759, 3761, 3762, 3762, 3763, 3764, 3765, 3765, 3770, 3771, 3771, 3888, 3960, 4029, 4075, 4081, 4081, 4096, 4107, 4114, 4189, 4223, 4224, 4226, 4253, 4255, 4256, 4256, 4269, 4283, 4297, 4316, 4473; war with the Ottoman Empire, 811; treaty with Morocco, 824; and North Africa, 827, 1129, 1135, 2418, 2426, 2431, 2431, 2431; treaty with Algiers, 828; treaties with Tripoli, 828; treaty with Tunis, 828; and India, 834, 835, 835, 835, 835, 835, 835, 835, 835, 835, 836, 836, 836, 836, 836, 1394, 1394, 1394,



1394, 1394, 1394, 1394, 1394, 1394, 1394, 1394, 1395, 1395, 1395, 1395, 1395, 1395, 1395, 1395, 1396, 1396, 1396, 1396, 1396, 1397, 1397, 1397, 1398, 1398, 1398, 1398, 1400, 2432, 2432, 2432, 2432, 2432, 2433, 2433, 2433, 2433, 2433, 2435, 2437, 2438, 2439, 2440, 2441, 2441, 2442, 2443, 2444, 2445, 2446, 2446, 2446, 2447, 2447, 2759, 3951, 3951, 3951, 3952, 3952, 3953, 3953, 3953, 3956, 3966; and Ceylon, 836, 4026, 4027; and Southeast Asia, 838, 840, 841, 841, 841, 842, 842, 1402, 1412, 1412, 1412, 1412, 1413, 1413, 1413, 1414, 2448, 2448, 2448, 2449, 2451, 2452, 2455, 2455, 2455, 2455, 2457, 4064, 4064, 4118, 4119, 4119, 4130; and China, 853, 1415, 1416, 1416, 1416, 1417, 1417, 1417, 1417, 1418, 1418, 1423, 1423, 1424, 1427, 1427, 2461, 2464, 2465, 2467, 2467, 2469, 2471, 2471, 2479, 2480, 2481, 2481, 2483, 4144; and Pacific Islands, 866, 866, 866, 970, 1476, 1476, 1477, 1477, 1477, 1477, 1478, 1478, 1478, 1478, 1478, 1478, 1478, 1479; and Philippines, 868, 868, 1480, 1481; and Africa, 873, 874, 874, 875, 876, 877, 877, 891, 891, 969, 970, 973, 1119, 1121, 1123, 1124, 1162, 1506, 1511, 1513, 1513, 1514, 1514, 1514, 1515, 1515, 1516, 1516, 1516, 1516, 1516, 1516, 1516, 1516, 1516, 1516, 1517, 1517, 1517, 1517, 1517, 1517, 1517, 1518, 1519, 1519, 1519, 1520, 1520, 1522, 1522, 1522, 1524, 1524, 1526, 1527, 1527, 1529, 1531, 1531, 1532, 1536, 1537, 1540, 1544, 1547, 1547, 1547, 1548, 1548, 1548, 1549, 1549, 1549, 1550, 1550, 1550, 1550, 1550, 1551, 1551, 1551, 1551, 1551, 1552, 1552, 1552, 1552, 1552, 1552, 1552, 1553, 1553, 1554, 1554, 1555, 1555, 1555, 1555, 1556, 1556, 1557, 1561, 1561, 1561, 2554, 2554, 2558, 2559, 2560, 2561, 2561, 2563, 2563, 2563, 2564, 2565, 2565, 2572, 2580, 2644, 4332, 4343, 4343, 4344, 4367, 4390, 4390, 4399, 4408, 4429, 4467, 4477; and Latin America, 906, 906, 907, 1642, 1644, 1644, 1644, 1644, 1647, 1656, 1657, 1658, 1658, 1658, 1659, 1659, 1659, 1663, 1665, 1668, 1670, 1671, 1675, 1675, 1676, 1677, 1677, 1677, 1680, 1680, 1683, 1683, 1683, 1684, 1686, 1691, 1695, 2242, 2245, 2252, 2270, 2299, 2299, 2299, 2603, 2678, 2679, 2698, 2791, 2801; and North America, 907, 919, 931, 939, 939, 939, 939, 940, 940, 940, 940; and Americas, 911, 917; and French and Indian War, 940; and American colonies, 941, 941, 941, 942, 943, 943; and American Revolution, 946, 946, 946, 947, 947, 947, 948, 948, 950, 950, 950, 951, 951, 951, 951; and U.S., 951, 952, 952, 1099, 1565, 1565, 1569, 1569, 1570, 1570, 1571, 1571, 1571, 1573, 1574, 1574, 1576, 1576, 1578, 1583, 1625, 1625, 1628, 1628, 1641; 1800–1914, 953, 953; and Asia, 968, 969, 969, 969, 969, 969, 971, 972, 973, 975, 2493, 2501, 2521, 2634; and Middle East, 974, 977, 1329, 1334, 1340, 1342, 1347, 2317, 2346, 2346, 2351, 2352, 2352, 2352, 2353, 2354, 2355, 2356, 2358, 2360, 2365, 2366, 2366, 2366, 2368, 2377, 2377, 2378, 2382, 2383, 2383, 2383, 2395, 2396, 2396, 2397, 2397, 2397, 2397, 2397, 2397, 2398, 2399, 2399, 2400, 2400, 2401, 2402, 2403, 2404, 2405, 2406, 2406, 2406, 2408, 2408, 2408, 2408, 2410, 2410, 2410, 2413, 2415, 2415, 2636, 2764, 2764, 2766, 2769, 2769, 2779, 3769, 3771, 3771, 3782, 3784, 3832, 3838, 3854, 3855, 3855, 3856, 3891, 3892, 3892, 3892, 3897, 3897, 3897; and blockade of trade, 1026, 1026; and South Africa, 1121; and France, 1141, 1158, 1181, 1912; WWI, 1141,

[1640](#), [1641](#), [1738](#), [1738](#), [1738](#), [1738](#), [1738](#), [1740](#), [1741](#), [1741](#), [1741](#), [1743](#), [1743](#), [1744](#), [1744](#), [1746](#), [1746](#), [1748](#), [1748](#), [1748](#), [1748](#), [1749](#), [1749](#), [1749](#), [1750](#), [1750](#), [1750](#), [1751](#), [1751](#), [1751](#), [1751](#), [1751](#), [1752](#), [1752](#), [1752](#), [1752](#), [1753](#), [1753](#), [1753](#), [1753](#), [1754](#), [1754](#), [1754](#), [1754](#), [1755](#), [1757](#), [1757](#), [1758](#), [1758](#), [1758](#), [1762](#), [1762](#), [1763](#), [1764](#), [1764](#), [1764](#), [1764](#), [1765](#), [1765](#), [1765](#), [1766](#), [1766](#), [1767](#), [1767](#), [1767](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1769](#), [1769](#), [1770](#), [1770](#), [1771](#), [1772](#), [1778](#), [1780](#), [1780](#), [1780](#), [1781](#), [1781](#), [1782](#), [1783](#), [1784](#), [1784](#), [1784](#), [1784](#), [1788](#), [1789](#), [1789](#), [1791](#), [1791](#), [1795](#), [1795](#), [1796](#), [1797](#), [1800](#), [1801](#), [1801](#), [1801](#), [1801](#), [1805](#), [1809](#), [1809](#), [1810](#), [1810](#), [1811](#), [1812](#), [1812](#), [1812](#), [1812](#), [1813](#), [1971](#), [2498](#), [2498](#), [2530](#), [2554](#), [2554](#), [2555](#), [2565](#), [2565](#), [2568](#), [2574](#); and South African War, [1162](#), [1558](#); and Ireland, [1170](#), [1839](#), [1839](#), [1858](#), [1859](#), [1860](#), [1861](#), [1861](#), [1862](#), [1862](#), [1863](#), [1863](#), [1863](#), [1872](#), [1873](#), [1874](#), [1874](#), [1877](#), [1878](#), [2787](#), [2806](#), [2808](#), [2811](#); and Germany, [1236](#), [1237](#), [1237](#), [1237](#); and Poland, [1268](#), [1838](#), [1838](#), [1838](#), [1838](#), [1838](#), [1838](#), [1915](#), [2124](#), [2124](#), [2124](#), [2124](#); and Greece, [1274](#), [1275](#), [1278](#), [1278](#), [1278](#), [2154](#), [2155](#), [2157](#), [2157](#), [2158](#), [3207](#), [3207](#), [3207](#), [3211](#); Osborne Pact, [1312](#); and Damascus affair, [1332](#); and slave trade, [1333](#), [1506](#), [1506](#), [1513](#); and Crimean War, [1334](#); and Cyprus, [1344](#), [1843](#), [3806](#), [3807](#), [3807](#), [3807](#), [3808](#); occupation of Egypt, [1346](#), [1366](#), [1372](#), [1372](#), [1372](#); and Sinai, [1347](#); and Iran, [1349](#), [1350](#), [1350](#), [1350](#), [1351](#), [1351](#), [1351](#), [1351](#), [1352](#), [1353](#); and Afghanistan, [1354](#), [1354](#), [1354](#), [1355](#), [1355](#), [1355](#), [1356](#), [1356](#); wars with Afghanistan, [1354](#), [1355](#), [1355](#), [1395](#), [1398](#); and Arabia, [1358](#), [1359](#), [1360](#), [1360](#), [1360](#), [1361](#), [1361](#), [1361](#), [1362](#), [1362](#), [1362](#), [1363](#), [1364](#); and Egypt, [1366](#), [1367](#), [1372](#), [1372](#), [1372](#), [1372](#), [1372](#), [1373](#), [1373](#), [1373](#), [1374](#), [1374](#), [1374](#), [1374](#), [1377](#); and Suez Canal, [1370](#), [1371](#); and Morocco, [1375](#), [1376](#); and Algeria, [1381](#), [1381](#); and Tunisia, [1385](#), [1387](#), [1389](#), [1390](#), [1390](#); and Libya, [1392](#), [1393](#), [3947](#), [3947](#), [3947](#); and Nepal, [1394](#); and Burma, [1395](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1403](#), [1403](#), [1404](#), [1420](#), [4048](#), [4048](#); wars with Burma, [1398](#); and Siam, [1405](#), [1405](#), [1406](#), [1407](#), [1407](#), [1408](#), [1410](#), [1411](#); and Malaya, [1410](#), [4104](#), [4104](#), [4104](#), [4105](#); and Opium War, [1415](#), [1416](#), [1416](#); and Sino-Japanese War, [1420](#); and Boxer Uprising, [1424](#); and Korea, [1430](#), [1431](#), [1436](#), [1454](#), [4195](#), [4195](#); and Japan, [1436](#), [1437](#), [1438](#), [1439](#), [1442](#), [1442](#), [1443](#), [1444](#), [1446](#), [1447](#), [1450](#), [1456](#), [1462](#), [1463](#), [1469](#); and Vietnam, [1473](#); and Australia, [1487](#), [1487](#), [1487](#), [1488](#), [1489](#), [1489](#), [1490](#), [1490](#), [1492](#), [1494](#), [1495](#), [1496](#), [1496](#), [1497](#), [1498](#), [2541](#), [2549](#), [2697](#), [4295](#), [4312](#); and New Zealand, [1500](#), [1500](#), [1500](#), [1500](#), [1500](#), [1500](#), [1501](#), [1502](#), [1502](#), [1502](#), [1503](#), [1503](#), [1503](#), [1503](#), [1505](#), [2551](#), [2551](#), [2551](#), [4314](#), [4315](#); war with France, [1565](#); and War of 1812, [1571](#), [1572](#), [1623](#), [1623](#), [1623](#), [1623](#), [1624](#); and U.S. Civil War, [1586](#); and Alaska boundary, [1613](#); and Canada, [1623](#), [1629](#), [1638](#), [2217](#), [2217](#), [2224](#), [2226](#), [2227](#), [2228](#), [2229](#), [2232](#), [2232](#), [2233](#), [3443](#), [3444](#), [3445](#); disfranchise of Chinese in Canada, [1632](#); London Naval Conference, [1698](#); between Wars, [1814](#), [1817](#), [1822](#), [1822](#), [1824](#), [1824](#), [1830](#), [1832](#), [1832](#), [1833](#), [1833](#), [1833](#), [1834](#), [1834](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1837](#), [1837](#), [1837](#), [1839](#), [1839](#), [1839](#), [1839](#), [1842](#), [1842](#), [1843](#), [1844](#), [1846](#), [1847](#), [1848](#), [1849](#), [1849](#), [1850](#), [1850](#), [1852](#), [1852](#),

[1853](#), [1853](#), [1915](#); Great Depression, [1814](#); WWII, [1814](#), [1853](#), [1853](#), [1854](#), [1854](#), [1854](#), [1855](#), [1915](#), [1994](#), [2233](#), [2233](#), [2483](#), [2483](#), [2485](#), [2521](#), [2521](#), [2523](#), [2523](#), [2549](#), [2553](#), [2556](#), [2556](#), [2557](#), [2584](#), [2584](#), [2584](#), [2584](#), [2585](#), [2585](#), [2585](#), [2585](#), [2585](#), [2586](#), [2586](#), [2586](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2587](#), [2589](#), [2589](#), [2589](#), [2590](#), [2590](#), [2590](#), [2590](#), [2590](#), [2591](#), [2591](#), [2591](#), [2591](#), [2591](#), [2591](#), [2591](#), [2592](#), [2593](#), [2593](#), [2593](#), [2593](#), [2593](#), [2595](#), [2596](#), [2598](#), [2599](#), [2604](#), [2604](#), [2604](#), [2604](#), [2605](#), [2605](#), [2605](#), [2605](#), [2606](#), [2606](#), [2606](#), [2607](#), [2608](#), [2608](#), [2608](#), [2609](#), [2610](#), [2611](#), [2611](#), [2611](#), [2612](#), [2612](#), [2612](#), [2612](#), [2612](#), [2612](#), [2612](#), [2612](#), [2613](#), [2613](#), [2613](#), [2614](#), [2614](#), [2615](#), [2615](#), [2615](#), [2617](#), [2617](#), [2617](#), [2618](#), [2619](#), [2619](#), [2619](#), [2619](#), [2620](#), [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2621](#), [2622](#), [2623](#), [2624](#), [2624](#), [2624](#), [2624](#), [2625](#), [2625](#), [2625](#), [2625](#), [2626](#), [2626](#), [2626](#), [2626](#), [2626](#), [2627](#), [2627](#), [2631](#), [2631](#), [2631](#), [2632](#), [2632](#), [2632](#), [2632](#), [2818](#); culture, [1816](#), [1839](#), [1839](#); losses in WWI, [1839](#); and Belgium, [1882](#); and Spain, [1912](#), [1929](#), [1930](#), [1932](#), [1932](#), [1932](#); and Free French, [1916](#); and Portugal, [1934](#), [1939](#), [1939](#); and Italy, [1952](#), [1953](#), [1954](#), [1958](#), [1958](#), [1961](#); WWII, declaration of war, [1992](#); British Royal Air Force, [1994](#); and Austria, [2005](#), [2011](#); and Czechoslovakia, [2020](#), [2020](#), [2021](#); and Hungary, [2027](#); and Norway, [2047](#); and Finland, [2058](#); and Iceland, [2060](#), [2060](#), [3086](#); and Baltic region, [2088](#), [2089](#), [2091](#), [2102](#); and Balkan Peninsula, [2138](#), [2170](#), [2176](#), [2184](#), [2185](#), [2185](#), [2802](#); and Newfoundland, [2236](#); and Mexico, [2293](#), [2295](#); and Ottoman Empire, [2321](#); and Turkey, [2324](#); and Palestine, [2385](#), [2385](#), [2386](#), [2386](#), [2386](#), [2387](#), [2388](#), [2388](#), [2388](#), [2388](#), [2389](#), [2389](#), [2389](#), [2390](#), [2391](#), [2391](#), [2391](#), [2391](#), [2391](#), [2392](#), [2393](#), [2393](#), [2394](#), [2638](#), [3771](#); colonialism, [2554](#), [2554](#), [2554](#), [2558](#), [2559](#); and Ethiopia, [2564](#); WWII losses, [2587](#), [2589](#), [2591](#); WWII merchant tonnage, [2604](#), [2604](#); WWII settlement, [2635](#); and South Asia, [2636](#), [3950](#), [3950](#); and postwar colonialism, [2636](#), [2636](#), [2636](#), [2651](#), [2652](#), [2656](#), [2663](#), [2767](#), [2770](#), [2777](#), [2781](#), [3768](#), [4320](#), [4321](#), [4324](#); postwar, [2637](#), [2645](#), [2649](#), [2758](#), [2758](#), [2762](#), [2763](#), [2767](#); cold war, [2651](#), [2654](#), [2655](#), [2655](#), [2660](#); cost of WWII, [2700](#); WWII loss, [2758](#); postwar economy, [2758](#); women, [2760](#); taking of railways, [2761](#); Korean War, [2763](#); Common Market, [2773](#), [2774](#), [2774](#), [2778](#), [2783](#), [2784](#); and Northern Ireland, [2781](#), [2781](#), [2781](#), [2783](#), [2785](#), [2785](#), [2786](#), [2787](#), [2797](#), [2798](#), [2800](#), [2802](#), [2803](#), [2806](#), [2806](#), [2811](#), [2811](#), [2813](#), [2813](#), [2815](#), [2815](#), [2816](#), [2817](#); and Russia, [2784](#); social services, [2798](#); and Falklands, [3494](#), [3494](#); and Transjordan, [3870](#); and Jordan, [3871](#), [3872](#); and Iraq, [3878](#), [3887](#), [3887](#), [3887](#), [3887](#); and Kuwait, [3896](#); and Sri Lanka, [4026](#); and Maldives, [4040](#), [4040](#); and Malaysia, [4104](#), [4114](#); and Singapore, [4105](#), [4106](#), [4117](#); and Hong Kong, [4175](#), [4175](#); and Pacific, [4284](#), [4284](#); and Kenya, [4320](#), [4408](#); and Rhodesia, [4320](#), [4467](#); and Sierra Leone, [4382](#). *See* [Anglo-American relations](#); [Anglo-Iranian relations](#); [Britain](#); [British Commonwealth of Nations](#); [England](#).

Great Buddha, statue

[384](#), [384](#).

Great Conspiracy Trial, Japan

[1469](#).  
Great Council, Ticino  
[1229](#).  
Great Depression  
*See* [depressions](#).  
Great Elobey  
[4338](#).  
Great Exhibition of 1851, London  
[984](#), [1155](#).  
Great Flood  
[84](#).  
Great Hall of the People  
[4167](#).  
Great Interregnum  
[458](#), [459](#), [546](#), [546](#).  
Great Jubilee  
[470](#).  
Great Khan, Mongol  
[374](#), [487](#), [493](#), [572](#), [572](#), [573](#).  
Great Lake of Cambodia  
[135](#).  
Great Lakes, Africa  
[883](#), [1529](#), [3448](#).  
Great Lakes, U.S.  
[18](#), [1573](#), [1580](#), [1583](#), [1625](#).  
Great London Council  
[2778](#).  
Great Man-Made River, Libya  
[3948](#).  
Great Meadows  
[940](#).  
Great Mosque, Ahmadabad  
[334](#).  
Great Mosque, Champanir  
[334](#).  
Great Mosque, Damascus  
[290](#).  
Great Mosque, Gulbarga  
[333](#).  
Great Mosque, Kilwa  
[362](#).

Great Mosque, Mecca  
[3889](#).

Great Mosque, Qayrawan  
[295](#).

Great Northern Railroad  
[1614](#).

Great Northern War  
[657](#), [762](#). *See* [Northern Wars](#).

Great Ordinance, France  
[521](#).

Great Patriotic War, Russia  
[2080](#).

Great Plains  
[28](#), [33](#), [40](#), [1589](#), [1592](#), [1594](#), [1596](#).

Great Poland, region  
[486](#), [667](#).

Great Protestation, England  
[590](#).

Great Pyramid  
[91](#), [443](#).

Great Rebellion  
*See* [Civil Wars, in England](#).

Great Schism  
[531](#), [541](#); in the Roman Catholic Church, [613](#).

Great Society program  
[3410](#).

Great South Sea  
*See* [Pacific Ocean](#).

Great Trek, South Africa  
[1551](#), [2580](#).

Great Uprising, of U.S. railroad workers  
[1597](#).

Great Wall of China  
[153](#), [367](#), [852](#), [2474](#), [4140](#).

Great Western Railway  
[1629](#).

Great Wrath  
[766](#).

Great Zab, battle of the  
[291](#).

Great Zab River

## Great Zimbabwe, Karanga stronghold

45, 349, 364, 364, 364, 364.

## Greece

1, 37, 42, 46, 66, 67, 67, 68, 70, 71, 74, 77, 77, 78, 83, 87, 87, 95, 95, 101, 101, 108, 109, 109, 110, 110, 113, 114, 114, 114, 115, 124, 124, 129, 129, 129, 131, 131, 131, 132, 158, 168, 168, 168, 168, 169, 169, 169, 170, 170, 170, 170, 171, 171, 171, 172, 172, 172, 173, 173, 174, 175, 176, 176, 176, 176, 177, 177, 178, 178, 182, 182, 182, 182, 184, 184, 184, 184, 185, 185, 186, 186, 186, 187, 189, 189, 189, 189, 189, 189, 189, 189, 190, 190, 194, 195, 197, 199, 200, 200, 202, 204, 204, 205, 206, 206, 207, 208, 208, 208, 208, 209, 209, 209, 210, 210, 211, 211, 212, 214, 216, 217, 222, 222, 222, 223, 223, 223, 224, 227, 227, 228, 229, 229, 229, 230, 232, 233, 233, 233, 233, 233, 234, 237, 237, 239, 241, 241, 242, 242, 245, 246, 246, 249, 250, 253, 260, 265, 268, 268, 276, 285, 285, 289, 297, 298, 301, 312, 314, 347, 402, 416, 427, 428, 429, 430, 432, 435, 435, 435, 437, 438, 438, 438, 438, 440, 440, 440, 440, 440, 440, 440, 441, 441, 441, 442, 457, 466, 467, 471, 474, 479, 483, 488, 488, 492, 494, 496, 496, 496, 497, 497, 502, 502, 502, 503, 503, 503, 505, 505, 505, 505, 507, 508, 508, 508, 509, 510, 510, 534, 537, 538, 558, 562, 562, 564, 564, 564, 564, 565, 565, 565, 566, 566, 566, 566, 567, 568, 568, 569, 569, 569, 580, 603, 604, 613, 955, 957, 1045, 1045, 1099, 1106, 1108, 1110, 1113, 1113, 1121, 1122, 1122, 1127, 1132, 1138, 1139, 1144, 1258, 1272, 1272, 1272, 1272, 1272, 1272, 1273, 1273, 1274, 1274, 1275, 1275, 1276, 1277, 1277, 1278, 1278, 1278, 1278, 1278, 1278, 1279, 1279, 1279, 1279, 1280, 1280, 1283, 1304, 1309, 1311, 1311, 1321, 1322, 1326, 1328, 1329, 1332, 1337, 1345, 1347, 1348, 1704, 1708, 1711, 1712, 1723, 1738, 1817, 1822, 1825, 1825, 1827, 1830, 1831, 1853, 1915, 2136, 2138, 2141, 2142, 2144, 2145, 2160, 2321, 2322, 2332, 2550, 2637, 2647, 2661, 2698, 2710, 2711, 2711, 2714, 2718, 2719, 2724, 2735, 2740, 2750, 2754, 2926, 2997, 3167, 3167, 3168, 3168, 3196, 3197, 3207, 3207, 3208, 3213, 3216, 3233, 3249, 3250, 3391, 3769, 3786, 3797, 3805, 3805, 3806, 3806, 3807, 3807, 3808, 3809, 3809, 3809, 3811, 3812; empire in the East, 532, 564; and Crete, 1132, 1280, 1282, 1346; and Bulgaria, 1136, 1308, 2149, 2164, 2170; and Balkan Wars, 1136, 1137, 1138, 1138, 1139, 1318; war of independence, 1272, 1328; wars with Ottoman Empire, 1272, 1272, 1273, 1273, 1274, 1275, 1275, 1279, 1279, 1284, 1346; and Ottoman Empire, 1272, 1328; and Albania, 1283, 1326; and Serbia, 1287, 1294; and Romania, 1318; and Macedonia, 1324, 1324; revolt in, 1367; WWI, 1742, 1742, 1742, 1743, 1743, 1743, 1743, 1743, 1744, 1744, 1744, 1745, 1758, 1758, 1758, 1758, 1758, 1758, 1759, 1759, 1788, 1788, 1797, 1806, 2144; and Italy, 1817; and Anatolia, 2144; between Wars, 2144, 2144, 2147, 2148, 2154, 2155, 2157; Republic, 2148, 2148, 2151, 3221; Great Depression, 2151; WWII, 2157, 2157, 2157, 2158, 2158, 2158, 2159, 2159, 2590, 2590, 2591, 2591, 2591, 2591, 2606, 2612, 2612, 3207, 3207; WWII settlement, 2635; postwar, 2636; post-WWII, 3207, 3208, 3208, 3208, 3210, 3210, 3215; end of civil war, 3209;

post-1960, [3216](#), [3218](#), [3219](#), [3219](#), [3219](#), [3221](#), [3223](#), [3224](#), [3225](#), [3225](#), [3228](#), [3230](#), [3230](#), [3231](#), [3231](#), [3232](#), [3232](#), [3233](#); post-1969, [3231](#). See [Greek-Turkish relations](#).

Greek Cypriots  
[3794](#), [3806](#), [3806](#), [3806](#), [3807](#), [3808](#), [3809](#), [3809](#), [3809](#), [3809](#), [3809](#), [3809](#), [3810](#), [3810](#), [3810](#).

Greek Orthodox Church  
[313](#), [412](#), [427](#), [434](#), [438](#), [438](#), [460](#), [466](#), [531](#), [531](#), [562](#), [563](#), [564](#), [566](#), [791](#), [1278](#), [1335](#), [2383](#), [2958](#), [3223](#), [3224](#), [3806](#), [3806](#); Byzantium, [433](#); Lebanon, [2379](#), [3845](#), [3847](#); Fener Patriarchate, [3799](#).

Greek Rally Party  
[3211](#).

Greek-Turkish relations  
[285](#), [289](#), [2145](#), [2145](#), [2145](#), [2147](#), [2155](#), [2320](#), [2321](#), [2321](#), [2714](#), [3209](#).

Greek-Turkish War  
[2321](#).

Greeley, Horace, journalist  
[1595](#).

Green Alliance  
[2642](#).

Green Bay  
[921](#).

Greenbrier River  
[939](#).

Greene, Nathanael, American commander  
[948](#), [951](#).

Green Environmental Party  
[2684](#).

Green Gang, Chinese underworld  
[2469](#).

Greenham Common air base  
[2792](#), [2792](#).

Greenisland, County Antrim  
[1874](#).

Greenland  
[28](#), [33](#), [278](#), [281](#), [281](#), [426](#), [426](#), [464](#), [571](#), [571](#), [571](#), [765](#), [769](#), [771](#), [992](#), [996](#), [997](#), [997](#), [2041](#), [2041](#), [2046](#), [3044](#), [3050](#), [3050](#), [3088](#); WWII, [2606](#).

Green Movement  
[2642](#).

Green Party, Austria  
[3037](#).

Green Party, Belgium

2825.  
Green Party, Germany  
2703, 3008, 3025.  
Greenpeace  
2642, 2681, 2874, 4317.  
Green Revolution  
2641, 3963, 3966, 3968, 3978.  
Greensboro, North Carolina  
3405.  
Green Shirts, Egypt  
2364.  
Greenville, treaty of  
1567.  
Greenwich  
594.  
Greenwood Housing Act, Great Britain  
1846.  
Gregoras, Nicephorus, scholar  
569.  
Gregorian calendar  
609, 687, 1020, 1450, 2066, 2327.  
Gregory, bishop of Tours  
407.  
Gregory I the Great, pope  
408, 408, 408, 408, 408, 409, 467.  
Gregory II, pope  
407, 408, 431.  
Gregory III, pope  
407, 408.  
Gregory IX, pope  
451, 458, 458, 458, 458, 469, 530.  
Gregory V, pope  
416, 417, 466.  
Gregory VI, pope  
467.  
Gregory VII, pope  
409, 444, 455, 455, 455, 455, 455, 467, 467, 467, 467, 467, 468, 468, 468, 468, 469,  
470, 505.  
Gregory X, pope  
469.  
Gregory XI, pope



[530](#).  
Gregory XII, pope  
[531](#), [533](#).  
Gregory XIII, pope  
[609](#).  
Gregory XVI, pope  
[1068](#).  
Gregory of Nazianzus, scholar  
[268](#), [401](#).  
Greifswald  
[548](#).  
Grenada, West Indies  
[666](#), [940](#), [940](#), [3474](#), [3756](#), [3759](#), [3762](#), [3762](#), [3764](#), [3764](#); and U.S., [3428](#), [3762](#),  
[3764](#).  
Grenoble  
[466](#), [597](#), [599](#).  
Grenville, George, English leader  
[941](#), [941](#).  
Grévy, Jules, French leader  
[1187](#), [1191](#), [1194](#).  
Grew, Joseph C., American diplomat  
[2625](#).  
Grew, Nehemiah  
[640](#).  
Grey, 2nd earl, Charles, British leader  
[1046](#), [1047](#).  
Grey, Edward  
[1121](#), [1130](#), [1132](#), [1136](#), [1138](#), [1140](#), [1140](#), [1141](#), [1141](#), [1769](#).  
Grey, George  
[1489](#), [1502](#), [1502](#), [1639](#).  
Grey Shirts, South Africa  
[2579](#).  
Grib, Mechislav, Belarusian leader  
[3317](#).  
Griboyedov, Alexander, playwright  
[1257](#).  
Griffin, Walter B., architect  
[2543](#).  
Griffith, Andrew, Irish leader  
[1170](#).  
Griffith, Arthur, Irish leader

[1166](#), [1863](#), [1863](#), [1864](#), [1864](#).  
Griffith, D.W., American film director  
[1707](#).  
Grijalva, Juan de, Spanish explorer  
[573](#), [901](#).  
Grimble, Arthur  
[1478](#).  
Grimké, Sarah and Angelina, U.S. reformers  
[1579](#).  
Grimm, Jakob, philologist  
[1036](#).  
Grimm, Wilhelm, philologist  
[1036](#).  
Grimmelshausen, Hans Jakob von, German writer  
[624](#).  
Grimsson, Olafur Ragnar, Icelandic leader  
[3087](#).  
Grinberg, Suzanne, women's rights activist  
[1914](#).  
Griqualand West  
[1553](#).  
Griqua people  
[890](#), [1551](#), [1551](#).  
Grisons League  
[626](#).  
Griswold v. Connecticut, U.S. Supreme Court decision  
[3412](#).  
Grito de Lares  
[1694](#).  
Grito de Yara, Cuba  
[1693](#).  
Grito de Ypiranga, Cry of Ypiranga  
[1656](#).  
Grivas, George, Cypriot leader  
[3807](#), [3809](#), [3809](#).  
Grodno  
[1794](#), [2593](#).  
Groesz, Josef, archbishop of Hungary  
[3145](#).  
Gromyko, Andrei, Russian leader  
[2727](#), [2730](#), [3271](#), [3272](#), [3280](#), [3293](#), [3298](#).

Gronchi, Giovanni, Italian leader

[2925](#), [2936](#).

Gröner, Wilhelm von, German commander

[1781](#), [1782](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 31

Groningen

[595](#), [595](#).

Gropius, Walter, architect

[1816](#), [1974](#).

Grose, Francis, British colonial administrator

[1487](#).

Groseillers, sieur de, Médart Chouart, French explorer

[921](#).

Grossbeeren, battle of

[1030](#).

Grossdeutsche Volkspartei, Austria

[1999](#).

Grosseteste, Robert, bishop of Lincoln

[446](#).

Grossfriedrichsburg

[875](#).

Grossjägerndorf, battle of

[662](#).

Grossteste, Robert, scholar

[513](#).

Gro  beta wardein

[757](#).

Grósz, Karoly, Hungarian leader

[3154](#), [3155](#).

Grote, George, English leader

[1489](#).

Grotewohl, Otto, German leader

[3011](#), [3014](#), [3015](#), [3016](#).

Grotius, Hugo, Dutch jurist

[596](#).

Grouchy, Emmanuel de  
[1033](#).

Groundnut Scheme  
[4408](#), [4408](#).

Group of Seven, economic meetings  
[2640](#), [2673](#), [2674](#), [2674](#), [2678](#), [2679](#), [2682](#), [2683](#), [2684](#), [2692](#), [2693](#), [2789](#), [4246](#).

Groups Areas Act, South Africa  
[4470](#).

Grove, Marmaduke, Chilean commmander  
[2246](#).

Groza, Petru, Romanian leader  
[3245](#), [3247](#).

Grozny  
[2756](#), [3365](#), [3366](#), [3367](#), [3370](#), [3370](#), [3371](#).

Gruenther, Alfred M., U.S. commander  
[2713](#), [2717](#).

Grundtvig, N. F. S., Danish theologian  
[1077](#).

Grünewald, Matthias, German artist  
[616](#).

Grünhain, Bohemia  
[443](#).

Grunitsky, Nicholas, Togolese leader  
[4324](#), [4386](#).

Gruzenberg, Mikhail  
[2465](#).

Gryphius, Andreas, German writer  
[624](#).

Guacari, Andrés (Andresito), Latin American leader  
[1647](#).

Guadalajara  
[903](#), [903](#), [909](#), [1653](#), [3707](#).

Guadalcanal  
[2628](#).

Guadalete, battle on the  
[419](#).

Guadalquivir River  
[228](#), [476](#).

Guadalupe Hidalgo, treaty of  
[1579](#), [1690](#).

Guadeloupe

[940](#), [1075](#).  
Guadet, French leader  
[1003](#).  
Guam  
[574](#), [954](#), [1478](#), [1598](#), [1609](#), [2211](#), [2521](#), [2531](#), [2626](#), [2630](#).  
Guanahuatebey  
[570](#).  
Guanajuato  
[911](#), [1653](#), [3709](#).  
Guangdong, China  
[2468](#), [2477](#), [2524](#).  
Guangwu, Chinese emperor  
[155](#).  
Guangxi  
[1417](#), [1417](#), [2461](#), [2470](#), [2477](#), [2485](#).  
Guangxu reign  
[1418](#), [1423](#), [1423](#).  
Guangzhou  
[155](#), [369](#), [373](#), [375](#), [853](#), [853](#), [1415](#), [1415](#), [1416](#), [1416](#), [1416](#), [1416](#), [1416](#), [1416](#), [1417](#), [1420](#),  
[1423](#), [1424](#), [2462](#), [2463](#), [2463](#), [2465](#), [2465](#), [2465](#), [2466](#), [2467](#), [2468](#), [2470](#), [2480](#),  
[2486](#), [2524](#); Commune, [2469](#).  
Guangzhou-Hankou Railway  
[2480](#).  
Guangzhouwan  
[2479](#).  
Guangzu reign  
[1424](#).  
guano  
[1670](#), [1670](#), [1670](#).  
Guantánamo Bay, Cuba  
[1693](#), [2600](#), [3725](#), [3751](#).  
Guanyin, Avaloki-tesvara  
[130](#), [158](#).  
Guan Yu, Chinese soldier  
[156](#).  
Guan Zhong, royal adviser  
[139](#), [147](#), [153](#).  
Guanzi  
[147](#).  
Guaraní Indians  
[570](#), [900](#), [906](#), [910](#), [1647](#), [1665](#), [1665](#).



Guemou  
[1510](#).

Gueorguiev, Kimon, Bulgarian leader  
[3234](#).

Guericke, Otto von, scientist  
[640](#).

Guernica  
[1930](#).

Guerra, José Gutiérrez, Bolivian leader  
[2254](#), [2254](#).

Guerra Chiquita, Cuba  
[1693](#).

Guerra dos Bárbaros  
[915](#).

Guerrero  
[570](#).

Guerrero, Lorenzo, Nicaraguan leader  
[3675](#), [3706](#), [3710](#), [3710](#).

Guerrero, Manuel Amador, Latin American leader  
[1679](#).

Guerrero, Vicente, Mexican leader  
[1653](#), [1653](#), [1687](#), [1687](#).

Guerrilla Army of the Poor, EGP  
[3654](#).

Guesde, Jules, French socialist  
[1191](#).

Gueshov, Ivan, Bulgarian leader  
[1308](#).

“guest workers”  
[2997](#).

Guevara, Ernesto “Che”, Cuban leader  
[3472](#), [3540](#), [3550](#), [3714](#), [3718](#), [3719](#), [3720](#).

Gueye, Lamine, Senegalese French deputy  
[4321](#), [4323](#).

Guffey-Snyder Bituminous Coal Stabilization Act, U.S.  
[2205](#).

Guffey-Vinson Act, U.S.  
[2206](#).

Gugiari, José, Paraguayan leader  
[2248](#), [2248](#).

Gugsa, Ras, Ethiopian leader



[2561](#).  
Guianas  
[906](#).  
Guibert of Ravenna, bishop  
[455](#).  
Guicciardini, Francesco, Florentine leader and scholar  
[536](#), [607](#).  
Guido, José María, Argentine leader  
[3485](#), [3485](#), [3485](#).  
Guido of Spoleto, king of Italy  
[409](#).  
Guienne  
[449](#), [449](#), [449](#), [451](#), [452](#), [452](#), [520](#), [520](#), [521](#), [523](#).  
Guila Naquitz, cave in Mexico  
[35](#), [40](#).  
Guildford Four  
[2812](#).  
Guilin  
[2485](#).  
Guillen, Nicolás, poet  
[3465](#).  
guillotine  
[1003](#).  
Guinea  
[359](#), [359](#), [580](#), [754](#), [873](#), [908](#), [954](#), [1507](#), [1511](#), [1511](#), [2555](#), [2555](#), [2636](#), [2644](#), [2915](#),  
[4324](#), [4324](#), [4324](#), [4326](#), [4346](#), [4346](#), [4347](#), [4347](#), [4347](#), [4347](#), [4347](#), [4347](#), [4347](#), [4350](#),  
[4351](#), [4351](#), [4382](#), [4383](#); independence, [4346](#); People's Revolutionary Republic of  
Guinea, [4347](#); student unrest, [4348](#). *See* [Guinea-Bissau](#).  
Guinea-Bissau  
[2636](#), [2671](#), [2915](#), [2916](#), [4327](#), [4347](#), [4351](#), [4351](#), [4351](#), [4351](#), [4352](#), [4379](#), [4380](#);  
independence, [4320](#), [4351](#).  
Guinea Company  
[713](#).  
Guinegate, battle of the Spurs at  
[585](#), [597](#).  
Guines  
[961](#).  
Guipozcoa  
[657](#).  
Guipúzcoa  
[725](#), [2893](#).

Guise, French royal house  
[598](#), [598](#), [599](#), [599](#).

Guise, duke of, François de Lorraine  
[588](#), [608](#).

Pella, Guiseppe, Italian leader  
[2931](#).

Guisui  
[2479](#).

Guitarrero Cave, Peru  
[34](#).

Guitry, Sacha, playwright  
[1903](#).

Guizado, José Ramón, Panamanian leader  
[3638](#).

Guizhou  
[852](#), [853](#), [1417](#), [2461](#), [2476](#).

Guizot, François, French leader  
[1036](#), [1061](#), [1081](#).

Gujarat  
[48](#), [130](#), [325](#), [326](#), [327](#), [327](#), [332](#), [332](#), [333](#), [333](#), [333](#), [831](#), [832](#), [840](#), [841](#), [2439](#), [3972](#),  
[3973](#), [3973](#).

Gu Jiegang, scholar  
[2478](#).

Gujral, Inder Kumar, Indian leader  
[3986](#).

Gujrat, battle of  
[1355](#).

Gu Kaizhi, Chinese artist  
[158](#).

Gulbarga  
[333](#), [830](#).

Gulf Coast  
[54](#), [905](#), [905](#).

Gulf Cooperation Council  
[3784](#), [3898](#), [3899](#).

Gulf of Aqaba  
[1347](#), [3770](#), [3875](#).

Gulf of Arta  
[1277](#).

Gulf of Artemisium  
[189](#).

Gulf of California  
[903](#), [904](#).

Gulf of Carpentaria  
[1489](#), [1493](#).

Gulf of Corinth  
[168](#), [192](#), [192](#), [194](#), [810](#), [1273](#), [1274](#), [1277](#).

Gulf of Finland  
[461](#), [631](#).

Gulf of Guayaquil  
[898](#), [898](#).

Gulf of Lamia  
[1277](#).

Gulf of Maine  
[2638](#).

Gulf of Mexico  
[54](#), [574](#), [922](#), [2226](#), [3703](#).

Gulf of Nicoya  
[895](#).

Gulf of Patras  
[603](#).

Gulf of Sidra  
[3948](#).

Gulf of St. Lawrence  
[920](#), [1640](#).

Gulf of Tonkin Resolution  
[3409](#), [3420](#).

Gulf of Volo  
[1277](#).

Gulf Oil Company  
[3568](#).

Gulf States  
[3896](#), [3899](#), [4416](#).

Gulf War  
[2879](#).

Gulistan, treaty of  
[1349](#).

Gulleh, Ishma'il Omar, Djibouti leader  
[4393](#).

Gullu Agop  
*See* [Agop ~Vartovyan, theater director](#).

Gulnabad, battle of

816.  
Gumbinnen, battle of  
1792.  
Gumede, J. T., South African leader  
2578.  
Gunaga dynasty  
327.  
gun control, U.S.  
3430.  
Gunda  
326.  
Gunderic, Vandal leader  
404.  
Gundibald, Burgundian leader  
405.  
Gundicar, Burgundian leader  
405.  
Gungunhana, African leader  
1548.  
gunpowder  
156, 281, 282, 443.  
Gunpowder Plot, England  
589.  
Guo Shoujing, instrument maker  
375.  
Guo Xi, artist  
373, 375.  
Guo Xiang, Chinese scholar  
158.  
Gupta dynasty  
73, 75, 130, 130, 131, 131, 131, 133, 133, 276, 324, 325.  
Gurgan  
297.  
Gurindji people, Australia  
4303.  
Gurjara dynasty  
325, 327, 327.  
Gurjara-Pratihara dynasty  
325, 325, 325.  
Gurkha National Liberation Front, India  
3980.

Gurkhas

[853](#), [2433](#).

Gürsel, Cemal, Turkish leader

[3793](#).

Guseinov, Surat, Azerbaijani leader

[3313](#).

Gush Emunim, Israel

[3860](#).

Gusinsky, Vladimir, media owner

[3371](#).

Gustavus I, Vasa

[628](#), [628](#), [628](#).

Gustavus II Adolphus, king of Sweden

[577](#), [612](#), [620](#), [620](#), [620](#), [620](#), [620](#), [620](#), [620](#), [620](#), [628](#), [628](#), [628](#), [761](#), [932](#).

Gustavus III, king of Sweden

[761](#), [764](#), [764](#), [764](#), [764](#), [766](#).

Gustavus IV Adolphus, king of Sweden

[761](#), [764](#), [765](#), [1026](#).

Gustavus V, king of Sweden

[1250](#), [2048](#), [3062](#).

Gustavus VI Adolf, king of Sweden

[3062](#), [3064](#).

Gustloff, Wilhelm, assassin

[1968](#).

Gutenberg, Johann, printer

[542](#), [643](#).

Guterres, Antonio, Portuguese leader

[2920](#).

Guthrun the Dane

[422](#).

Gutians

[84](#), [84](#), [85](#), [85](#), [122](#).

Gutiérrez, Eulalio, Mexican leader

[2292](#), [2292](#).

Gutierrez, Gustavo, theologian

[2644](#).

Gutiérrez, Jaime Abdul, Salvadoran leader

[3666](#).

Gutiérrez, Rafael, Latin American leader

[1682](#).

Gutiérrez, Rafael López, Honduran leader

[2288](#), [2288](#), [2288](#).  
Gutiérrez, René Schick, Nicaraguan leader  
[3675](#).  
Gutiérrez Rebollo, Jesús, Mexican leader  
[3711](#).  
Gutzlaff, Karl, missionary  
[1473](#).  
Guyana  
[1675](#), [2675](#), [3636](#), [3756](#), [3756](#), [3759](#), [3760](#), [3761](#), [3766](#), [3767](#). See [British Guiana](#).  
Gu Yanwu, Chinese scholar  
[854](#), [854](#).  
Guy de Lusignan, Crusader  
[505](#).  
Guy I of Athens  
[505](#), [508](#).  
Guynemer, George, French pilot  
[1766](#).  
Guy Verhofstadt, Belgian leader  
[2825](#).  
Guzmán, Abimael, Peruvian leader  
[3561](#).  
Guzmán, Antonio, Dominican leader  
[3742](#).  
Guzmán, Antonio Leocadio, Latin American leader  
[1675](#).  
Guzmán, Fernando, Latin American leader  
[1683](#).  
Guzman, Jacobo Arbenz, Guatemalan leader  
[2278](#).  
Guzmán, Luisa María de, mother of Afonso of Portugal  
[727](#), [727](#).  
Guzmán, Nuño de, Spanish colonial administrator  
[903](#), [903](#), [903](#).  
Guzmán Blanco, Antonio, Latin American leader  
[1675](#), [1675](#), [1675](#).  
Guzmán Reynoso, Abimael, Peruvian leader  
[3555](#).  
Gwalior  
[324](#), [325](#), [331](#).  
Gwandu  
[1519](#).

Gwinner, Arthur von, German financier  
[1133](#).  
Gyges, ruler of Lydia  
[95](#), [114](#), [114](#), [177](#).  
Gyldenløve, Ulrik Frederik, stadholder of Norway  
[772](#).  
Gylippus, Spartan commander  
[197](#).  
Gyllenborg, Carl  
[763](#).  
Gy[!]  
ki, monk  
[384](#).  
Gypsies  
[1814](#).  
Gytheum  
[192](#).  
Gyula, fortress  
[796](#).

## H

Haakon I, the Good  
[464](#).  
Haakon IV, king of Norway  
[464](#).  
Haakon V, king of Norway  
[464](#).  
Haakon VI, king of Norway  
[553](#), [553](#).  
Haakon VII, king of Norway  
[1249](#), [2043](#), [3057](#).  
Haardraade, Harald  
*See [Harald III Haardraade, king of Norway](#).*  
habeas corpus  
[681](#), [1168](#).  
Habeas Corpus Act, England  
[676](#).  
Haber, Fritz, chemist  
[987](#), [2245](#).  
Habesh, Abyssinia  
[795](#).

Habib, Iranian poet

[813](#).

Habib al-Sa‘d, Lebanese leader

[2380](#).

Habibie, Bacharuddin Jusuf, Indonesian leader

[4137](#), [4137](#).

Habibullah Ghazi, claimant of Afghanistan throne

[2348](#).

Habibullah Khan, amir of Afghanistan

[1356](#), [1356](#), [1751](#).

Habicht, Theodor, Nazi leader

[2007](#).

Habomai Island

[4231](#).

Habré, Hissène, Chadian leader

[4336](#), [4336](#), [4336](#), [4381](#).

Habsburg dynasty

[459](#), [507](#), [524](#), [540](#), [540](#), [540](#), [540](#), [540](#), [541](#), [542](#), [542](#), [542](#), [546](#), [546](#), [546](#), [550](#), [575](#), [598](#), [599](#), [607](#), [609](#), [610](#), [613](#), [613](#), [615](#), [615](#), [617](#), [624](#), [626](#), [633](#), [634](#), [634](#), [634](#), [635](#), [635](#), [635](#), [635](#), [636](#), [657](#), [657](#), [659](#), [660](#), [735](#), [736](#), [736](#), [737](#), [742](#), [742](#), [744](#), [757](#), [757](#), [757](#), [758](#), [758](#), [758](#), [760](#), [793](#), [793](#), [793](#), [794](#), [794](#), [795](#), [796](#), [796](#), [798](#), [799](#), [799](#), [803](#), [804](#), [804](#), [804](#), [806](#), [807](#), [811](#), [826](#), [826](#), [910](#), [955](#), [1073](#), [1073](#), [1073](#), [1074](#), [1090](#), [1098](#), [1230](#), [1778](#), [1778](#), [1818](#), [1820](#), [1996](#), [2009](#), [2010](#), [2010](#), [2022](#), [2028](#), [2030](#); in Spain, [575](#), [597](#), [601](#), [602](#), [603](#), [609](#), [613](#), [613](#), [626](#), [718](#); in Austria, [578](#), [578](#); in Holland, [578](#); in Italy, [1066](#); end of monarchy, [1778](#), [1778](#), [1779](#), [1785](#).

Habyarimana, Juvenal, Rwandan leader

[4420](#), [4420](#).

Hácha, Emil, Czech leader

[2020](#), [2021](#), [3120](#).

Hached, Ferhat, Tunisian leader

[3919](#), [3940](#), [3940](#).

Hadadezer, king of Zobah

[106](#).

Hadar

[19](#), [19](#).

Hadaway, W. S., developer of electric stove

[986](#).

Hadda, treaty of

[2398](#).

Hadfield, Robert, manufacturer of steel alloys

[984](#).



Hadramawt, or Hadramaut

[128](#), [1361](#), [1361](#).

Hadrami

[128](#).

Hadrian, Roman emperor

[246](#), [246](#), [246](#), [246](#), [253](#), [253](#), [253](#), [253](#), [253](#), [253](#), [253](#), [253](#), [254](#), [260](#), [421](#), [427](#).

Hadrian, patriarch of Russia

[786](#).

Hadrian's Wall

[253](#), [253](#), [255](#), [421](#), [421](#).

Hadrumetum

[110](#).

Assad, Hafez al-, Syrian leader

[3786](#), [3841](#), [3841](#), [3841](#), [3843](#), [3843](#), [3843](#), [3843](#), [3843](#), [3843](#), [3844](#), [3844](#), [3853](#), [3863](#).

Hafiz, poet

[307](#).

Hafiz, Abd al-Halim, singer

[3912](#).

Hafiz Ibrahim, poet

[2363](#).

Hafsid dynasty

[322](#), [322](#), [322](#), [322](#), [323](#), [323](#), [323](#), [826](#), [826](#), [827](#).

Hagana, Jewish terrorists in Palestine

[2386](#), [3769](#), [3856](#).

Hagenau

[506](#).

Hagia Sophia

[315](#).

Hague, the

[974](#), [1424](#), [1641](#), [1698](#), [1710](#), [2692](#), [2707](#), [2719](#); treaty of, [715](#), [723](#); conferences, [959](#); peace conference of 1898, [970](#); peace conference of 1907, [977](#), [1131](#), [1436](#); peace conference of 1899, [1124](#); International Court of Justice, [1698](#); conference on the Young Plan, [1718](#); agreement, [2165](#); women's congress, [2187](#).

Hahn, Otto, physicist

[1730](#).

Haidalla, Mohammed Khouna, Mauritanian leader

[4364](#).

Haidar Ali, ruler of Mysore

[835](#), [835](#), [835](#), [836](#).

Haider, Joerg, Austrian leader

[2757](#), [3040](#).

Haifa

[1751](#), [2389](#), [2390](#), [2394](#), [2405](#), [3855](#), [3858](#).

Haig, Douglas

[1754](#), [1754](#), [1755](#), [1755](#), [1757](#), [1781](#).

haiku, Japanese poetry form

[859](#), [861](#).

Hail, capture of

[820](#), [1359](#), [2409](#).

Haile Selassie I, Ras Tafari

[2561](#), [2561](#), [2561](#), [2562](#), [2562](#), [2563](#), [2563](#), [2637](#), [2668](#), [2671](#), [4390](#), [4395](#).

Hailong

[2466](#).

Hainan

[2634](#), [4145](#).

Hainault

[524](#), [595](#), [595](#), [648](#).

Hainfield Congress

[1243](#).

Hainisch, Michael, Austrian leader

[1999](#).

Haiphong

[4254](#), [4254](#), [4267](#), [4268](#), [4269](#), [4273](#).

Hai Rui, Chinese leader

[851](#), [4151](#).

Hairun, sultan of North Maluku

[843](#), [843](#).

Haiti

[579](#), [719](#), [1567](#), [1643](#), [1650](#), [1693](#), [1695](#), [1695](#), [1695](#), [1695](#), [1696](#), [1696](#), [1738](#), [2315](#), [2316](#), [2686](#), [3735](#), [3745](#), [3746](#), [3748](#), [3748](#), [3748](#), [3749](#), [3750](#), [3751](#), [3752](#), [3752](#), [3753](#), [3753](#), [3753](#), [3753](#), [3754](#), [3754](#), [3755](#), [3755](#); independence of, [1696](#); republic of, [1696](#); and U.S. protectorate, [1697](#); and U.S., [2274](#), [2315](#), [2315](#), [2316](#), [2316](#), [2316](#), [2316](#), [2316](#), [3432](#), [3745](#), [3746](#), [3748](#), [3748](#), [3749](#), [3753](#), [3753](#), [3753](#), [3754](#); and Dominican Republic, [2314](#), [2316](#); WWI, [2315](#), [2315](#); WWII, [2315](#), [2316](#).

Hajek, Jiri, Czech leader

[3129](#).

Haji Agus Salim, Indonesian leader

[1414](#).

Haji Bektash, Sufi leader

[306](#).

Haji Halifa

See [Katip Chelebi](#), Ottoman scholar.

Haji Shari' at-Ullah, Indian leader  
[1395](#).

Hajj Amin al-Husayni, mufti of Jerusalem  
[2391](#).

Hajji Ali Pasha, dey of Algeria  
[1381](#).

Hajji Mirza Abu al-Hansa Khan, Iranian envoy  
[1349](#).

Hajji Mirza Aghasi, Iranian official  
[1349](#).

Hakata  
[395](#), [396](#).

Hakhamanish  
*See* [Achaemenes, Persian chieftain](#).

Hakim Muhammad, Iranian army surgeon  
[815](#).

Hakka people  
[370](#), [1417](#).

Hakluyt, Richard, English geographer  
[594](#).

Hakodate  
[1437](#), [1440](#).

Hakozaki Bay  
[395](#).

Hakuseki, Arai, Japanese scholar  
[861](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 32

Halberstadt, German plane

[1766.](#)

Haldane, viscount, Richard Burdon, British leader

[1136.](#)

Haldeman, H.R., U.S. presidential adviser

[3423.](#)

Haldi

[117.](#)

Halebid

[337, 337.](#)

Halepa, pact of

[1121, 1346.](#)

Hales, Edward

[676.](#)

Halicarnassus

[174, 186.](#)

Halicyaë

[192.](#)

Halicz, taken by Austro-German forces

[555, 1803.](#)

Adivar, Halide Edip, reformer for women's rights

[1348.](#)

Halidon Hill, battle of

[512.](#)

Halieis, battle of

[192.](#)

Halifax

[939, 1625, 2219.](#)

Halifax, earl of, Edward Frederick Lindley Wood, British leader

[1834, 1851, 1852, 2437, 2438, 2440, 2440.](#)

Halifax, earl of, George Montagu Dunk, English leader  
[939](#).

Hall, Charles M., chemist  
[984](#).

Hall, Floris van, Dutch official  
[1057](#).

Halland  
[552](#), [761](#).

Halleck, Henry W., Union commander  
[1587](#).

Haller, Albrecht von, Swiss scientist  
[647](#), [749](#).

Haller, Karl Ludwig von, political theorist  
[1035](#).

Halley, Edmund, English astronomer  
[647](#).

Hallidie, Andrew S., inventor  
[990](#).

Hall of Worthies, in Korea  
[855](#).

Hall's Bay  
[1641](#).

Hallstatt people  
[46](#).

Hallstein, Walter, Common Market leader  
[2724](#).

Hallushu-Inshushinak, king of Elam  
[122](#).

Halonen, Tarja, Finnish leader  
[3083](#).

Hals, Franz, Dutch artist  
[596](#).

Halycus River  
[204](#).

Halys River  
[111](#), [113](#), [114](#), [115](#).

Ham  
[1812](#).

Hama  
[1750](#), [1751](#), [2374](#), [3843](#).

Hamadan

[287](#), [297](#), [816](#).  
Hamad bin Khalifa al-Thani, emir of Qatar  
[3899](#).  
Hamadj dynasty  
[880](#).  
Hamaguchi Osachi, Japanese leader  
[2509](#), [2510](#), [2510](#), [2511](#).  
Hamas  
[3861](#), [3865](#), [3866](#), [3866](#), [3866](#).  
Hamath  
[87](#), [87](#), [103](#), [104](#), [105](#), [106](#), [106](#).  
Hambach Festival  
[1071](#).  
Hamburg  
[412](#), [426](#), [511](#), [548](#), [548](#), [548](#), [548](#), [622](#), [665](#), [753](#), [1096](#), [1231](#), [1237](#), [1781](#), [2621](#).  
Hamdallahi  
[1510](#), [1510](#), [1511](#).  
Hamdanid dynasty  
[297](#), [300](#), [317](#), [317](#), [317](#).  
Hamdan Qarmat, Sevener leader  
[296](#).  
Hamdullahi caliphate  
[1506](#).  
Hamid al-Din family, South Yemen  
[3891](#).  
Hamid ben Ahmad al-Busaidi, Omani commander  
[1528](#).  
Hamideli  
[310](#), [310](#).  
Hamidiye, Kurdish cavalry troops  
[1346](#).  
Hamilcar Barca, Carthaginian general  
[189](#), [220](#), [230](#), [230](#), [231](#).  
Hamilton, Alexander, U.S. leader  
[952](#), [1565](#), [1565](#), [1565](#), [1568](#).  
Hamilton, Andrew, lawyer  
[935](#).  
Hamilton, duke of, James, English general  
[593](#).  
Hamilton, Henry, British commander  
[950](#).

Hamka, writer  
[1414](#).

Hammadid dynasty  
[321](#), [321](#).

Hammamizade Ismail Dede Efendi, musician  
[1333](#).

Hammarskjöld, Dag, UN leader  
[2652](#), [2658](#), [4146](#), [4450](#).

Hammudids of Malaga  
[475](#).

Hammurapi, the Great  
[85](#), [85](#), [102](#).

Ham-nghi, emperor of Vietnam  
[1474](#).

Hamon, Joseph, son of Moshe Hamon  
[796](#).

Hamon, Moshe, Spanish-Jewish physician to the Ottoman sultans  
[796](#).

Hamon family  
[796](#).

Hampden, John, English leader  
[591](#).

Hampi  
[337](#).

Hampton, Fred, activist  
[3418](#).

Hampton Court  
[593](#); conference, [589](#).

Hampton Roads  
[1587](#).

Hamuda Bey, ruler of Tunisia  
[1381](#), [1385](#), [1385](#).

Hamzah Fansuri, Malay scholar  
[841](#).

Hamza ibn Ahmad, Druze leader  
[317](#).

Han, state  
[139](#), [148](#), [150](#), [153](#), [157](#), [1417](#), [1417](#), [1424](#), [1425](#).

Hanafi, school of Islamic law  
[293](#), [300](#), [301](#).

Hanbali, school of Islamic law





1535.

Hanno, Carthaginian general

110.

Hanoi

51, 153, 368, 397, 397, 398, 863, 1473, 1474, 1474, 1474, 1475, 2527, 2529, 2529, 2624, 4070, 4101, 4253, 4254, 4255, 4256, 4259, 4265, 4266, 4268, 4268, 4268, 4268, 4269, 4269, 4269, 4270, 4272, 4272, 4273.

Hanoi, University of

2524.

Hanover, English royal house

659, 662, 662, 662, 662, 752, 753, 1008, 1071, 1072, 1072, 1102, 1102, 1102.

Hanover, treaty of

686.

Han River

161, 377, 1429, 1430.

Hanse

1072.

Hanseatic League

460, 464, 464, 541, 548, 551, 551, 551, 551, 551, 554, 554, 554, 558, 628.

Hansen, Hans Christian, Danish leader

3045, 3045, 3045, 3046.

Hansen, I. A., Danish leader

1251.

Hanson, Howard, composer

2191.

Hans ng

161.

Hansson, Per A., Swedish leader

2049, 2050, 3062, 3062.

Hanyang

1420, 2461.

Hanyeping Company

2461.

Han Yong-un, writer

2491.

Han Yu, writer

370, 370.

Hao

138, 138, 138.

Hapiru, outlaws

103.

Hara Castle  
[860](#).

Harald II, Bluetooth  
[461](#).

Harald III Haardraade, king of Norway  
[422](#), [423](#), [464](#), [498](#), [498](#).

Harald V, king of Norway  
[3060](#).

Harappa  
[48](#), [48](#), [62](#), [66](#), [129](#).

Harar  
[1370](#).

Hara Takashi, Japanese leader  
[2489](#), [2498](#), [2501](#).

Harbin  
[1423](#), [1436](#), [1467](#), [4142](#).

Harbour Grace  
[1641](#).

Hardenberg, Karl August von  
[756](#), [1032](#).

Harder, D. S., engineer  
[2703](#).

Hardie, James Kier, English leader  
[1162](#).

Harding, Warren G., U.S. president  
[2190](#), [2191](#), [2192](#), [2192](#), [2193](#).

Hardinge, Lord, Charles, viceroy of India  
[1400](#).

Hardinge, Henry  
[1395](#).

Hardwicke Act, England  
[609](#).

Hardy, Thomas, writer  
[1839](#).

Hare-Hawes-Cutting Bill, U.S.  
[2534](#).

Hargovind, Sikh guru  
[834](#).

Hargreaves, James, inventor  
[647](#), [1034](#).

Harijans, “children of God”

[2442](#).  
Haripunjaya, Khmer kingdom  
[330](#), [342](#), [342](#).  
Haripura  
[2444](#).  
Hariri, Rafik, Lebanese leader  
[3853](#).  
Harivarman, Hindu philosopher  
[131](#).  
Harlem  
[2187](#), [3409](#).  
Harlem Heights, battle of  
[948](#).  
Harlem Renaissance  
[2191](#).  
Harmodius, assassin of Hipparchus  
[181](#).  
Harmsworth, Alfred Charles William, viscount Northcliffe  
[1816](#).  
Harnack, Adolf von, theologian  
[1144](#).  
Harney, George, English reformer  
[1050](#).  
Harold, king of England  
[422](#), [423](#), [449](#), [464](#).  
Harold I Haarfager, king of Norway  
[464](#).  
Haroutunian, Khosrov, Armenian leader  
[3308](#).  
Harpagus, Persian general  
[177](#).  
Harpalus, Macedonian noble  
[207](#), [207](#).  
Harper, Elijah, Canadian leader  
[3456](#).  
Harper's Ferry, raid on  
[1584](#).  
Harper's Monthly, U.S. periodical  
[1600](#).  
Harran  
[87](#), [88](#), [291](#).

Harriman, Edward H., U.S. industrialist  
[1614](#).

Harriman, W. Averill, U.S. diplomat  
[4270](#), [4271](#).

Harrington, James, English philosopher  
[594](#).

Harrington, John  
[584](#).

Harris, Joel Chandler, writer  
[1600](#).

Harris, Townsend, U.S. envoy  
[1439](#), [1439](#), [1442](#).

Harrison, Benjamin, U.S. president  
[1603](#), [1603](#).

Harrison, Francis B., governor of the Philippines  
[1486](#).

Harrison, Ross G., biologist  
[1154](#).

Harrison, William Henry, U.S. president  
[1571](#), [1576](#), [1605](#), [1623](#).

Harrow, founding of  
[594](#).

Harsha, ruler of northern India  
[276](#), [324](#), [324](#), [324](#), [326](#).

Harsiotef  
[99](#).

Hart, Julia Catherine, writer  
[1625](#).

Hart, Robert  
[1417](#), [1419](#), [1424](#).

Harte, Francis Bret, writer  
[1600](#).

Hartford  
[928](#), [928](#).

Hartford Convention  
[1572](#).

Hartlepool, bombardment of  
[1795](#).

Hartling, Poul, Danish leader  
[3048](#).

Hartwig, Nicholas, Russian envoy

[1136](#).  
Harun al-Rashid, Abbasid caliph  
[293](#), [293](#), [293](#), [294](#), [294](#).  
Harvard College, Cambridge  
[927](#), [1147](#).  
Harvard University  
[1730](#), [3391](#), [3705](#), [4283](#).  
Harvey, William, English anatomist  
[639](#).  
Harwich, British Grand Fleet base  
[1741](#).  
Haryana  
[3978](#), [3979](#), [3982](#).  
Harz-Goslar  
[454](#).  
Hasa  
[795](#), [803](#), [821](#), [1359](#), [1361](#), [1364](#), [3889](#).  
Hasan, grandson of Muhammad  
[288](#), [288](#).  
Hasan II, king of Morocco  
[2668](#).  
Hasan al-Banna, Muslim leader  
[2359](#), [3903](#).  
Dhahabi, Hasan al-, Egyptian leader  
[3912](#).  
Hasan al-Yusi, Moroccan scholar  
[824](#).  
Hasan ibn Buya, Buyid leader  
[298](#), [298](#).  
Hasan ibn Muhammad al-Wazzani, geographer  
[822](#).  
Hasan-i-Dihlavi, poet  
[332](#).  
Hasan-i Sabbah, Nizari leader  
[302](#).  
Hasan Nashat, Egyptian leader  
[2354](#).  
Hasan Pasha, Ottoman governor of Baghdad  
[805](#).  
Hasan Sharaf al-Din, Iranian court physician  
[815](#).

Hasanuyids  
[300](#).

Hasdrubal, Carthaginian general  
[231](#), [232](#), [232](#).

Hasegawa Yoshimichi, Japanese leader  
[2489](#).

Hashemi, Ali Akbar, Iranian leader  
[3827](#).

Hashemite (Hashimite) dynasty  
[286](#), [792](#), [820](#), [1358](#), [1366](#), [2400](#), [2411](#).

Khan, Hashim, Afghani ruler  
[2350](#).

Hashimoto Ryōtarō, Japanese leader  
[4249](#), [4249](#), [4250](#).

Hasmonean dynasty  
[214](#), [215](#).

Hassan, crown prince of Jordan  
[3862](#).

Hassan II, king of Egypt  
[3924](#).

Hassan II, king of Morocco  
[3785](#), [3920](#), [3920](#), [3921](#), [3921](#), [3921](#), [3922](#).

Hassana, Abdulkassim Salat, Somalian leader  
[4392](#), [4403](#).

Hassanal Bolkiah, sultan of Brunei  
[4118](#), [4118](#), [4118](#).

Turabi, Hassan al-, Sudanese leader  
[4392](#), [4407](#).

Hassani  
[870](#).

Hassel, Kai-Uwe von, German leader  
[2999](#).


Hastenbeck, battle of  
[662](#).

Hastings, battle of  
[423](#), [446](#), [449](#).

Hastings, Warren, British colonial administrator  
[835](#), [835](#), [835](#), [835](#).

Hata Tsutomu, Japanese leader  
[4247](#).

Hatay, republic of

[1728](#), [2333](#), [2377](#).  
Hatfield, Great Britain  
[2762](#).  
Ha Tinh  
[2525](#).  
Hatoyama Ichirō , Japanese leader  
[4229](#), [4230](#).  
Hatra  
[253](#), [272](#).  
Hats, Swedish political party  
[762](#), [763](#), [763](#), [763](#), [764](#).  
Hatshepsut, queen of Egypt  
[93](#), [98](#), [98](#).  
Hatta, Mohammed, Indonesian leader  
[2457](#), [4121](#), [4122](#), [4125](#).  
Hatti  
[111](#), [112](#), [112](#), [113](#), [113](#), [113](#), [113](#).  
Hattina  
[103](#).  
Hattusas, Boghazköy  
[113](#), [113](#), [113](#), [113](#), [113](#).  
Hattusilis I, Hittite king  
[93](#), [113](#).  
Hattusilis II, Hittite king  
[113](#).  
Hattusilis III, Hittite king  
[113](#).  
Haud  
[2564](#).  
Haughey, Charles, Irish leader  
[2809](#), [2811](#), [2812](#).  
Hausaland  
[355](#), [355](#), [355](#), [355](#), [355](#), [1510](#), [1511](#), [2558](#).  
Hausa people  
[351](#), [355](#), [355](#), [355](#), [869](#), [870](#), [870](#), [871](#), [1507](#), [1510](#), [1510](#), [1511](#), [2558](#), [4320](#), [4320](#).  
Haussman, Georges  
[1179](#).  
Hautpoul, Alphonse d', French leader  
[1083](#).  
Havana  
[666](#), [895](#), [906](#), [911](#), [911](#), [911](#), [940](#), [961](#), [1609](#), [1693](#), [2240](#), [2303](#), [2599](#), [2599](#), [2676](#),

[3471](#), [3478](#), [3714](#), [3715](#), [3716](#), [3716](#), [3725](#), [3726](#); conference, [1698](#); Resolution, [2268](#).  
Havana, University of  
[2302](#).  
Havel, Václav, Czech leader  
[2685](#), [3133](#), [3133](#), [3133](#), [3134](#), [3137](#), [3138](#).  
Havel River  
[416](#).  
Havemann, Robert, scholar  
[3016](#).  
Hawaii, U.S. state  
[52](#), [864](#), [864](#), [864](#), [864](#), [865](#), [866](#), [866](#), [954](#), [1476](#), [1476](#), [1476](#), [1476](#), [1478](#), [1598](#),  
[1601](#), [1615](#), [2211](#), [2488](#), [2531](#), [2531](#), [2600](#), [2606](#), [2626](#), [2636](#), [3404](#), [4283](#), [4292](#),  
[4293](#); republic of, [1478](#); as U.S. territory, [1478](#); annexation of, [1606](#).  
Hawaii Equal Rights Commission  
[2531](#).  
Hawatmeh, Nayef, Palestinian leader  
[3917](#).  
Hawke, Bob, Australian leader  
[4309](#), [4310](#).  
Hawkins, John  
[873](#), [923](#), [923](#).  
Hawkins, William, English envoy to India  
[832](#).  
Hawley-Smoot tariff  
[1700](#).  
Hawran  
[800](#).  
Hawthorne, Nathaniel, writer  
[1563](#), [1582](#).  
Haxey, Thomas, English leader  
[514](#), [515](#).  
Hay, John, U.S. official  
[970](#), [1424](#), [1610](#), [1610](#).  
Haya De La Torre, Victor Raúl, Peruvian leader  
[2259](#), [2260](#).  
Hayam Wuruk, Malay ruler  
[339](#).  
Hayashi Senjū, Japanese leader  
[2517](#), [2517](#).  
Hay-Bunau Varilla Treaty  
[1678](#).



Haydar, Sufi leader  
[307](#), [308](#), [308](#), [308](#).

Attas, Haydar Abu Bakr al-, Yemenite leader  
[3895](#), [3895](#).

Hayes, Rutherford B., U.S. president  
[1596](#), [1597](#), [1599](#).

Hay-Herrán Treaty  
[1673](#), [1678](#).

Haymarket Square Riot, Chicago  
[1602](#).

Hayne, Robert, U.S. leader  
[1575](#).

Hayruddin Barbarossa, Ottoman commander  
[793](#).

Haywood, William D. “Big Bill”, U.S. labor leader  
[1615](#).

Hazael, king of Damascus  
[105](#), [106](#), [106](#).

Hazor  
[100](#), [103](#), [103](#), [110](#).

Headstart program  
[3410](#).

Health and Medical Services Act, Sweden  
[3065](#).

Health and Morals of Apprentices Act, England  
[692](#).

Heartbreak Ridge, Korea  
[4196](#).

Heath, Edward, British leader  
[2723](#), [2758](#), [2776](#), [2783](#), [2787](#), [2862](#).

Heath Society, Jutland  
[1251](#).

Heavenly Emperors  
[63](#).

Heavenly Kingdom of Great Peace, China  
[1417](#).

Hebei  
[2465](#), [2474](#), [2476](#), [2476](#), [2481](#), [2513](#).

Hebei-Chahar Political Council  
[2476](#).

Hébert, Jacques, French leader

[1001](#), [1004](#), [1005](#), [1007](#).

Hebrew prophets

[68](#).

Hebrew University, Jerusalem

[2389](#).

Hebrides Islands

[426](#), [464](#).

Hebron

[104](#), [3863](#), [3863](#), [3866](#).

Hecataeus of Miletus, Greek historian

[176](#).

Hecatomnus, satrap of Caria

[201](#).

Hedtoft, Hans, Danish leader

[3042](#), [3044](#), [3045](#).

Hefei

[4166](#).

Hegedus, Andras, Hungarian leader

[3147](#).

Hegel, Georg W. F., philosopher

[1035](#), [1036](#), [1036](#), [2520](#).

Hehe people

[1529](#).

Heian, Kyoto

[385](#).

Heian Buddhism

[385](#).

Heian period, Japan

[385](#), [385](#), [389](#), [391](#), [393](#).

Heidegger, Martin, philosopher

[1815](#).

Heidelberg

[1096](#).

Heihachir , shio, Japanese leader

[1437](#).

Heij , Nara

[384](#).

Heike

[386](#).

Heilongjiang

[378](#).

## Heimwehr, Austria

[2003](#), [2004](#), [2005](#), [2007](#), [2008](#), [2008](#), [2008](#), [2009](#), [2009](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 33

- Heine, Heinrich, poet  
[1037.](#)
- Heinemann, Gustav, German leader  
[3005.](#)
- Heinkel, airplane  
[1736.](#)
- Heinz-Orbis, president of Palatinate  
[1979.](#)
- Heisenberg, Werner Karl, physicist  
[1729.](#)
- Hejaz  
[839.](#)
- Hekmatyar, Gulbuddin, Afghan leader  
[3834.](#)
- Helena, Byzantine empress  
[437.](#)
- Helena, mother of Constantine I  
[268, 505.](#)
- Helena, wife of Constantius I  
[261, 262.](#)
- Hélène Louis of Mecklenburg-Shwerin, mother of count of Paris  
[1081.](#)
- Helfferich, Karl, German leader  
[1770.](#)
- Heligoland  
[1032, 1116, 1784, 1795, 1810, 1971.](#)
- Heliogabalus  
*See* [Elagabalus, Roman emperor.](#)
- Heliopolis  
[89, 90, 287, 810.](#)

Heliopolitan priesthood

[91](#).

Helladic culture

[170](#), [170](#), [170](#), [170](#), [170](#), [171](#), [171](#), [171](#), [171](#), [171](#).

Hellas

*See* [Greece](#).

Hellenic League

[189](#), [191](#), [205](#), [209](#), [211](#), [211](#).

Hellenism

[77](#), [77](#), [77](#), [80](#), [279](#), [427](#), [1306](#), [1322](#).

Hellenistic Age

[129](#), [130](#), [168](#), [197](#), [207](#), [208](#), [208](#), [208](#), [208](#), [208](#), [208](#), [214](#), [219](#), [239](#).

Hellespont

[168](#), [172](#), [177](#), [178](#), [200](#), [203](#), [206](#), [233](#), [441](#).

Helmholtz, Hermann, scientist

[1040](#), [1151](#).

Helmont, Jan Baptista van, French chemist

[639](#).

Helsingborg

[548](#), [551](#).

Helsinki, Helsingfors

[767](#), [1080](#), [1080](#), [1254](#), [2637](#), [2672](#), [2756](#), [3284](#), [3805](#); Conference, [3008](#); Conference and Accords, [3079](#).

Helsinki, University of

[2055](#).

Helsinki Accords

[2637](#), [3132](#), [3287](#).

Helsinki Watch Committees

[2637](#).

Helvetian Republic

[1017](#).

Helvetic Committee, Paris

[750](#).

Helvetic Republic

[750](#), [751](#).

Helvetic Society, Swiss organization

[749](#).

Hemachandra, Jain monk

[331](#).

Hemingway, Ernest, writer

[2191](#).

Henan

[138](#), [140](#), [369](#), [2465](#), [2477](#).

Henare Matua, Maori leader

[1503](#).

Henderson, Arthur, British leader

[1847](#).

Henderson, Richard, American pioneer

[941](#).

Henderson, Thomas, astronomer

[1040](#).

Heng Samrin, Cambodian leader

[4275](#).

Henlein, Konrad, Czech leader

[1835](#), [2016](#), [2019](#), [2020](#), [2020](#), [3120](#).

Henna

[234](#).

Hennepin, Louis, French explorer

[921](#).

Hennibique, François, engineer

[984](#).

Henri, grand duke of Luxembourg

[2837](#).

Henriette Marie, wife of Charles I of England

[590](#), [590](#).

Henri Konan Bédié, Ivory Coast leader

[4327](#), [4353](#), [4353](#), [4353](#), [4353](#).

Henrique, bishop and son of Alfonso I

[885](#).

Henry, brother of Charles IX of France (and later Henry III of France)

[599](#).

Henry, cardinal and later king of Portugal

[605](#), [605](#), [605](#).

Henry, duke of Austria

[456](#).

Henry, duke of Guise

[599](#).

Henry, duke of Mecklenburg-Schwerin

[1176](#).

Henry, king of Paris

See [Henry, duke of Guise](#).

Henry, king of the Romans

[457](#), [458](#), [458](#), [458](#).  
Henry I, duke of Bavaria  
[416](#).  
Henry I, the Fowler  
[415](#), [415](#), [415](#), [416](#), [417](#), [456](#), [472](#), [483](#).  
Henry I, king of England  
[444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [449](#), [455](#), [455](#).  
Henry I, king of France  
[449](#), [449](#), [454](#), [488](#).  
Henry I, Latin emperor  
[508](#), [508](#), [508](#).  
Henry II, Holy Roman emperor  
[417](#), [417](#), [454](#), [486](#).  
Henry (Enrique) II, king of Castile  
[525](#), [525](#), [525](#).  
Henry II, king of England  
[425](#), [425](#), [425](#), [425](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [448](#), [448](#), [449](#), [450](#), [450](#), [505](#).  
Henry II, king of France  
[598](#), [598](#), [608](#), [615](#).  
Henry III, the Black  
[454](#), [454](#), [454](#), [454](#), [466](#), [466](#), [466](#), [467](#), [484](#), [486](#), [492](#).  
Henry III, king of England  
[445](#), [445](#), [445](#), [445](#), [445](#), [446](#), [446](#), [446](#), [448](#), [459](#), [459](#), [459](#), [513](#).  
Henry III, king of France  
[445](#), [599](#), [599](#), [633](#).  
Henry IV, Holy Roman emperor  
[454](#), [454](#), [454](#), [454](#), [454](#), [455](#), [455](#), [455](#), [455](#), [467](#), [467](#), [467](#), [468](#), [468](#), [468](#), [468](#), [468](#),  
[484](#), [486](#).  
Henry (Enrique) IV, king of Castile  
[525](#), [525](#).  
Henry IV, king of England  
[513](#), [514](#), [514](#), [514](#).  
Henry IV, king of France  
[598](#), [599](#), [599](#), [599](#), [599](#), [599](#), [599](#), [603](#), [609](#), [612](#).  
Henry V, Holy Roman emperor  
[444](#), [449](#), [455](#), [455](#), [455](#), [455](#), [455](#), [455](#), [468](#), [468](#), [468](#), [486](#).  
Henry V, king of England  
[514](#), [514](#), [515](#), [519](#), [522](#), [522](#).  
Henry VI, Holy Roman emperor  
[444](#), [456](#), [457](#), [457](#), [457](#), [457](#), [457](#), [457](#), [460](#), [471](#), [471](#), [503](#), [505](#), [507](#).  
Henry VI, king of England

[515](#), [515](#), [515](#), [515](#), [515](#), [515](#), [515](#), [515](#), [515](#), [515](#), [516](#), [522](#).  
Henry VII, Holy Roman emperor  
[530](#), [533](#), [534](#), [540](#), [540](#), [540](#), [544](#), [546](#).  
Henry VII, king of England  
[516](#), [516](#), [585](#), [585](#), [585](#), [585](#).  
Henry VIII, king of England  
[513](#), [585](#), [585](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [586](#), [587](#), [587](#), [588](#), [589](#),  
[597](#), [597](#), [607](#), [607](#), [615](#), [616](#), [682](#).  
Henry X the Proud, duke of Bavaria  
[456](#).  
Henry, Hubert Joseph, French soldier  
[1195](#).  
Henry, Joseph, scientist  
[1039](#).  
Henry, Patrick, American leader  
[941](#).  
Henry of Bolingbroke  
*See* [Henry IV, king of England](#).  
Henry of Bourbon  
*See* [Henry IV, king of France](#).  
Henry of Burgundy, count of Portugal  
[476](#), [480](#).  
Henry of Langenstein, scholar  
[531](#).  
Henry of Luxemburg  
*See* [Henry VII, Holy Roman emperor](#).  
Henry of Navarre  
*See* [Henry IV, king of France](#).  
Henry of Valois  
*See* [Henry III, king of France](#).  
Henry Probus, king of Poland  
[487](#).  
Henry Raspe, duke of Thuringia  
[459](#), [459](#).  
Henry Street Settlement, New York City  
[1603](#).  
Henry the Lion, duke of Saxony  
[444](#), [456](#), [456](#), [456](#), [456](#), [457](#), [457](#), [460](#), [486](#).  
Henry the Navigator, explorer  
[281](#), [281](#), [528](#).  
Henry the Proud, duke of Bavaria



[456](#).  
Henry the Wrangler, duke of Bavaria  
[416](#), [417](#), [417](#).  
Hentsch, Richard, German soldier  
[1789](#).  
Henty, Edward, settler in Victoria  
[1489](#).  
Hepat  
[112](#).  
Hepburn, Mitchell Frederick, Canadian leader  
[2232](#).  
Hepburn Act, U.S.  
[1614](#).  
Hephaestion, Macedonian commander  
[207](#).  
Hephthalites  
[273](#), [273](#), [273](#), [273](#), [273](#), [274](#).  
Heptarchy  
[421](#), [421](#), [421](#).  
Heraclea  
[227](#), [302](#).  
Heracleon, murderer of Antiochus VIII  
[215](#).  
Heracleopolis  
[89](#), [91](#), [92](#).  
Heracles  
[173](#), [174](#).  
Heraclian dynasty  
[430](#).  
Heraclidae  
[173](#), [174](#).  
Heraclitus, Greek philosopher  
[186](#).  
Heraclius, brother of Constantine IV  
[430](#).  
Heraclius I, Byzantine emperor  
[275](#), [275](#), [275](#), [429](#), [429](#), [429](#), [429](#), [429](#), [429](#).  
Herat  
[129](#), [306](#), [307](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [812](#), [813](#), [817](#), [819](#), [819](#), [819](#), [1350](#), [1354](#),  
[1354](#), [1355](#), [3834](#).  
Héroult de Séchelles, Marie Jean, French leader

1007.  
Herbert, count of Vermandois  
413.  
Herbart, Johann F., educator  
1035.  
Herculaneum  
252.  
Herder, Johann Gottfried, philosopher  
645, 1035.  
Hereaux, Ulises, Latin American leader  
1695, 1695.  
Heredia, Pedro de, Spanish explorer  
897.  
Herero people  
1558.  
Heribert, archbishop of Milan  
537.  
Herihor, Egyptian high priest  
93, 93.  
Hermannsson, Steingrímur, Icelandic leader  
3086.  
Hermannstadt  
1806, 1806.  
Hermes  
171.  
Hermocrates of Syracuse  
196, 197.  
Hermoza Rios, Nicholas, Peruvian leader  
3564.  
herms, sacred pillars  
197.  
Hermunduri  
254.  
Hernández Colón, Rafael, Puerto Rican leader  
3732, 3732, 3732, 3732.  
Hernández de Córdoba, Francisco, conquistador  
573, 895, 896.  
Hernici  
226.  
Hernu, Charles, French leader  
2874.

Herodotus, Greek historian  
[95](#), [95](#), [114](#), [114](#), [123](#), [186](#), [189](#).

Herod the Great, king of Judaea  
[215](#), [250](#).

Herophilus, Greek physiologist  
[208](#).

Herrán, Pedro Alcántara, Latin American leader  
[1672](#).

Herredsting, Denmark  
[1251](#).

Herrenhausen, alliance of  
[659](#).

Herrera, Carlos, Guatemalan leader  
[2278](#).

Herrera, Enrique Olaya, Colombian leader  
[2267](#).

Herrera, Joaquín, Mexican leader  
[1688](#), [1688](#).

Herrera, Juan de, Spanish architect  
[604](#).

Herrera Campins, Luis  
[3601](#).

Herrera y Obes, Julio, Latin American leader  
[1667](#).

Herreristas, Uruguay  
[2253](#).

Herri Batasuna, Spain  
[2906](#).

Herrin riots, Illinois  
[2193](#).

Herriot, Édouard, French leader  
[1901](#), [1905](#), [1906](#), [1909](#).

Herschel, William, astronomer  
[1038](#).

Hertling, Georg von, German chancellor  
[1781](#).

Hertz, Heinrich, physicist  
[990](#), [1148](#), [1736](#).

Hertzberg, Ewald von  
[782](#).

Hertzog, Enrique, Bolivian leader

[3537](#), [3537](#).  
Hertzog, James Barry Munnik, South African leader  
[1560](#), [2574](#), [2578](#), [2578](#), [2579](#), [2580](#).  
Hertzsprung, Ejnar, astronomer  
[1150](#).  
Hertzsprung-Russell Diagram  
[1150](#).  
Heruls  
[269](#), [402](#).  
Herut, Israel  
[3856](#).  
Herzegovina  
[315](#), [495](#), [563](#), [1105](#), [1105](#), [1106](#), [1106](#), [1107](#), [1108](#), [1108](#), [1110](#), [1114](#), [1132](#), [1132](#),  
[1243](#), [1244](#), [1266](#), [1280](#), [1287](#), [1288](#), [1288](#), [1296](#), [1296](#), [1334](#), [1340](#), [1341](#), [1343](#),  
[1344](#), [1347](#), [1743](#); and Ottoman Empire, [1335](#).  
Herzen, Alexander, Russian leader  
[1258](#), [1260](#).  
Herzl, Theodor, Zionist leader  
[1229](#), [1346](#), [1347](#).  
Herzog, Roman, German leader  
[3025](#).  
Herzog, Vladimir, journalist  
[3618](#).  
Heshen, Chinese official  
[853](#).  
Hesiod, Boeotian poet  
[176](#).  
Hesse  
[614](#), [615](#), [623](#), [662](#), [1024](#), [1102](#), [1102](#), [1230](#).  
Hesse-Cassel  
[753](#), [762](#), [1008](#), [1071](#).  
Hessians, German mercenaries  
[948](#).  
Hesychast controversy  
[566](#).  
Hetairia, Ethniké  
[1122](#).  
Hetep, king of Egypt  
[91](#).  
Het Volk, political organization  
[1558](#).



Hieronymus, envoy of the king of Hungary

[613](#).

Hieronymus, king of Syracuse

[220](#), [231](#), [232](#).

Hierta, Lars Johan, publisher

[1076](#).

Higashiyama

[396](#).

Higden, Ranulf, historian

[513](#).

High Court, Australia

[4299](#), [4310](#), [4310](#), [4310](#).

High Court of Justice, England

[1161](#).

Higher Education Act, U.S.

[3412](#).

Highlanders

[679](#), [680](#).

High Police, Korea

[2490](#).

High Seas Fleet, Germany

[1741](#), [1762](#), [1781](#), [1784](#), [1809](#), [1973](#).

Higuera

[902](#).

Hijaz

[317](#), [319](#), [808](#), [820](#), [821](#), [1332](#), [1333](#), [1333](#), [1358](#), [1366](#), [1367](#), [1751](#), [1752](#), [1788](#), [2410](#), [2410](#), [2411](#), [2412](#); and Ottoman Empire, [1332](#), [1334](#); anti-Ottoman revolt, [1334](#).

See [Saudi Arabia](#).

Hijaz Railway

[1337](#).

Hikmat Sulayman, Iraqi leader

[2405](#), [2406](#).

Hilarion, metropolitan of Kiev

[488](#).

Hilda, abbess of Whitby

[422](#).

Hildebrand

[467](#), [467](#). See [Gregory VII, pope](#).

Hilferding, Rudolf, German leader

[1144](#).

Hill, Anita, U.S. attorney

[3428](#).  
Hill, James J., U.S. industrialist  
[1614](#).  
Hilla  
[300](#).  
Hilendarski, Paiisi, historian  
[1298](#).  
hill forts  
[46](#).  
Hillquit, Morris, U.S. leader  
[1611](#).  
Hillsborough, 1st earl, Wills Hill, English official  
[940](#).  
Hillsborough Agreement  
[2811](#).  
Hilton Hotels Corporation  
[3434](#).  
Hilu, Charles, Lebanese leader  
[3845](#).  
Hima  
[362](#).  
Himalayas  
[327](#), [329](#), [333](#), [334](#).  
Himera  
[189](#), [190](#), [196](#), [220](#).  
Himiko  
*See* [Pimiko, queen of Yamatai](#).  
Himilco of Carthage  
[110](#).  
Hinayana Buddhism  
[341](#), [342](#).  
Hincmar, archbishop of Reims  
[409](#).  
Hindenburg, Paul von, German commander  
[1739](#), [1739](#), [1739](#), [1739](#), [1740](#), [1754](#), [1782](#), [1974](#), [1980](#), [1980](#), [1980](#), [1982](#), [1983](#),  
[1984](#), [1984](#), [1984](#), [1984](#), [1986](#), [1986](#), [1988](#).  
Hindenburg Line  
[1754](#), [1812](#).  
Hindola Mahall, court building  
[333](#).  
Hindu College, Calcutta

1394.

Hinduism

48, 51, 68, 68, 73, 73, 73, 79, 131, 135, 276, 279, 283, 324, 325, 325, 331, 335, 335, 336, 337, 337, 339, 575, 580, 830, 830, 832, 832, 833, 834, 834, 834, 835, 1394, 1394, 1395, 1395, 1395, 1398, 1398, 1398, 1414, 1701, 2644, 3950; Southeast Asia, 340, 839, 847; reform movements, 1397; in Cambodia, 1409. *See* Hindus.

Hindu Kush

217, 368.

Hindu Mahasabha

2437.

Hindu Mela, reform movement

1397.

Hindu-Muslim relations

2644.

Hindu Nationalist Party

3986.

Hindus

331, 331, 331, 331, 331, 332, 334, 334, 335, 834, 835, 1394, 1396, 1396, 1706, 2432, 2432, 2434, 2435, 2437, 2437, 2438, 2440, 2441, 2443, 2444, 2447, 2648, 3950, 3952, 3953, 3953, 3955, 3960, 3976, 3977, 3977, 3978, 3979, 3979, 3981, 3983, 3987, 4013; in Canada, 1640; South Asia, 3950; fundamentalism, 3977, 3977, 3980, 3982, 3984, 3985; Sri Lanka, 4026. *See* Hinduism.

Hindustan

324, 331.

Hindustanis

3630.

Hindutva

3980.

Hintata

322.

Hipparchus, tyrant of Athens

180, 181, 189.

Hipper, Franz von, German admiral

1795, 1796, 1809.

Hippias, Greek philosopher

186.

Hippias, tyrant of Athens





180, 181, 187, 187, 188.

hippies

3414.

Hippocrates, Greek physician



[186](#), [294](#).  
Hippocratic Oath  
[131](#), [479](#).  
Hippo Regius  
[266](#), [404](#).  
Hira  
[275](#).  
Hirabayashi v. U.S., U.S. Supreme Court decision  
[2210](#).  
Hirado  
[859](#), [860](#), [860](#), [860](#).  
Hiraizumi  
[394](#).  
Hiram I, king of Tyre  
[104](#), [104](#), [109](#).  
Hiram II, king of Tyre  
[109](#).  
Hiranuma Kiichirō , Japanese leader  
[2519](#), [2519](#).  
Hirobumi, Itō , prince  
[1436](#).  
Hirohito, Japanese leader  
[2211](#), [2501](#), [2501](#), [2503](#), [2506](#), [2523](#), [2625](#), [2634](#), [4223](#), [4242](#), [4243](#).  
Hiroshige, Andō , artist  
[1437](#).  
Hiroshima, Japan  
[2216](#), [2486](#), [2523](#), [2641](#); atomic bomb, [2631](#).  
Hirota Kōki , Japanese leader  
[2514](#), [2515](#), [2516](#), [2517](#), [2517](#).  
Hirshfeld, Mangus, sexuality researcher  
[1814](#).  
Hirtius, Augustus, Roman consul  
[241](#).  
Hisham II al Mu'ayyad, emir  
[419](#).  
Hisham III, caliph  
[419](#).  
Hishap-Rasher  
[122](#).  
Hispania Citerior (Nearer Spain)

[233](#).

Hispania Tarraconensis

[249](#).

Hispania Ulterior (Farther Spain)

[233](#).

Hispanic Americans

[1563](#), [1598](#), [1598](#), [1600](#), [2187](#), [2188](#), [2188](#), [2191](#), [2199](#), [2204](#), [2210](#), [2214](#), [3390](#),  
[3417](#), [3428](#).

Hiss, Alger, U.S. official

[3391](#), [3393](#), [3394](#).

Histadrut

[2386](#).

Histaiaea

[193](#).

Hitler, Adolf, German dictator

[1703](#), [1704](#), [1706](#), [1722](#), [1815](#), [1821](#), [1830](#), [1832](#), [1833](#), [1834](#), [1835](#), [1835](#), [1835](#),  
[1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1837](#), [1837](#), [1838](#), [1838](#), [1838](#), [1838](#), [1838](#), [1838](#), [1838](#),  
[1838](#), [1851](#), [1881](#), [1978](#), [1983](#), [1984](#), [1984](#), [1984](#), [1986](#), [1986](#), [1986](#), [1986](#), [1987](#),  
[1988](#), [1988](#), [1989](#), [1989](#), [1990](#), [1991](#), [1991](#), [1991](#), [1992](#), [1993](#), [2007](#), [2007](#), [2010](#),  
[2010](#), [2011](#), [2011](#), [2011](#), [2012](#), [2016](#), [2020](#), [2020](#), [2020](#), [2021](#), [2028](#), [2033](#), [2037](#),  
[2049](#), [2056](#), [2124](#), [2208](#), [2208](#), [2232](#), [2590](#), [2590](#), [2592](#), [2620](#), [2621](#), [2632](#), [2887](#),  
[2982](#), [2982](#), [2997](#); assassination plot, [1994](#); suicide, [1995](#).

Hitler Youth

[2011](#).

Hittites

[46](#), [46](#), [67](#), [83](#), [85](#), [86](#), [86](#), [86](#), [87](#), [93](#), [93](#), [93](#), [102](#), [103](#), [103](#), [106](#), [111](#), [112](#), [112](#), [112](#),  
[113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [113](#), [171](#), [172](#).

Hizballah, Lebanon

[2698](#), [3786](#), [3844](#), [3846](#), [3851](#), [3852](#), [3853](#), [3853](#), [3853](#).

Hizbul Mujahideen

[3989](#).

Hizen

[1448](#), [1450](#).

Hjelm, Jonas Anton, Norwegian lawyer

[1076](#).

Hlinka Guards, Fascist group

[2021](#).

Hlubi people

[1551](#).

Hmong people

[853](#), [1417](#), [4101](#).

Hoabhinian tradition

[30.](#)

Hoa Hao, Vietnamese sect

[2526.](#)

Hoa-lu

[397](#), [397](#).

Hoare, Samuel

[1849.](#)

Hobart

[1487](#), [1491](#), [1497](#).

Hobbema, Meyndaert, Dutch artist

[596.](#)

Hobbes, Thomas, philosopher

[594](#), [752](#).

Hobson, J. A., journalist

[1558.](#)

Hobson, John A., economist

[1144.](#)

Hobson, William, British colonial administrator

[1500](#), [1501](#).

Hoche, Louis Lazare, French general

[1005.](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 34

Hochhuth, Rolf, writer

[2988](#).

Hô Chi Minh, Vietnamese leader

[2524](#), [2525](#), [2525](#), [2528](#), [2529](#), [4158](#), [4253](#), [4254](#), [4254](#), [4255](#), [4257](#), [4259](#), [4260](#),  
[4261](#), [4267](#), [4269](#), [4271](#).

Hô Chi Minh City

[4273](#), [4279](#). *See* [Saigon](#).

Hô Chi Minh Trail

[4098](#), [4269](#).

Hochkirch, battle of

[663](#).

H  Ch  ng, Korean leader

[4201](#).

Hochschilds

[2255](#).

Höchstädt and Blenheim, battle of, Blindheim

[657](#).

hockey

[1635](#).

Hoddur

[4402](#).

Hödel, Max, and attempt on emperor William I's life

[1235](#).

Hodge, John, U.S. commander


[4189](#).

Hodja family

[1416](#).

Hodna

[1382](#).

Hod  a, Milan, Czech leader  
[1835](#), [2017](#), [2018](#), [2020](#).

Hoe, Robert, developer of rotary press  
[985](#).

Høegh-guldberg, Ove  
[770](#).

Hofburg, Vienna  
[1089](#), [1089](#).

Hofer, Andreas, Tyrolese leader  
[1026](#), [1026](#).

Hoffa, James R., labor leader  
[3409](#).

Hoffman, Johannes, Saar leader  
[2712](#).

Hoffman, Paul G.  
[3392](#).

Hofmeyer, Jan, Boer leader  
[1555](#).

Hohenfriedberg, battle of  
[660](#).

Hohenlinden, battle of  
[1016](#).



Hohenlohe-Schillingsfurst, Chlodwig of  
[1237](#).



Hohenstaufen dynasty  
[455](#), [456](#), [456](#), [456](#), [457](#), [459](#), [459](#), [469](#), [469](#), [469](#), [502](#), [526](#).



Hohenwart, Karl  
[1242](#), [1242](#).



Hohenzollern dynasty  
[459](#), [541](#), [548](#), [550](#), [748](#), [754](#), [955](#), [1980](#).

Hohokam Indians  
[40](#).

H  j  clan  
[394](#), [394](#), [394](#), [394](#), [394](#), [395](#), [395](#), [395](#), [396](#), [858](#).

H  j  Tokimasa, Japanese leader  
[394](#), [394](#), [394](#).

H  j  Tokimune, Japanese leader  
[395](#).

H  j  Yoshitoki, Japanese leader

394.

Hokkaido 

163, 166, 1437, 1456, 2523.

Hokkaido   ji, Asukadera

383.

Hokusai, Katsushika, artist

1437.

Holbein the Younger, Hans, German artist

584, 616.

Holberg, Ludvig

761.

Holborn Viaduct Station, England

981.

Holguín, Carlos, Latin American leader

1673.

Holiday Inn

3390.

Holinshed, Raphael, English historian

594.

Holkeri, Harri, Finnish leader

3079.

Holland

27, 426, 524, 548, 578, 578, 579, 582, 584, 588, 590, 595, 595, 595, 595, 595, 596, 596, 603, 606, 606, 615, 617, 638, 644, 644, 648, 648, 648, 648, 648, 649, 650, 650, 651, 653, 653, 653, 653, 653, 656, 657, 659, 659, 659, 659, 660, 660, 671, 675, 675, 675, 685, 703, 703, 703, 703, 703, 703, 704, 704, 704, 704, 705, 705, 705, 706, 711, 712, 713, 715, 720, 720, 723, 727, 735, 748, 752, 759, 769, 780, 785, 789, 814, 827, 827, 830, 834, 835, 836, 860, 895, 904, 906, 906, 906, 911, 914, 925, 926, 932, 939, 1005, 1011, 1024, 1026, 1030, 1032, 1053, 1053, 1053, 1055, 1057, 1057, 1066, 2818; and Ceylon, 833; and Southeast Asia, 837, 837, 837, 840, 840, 840, 840, 841, 841, 841, 841, 842, 847, 847; and China, 852; and Japan, 859, 860, 860, 861, 861; and Vietnam, 863; and Pacific Islands, 865; and Philippines, 867; and Africa, 871, 874, 886, 887, 890, 890, 890, 891; and Americas, 914, 915, 915, 915, 918; and North America, 932, 932, 932, 932. *See Netherlands.*

Holland, Sidney, New Zealand leader

4315.

Hollandia

2630.

Hollywood, California

1707.

Holmby House, Northamptonshire

593.  
Holmes, Robert  
648.  
Holmes' Bonfire  
648.  
Holocaust  
1993, 2394.  
Holocene epoch  
29, 29, 33, 34.  
Holstein  
456, 460, 461, 551, 551, 551, 554, 554, 619, 622, 627, 1077, 1077, 1078, 1100, 1100,  
1100, 1102, 1233, 1233, 1251. *See* Schleswig-Holstein.  
Holstein, Fritz von  
1116, 1120, 1121, 1129.  
Holt, Harold, Australian leader  
4303, 4304.  
Holy Alliance, Russia, Austria, and Prussia  
1033, 1045, 1257.  
Holy Cities  
319.  
Holy Ghost Fathers  
2568; in Africa, 1529, 1538.  
Holy Land  
281, 453, 460, 473, 493, 505, 505, 2956.  
Holy League  
585, 597, 597, 599, 599, 599, 599, 601, 603, 613, 625, 804.  
Holy League, Santa Junta  
602.  
Holy Loch  
2772.  
Holyoake, Keith, New Zealand leader  
4315.  
Holy Office, Roman Catholic Church  
584.  
Holy Roman Empire  
456, 459, 465, 476, 476, 584, 584, 601, 613, 613, 614, 624, 644, 649, 651, 656, 662,  
685, 752, 752, 752, 752, 752, 752, 760, 780, 1023, 1032.  
Holy See  
466, 469, 469, 479, 2960. *See* papacy.  
Holy Synod, Russia  
785, 786.

Home Owners' Loan Act, U.S.  
[2202](#).

Home Owners' Loan Corporation, U.S.  
[2202](#).

Home Owners' Refinancing Act, U.S.  
[2202](#).

Homer, Greek poet  
[172](#), [173](#), [229](#).

Home Rule, Ireland  
[1051](#), [1162](#), [1168](#), [1169](#), [1169](#), [1170](#).

Home Rule Bills, England  
[1170](#), [1170](#), [1170](#), [1170](#), [1863](#).

Home Rule Confederation, Great Britain  
[1169](#).

Home Rule League, India  
[2432](#).

Homestead, Pennsylvania  
[1605](#).

Homestead Act, U.S.  
[1587](#).

Hominidae, family  
[19](#).

hominids  
[19](#), [19](#), [19](#), [19](#), [19](#), [19](#), [19](#), [20](#), [20](#).

Homo erectus  
[20](#), [20](#), [20](#), [20](#), [20](#), [21](#), [22](#), [22](#), [22](#), [22](#), [22](#), [23](#), [24](#), [24](#).

Homo habilis  
[19](#), [19](#), [19](#), [19](#), [19](#), [19](#).

Homo sapiens  
[23](#), [23](#), [23](#), [23](#), [23](#), [24](#), [24](#), [24](#), [138](#).

Homo sapiens neanderthalensis  
[23](#).

Homo sapiens sapiens  
[24](#), [24](#), [24](#), [24](#), [25](#), [27](#), [28](#).

homosexuality  
[401](#), [443](#), [535](#), [1142](#), [1618](#), [1986](#).

Homs  
[106](#), [317](#), [318](#), [438](#), [1750](#), [1751](#), [1753](#).

Homutu, China  
[39](#).

Honda



2640.

Honduras

570, 572, 896, 902, 902, 902, 902, 911, 1655, 1655, 1655, 1680, 1680, 1683, 1686, 1738, 2274, 2274, 2278, 2288, 2638, 2688, 3468, 3470, 3475, 3649, 3649, 3661, 3664, 3674, 3680, 3685, 3693, 3694, 3694, 3694, 3694, 3695, 3699, 3699, 3699, 3700, 3739; republic of, 1686; civil war in, 1686; WWI, 2274; between Wars, 2288; WWII, 2289; and U.S., 3693, 3694, 3695, 3696, 3697; Hurricane Mitch, 3699.

Honecker, Erich, German leader

3019, 3019, 3019, 3019, 3020, 3020, 3020, 3022.

Honegger, Arthur, composer

1903.

Hone Heke, Maori leader

1502.

H  nen Sh  nin, Buddhist sect founder

387.

Honganji, monastery

396.

Hongi, Maori leader


1500.

Hong Kong

1416, 1417, 1418, 1423, 2211, 2465, 2479, 2480, 2521, 2524, 2525, 2525, 2606, 2626, 2626, 2634, 4163, 4168, 4171, 4175, 4175.

Hong Ky  ng-nae Rebellion, Korea

1429.

Hong P  m-do, Korean leader

2490.

Hongwu, reign title of Zhu Yuanzhang


376.

Hong Xiuquan, religious leader

1417, 1417.

Honiara, Solomon Islands

4288, 4287.

H  njong, king of Korea

1429.

Honnecourt, Villard de, architect

524.

Honolulu

1420, 4268, 4270.

Honorina, sister of Valentinian III

402, 402.

Honorius, Roman emperor in the West

[261](#), [265](#), [265](#), [265](#), [266](#), [266](#), [266](#), [403](#), [403](#), [403](#), [403](#).

Honorius II, pope

[507](#).

Honorius III, pope

[457](#).

Hon Parekura Horomia, New Zealand leader

[4319](#).

Honsh 

[163](#), [163](#), [385](#), [576](#), [1440](#), [2523](#).

Hood, John B., Confederate commander

[1589](#), [1589](#).

Hooke, Robert, scientist and philosopher

[640](#), [640](#), [641](#), [643](#).

Hooker, Joseph, Union commander

[1587](#), [1588](#), [1588](#).

Hooker, Richard, English theologian

[594](#).

Hoorn, Philip de Montmorency, Flemish leader

[595](#).

Hoover, Herbert, president of U.S.

[1720](#), [1720](#), [1829](#), [2188](#), [2195](#), [2197](#), [2197](#), [2198](#), [2200](#), [2285](#), [2311](#).

Ho peoples

[1409](#), [1409](#).

Hopetown

[1553](#).

Hopewell culture

[53](#), [280](#).

Hôpital Général, Paris

[711](#).

Hoplites

[176](#).

Hô Quy Ly, Vietnamese leader

[399](#), [399](#).

Horace, Roman author

[239](#).



Horatius, Marcus, Roman consul

[225](#).

Horemheb, king of Egypt

[93](#), [93](#).

Hormizd, brother of Narseh

[272](#).  
Hormizd, son of Yazdgird II  
[273](#), [273](#).  
Hormizd I, king of Persia  
[272](#), [272](#).  
Hormizd II, king of Persia  
[272](#).  
Hormizd III, king of Persia  
[272](#).  
Hormizd IV, king of Persia  
[274](#), [275](#), [275](#), [275](#).  
Hormuz, Hormizdagan  
[272](#), [795](#), [812](#), [814](#), [815](#), [821](#), [1360](#).  
Horn, Arvid  
[762](#), [763](#).  
Horn, Gustavus, Swedish commander  
[620](#).  
Horn, Gyula, Hungarian leader  
[3161](#).  
Hornacho  
[823](#).  
Hornby v. Close, England  
[1159](#).  
Hörnigk, Wilhelm von, writer  
[757](#).  
Horn of Africa  
[346](#), [360](#), [360](#), [879](#), [879](#), [881](#), [1522](#), [1527](#). *See* [Northeast Africa \(Horn\)](#).  
Horns Reef  
[1809](#).  
Hornsrud, Christopher, Norwegian leader  
[2044](#).  
Horrocks, Jeremiah, British astronomer  
[640](#).  
Horrocks, William, developer of power loom  
[985](#).  
Hortensius, Quintus, Roman dictator  
[227](#).  
Horthy, Miklós, Hungarian leader  
[1787](#), [2023](#), [2024](#), [2025](#), [2030](#), [2034](#), [2035](#).  
H  ry  uji, temple  
[383](#).

Hosea, Hebrew prophet

[105](#).

Hoshea, king of Israel

[105](#).

Hosokawa Katsumoto, Japanese leader

[396](#).

Hosokawa Masamoto, Japanese leader

[396](#).

Hosokawa Morihiro, Japanese leader

[4246](#), [4247](#), [4247](#), [4247](#).

Hosokawa Takakuni

[396](#).

Hospitalers

[453](#), [460](#), [507](#), [826](#).

Hoss  Buddhism

[385](#).

Hôtel de Ville, Paris

[1007](#), [1060](#), [1187](#).

Hotham, Beaumont, British admiral

[1033](#).

Hötendorff, Conrad von, Austrian commander

[1739](#), [1757](#).

Houdry, Eugene J., chemist

[1732](#).

Houghton, Daniel, explorer in Africa

[878](#).

Houphouët-Boigny, Félix, Ivory Coast leader

[2644](#), [4353](#), [4353](#), [4353](#), [4353](#), [4353](#).

House, Edward M., U.S. diplomat

[1769](#), [1784](#).

House of Assembly, Cape Colony

[1552](#).

House of Assembly, Newfoundland

[1633](#).

House of Assembly, South Africa

[1558](#).

House of Burgesses, Virginia

[941](#), [943](#), [944](#).

House of Commons, England

[513](#), [513](#), [514](#), [515](#), [591](#), [591](#), [591](#), [591](#), [591](#), [593](#), [687](#), [694](#), [701](#), [1047](#), [1051](#), [1051](#), [1158](#),  
[1162](#), [1170](#), [1839](#), [2728](#).

House of Councilors, Japan

[4224](#).

House of Lords, England

[513](#), [668](#), [674](#), [700](#), [1047](#), [1051](#), [1051](#), [1158](#), [1161](#), [1163](#), [1170](#), [1170](#), [1841](#), [2774](#).

House of Representatives, Australia

[1497](#), [1498](#).

House of Representatives, Japan

[4224](#).

House of Representatives, New Zealand

[1502](#).

House of Representatives, U.S.

[1566](#), [1574](#), [1604](#), [1617](#).

House Un-American Activities Committee, U.S.

[3391](#).

Housing Act

[1842](#); Ireland, [1871](#).

Houston

[3425](#).

Houtte, Jean van, Belgian leader

[2821](#).

Hova people

[1562](#).

Hovel, William, English explorer

[1488](#).

Hovhannesian, Raffi, Armenian leader

[3307](#).

Howard, Catherine, wife of Henry VIII

[585](#).

Howard, John, Australian leader

[4311](#), [4311](#).

Howe, Elias, inventor

[985](#).

Howe, Geoffrey

[2795](#).

Howe, Joseph, Canadian leader

[1625](#).

Howe, William

[948](#).

Howells, William Dean, writer and editor

[1600](#).

Hoxha, Enver, Albanian leader

[2142](#), [2143](#), [2143](#), [2722](#), [3198](#), [3199](#), [3199](#), [3200](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3202](#), [3204](#).

Hoxha, Nexhmije, Albanian leader  
[3202](#), [3203](#), [3204](#).

Hoyos, Alexander  
[1140](#).

Hoysala dynasty  
[332](#), [336](#), [337](#), [337](#), [337](#).

Hoz, José Martínez de, Argentine leader  
[3492](#).

Hrawi, Ilyas, Lebanese leader  
[3850](#).

Hrebelanovich family  
[563](#).

Hrolf of Rollo, Norse leader  
[464](#).

Hsaya San, Burmese leader  
[2448](#).

Hsüan-tsang, writer  
[324](#), [326](#).

Htoo, Johnny, rebel leader  
[4063](#).

Htoo, Luther, rebel leader  
[4063](#).

Hua Guofeng, Chinese leader  
[4161](#), [4161](#), [4161](#), [4161](#), [4164](#), [4164](#).

Huainanzi  
[154](#).

Huai River  
[372](#), [375](#).

Huan, duke, ruler of Qi  
[139](#).

Huancavelica  
[911](#).

Huancayo, constitution of  
[1670](#).

Huandi  
[156](#).

Huang Chao, Chinese rebel  
[369](#), [369](#).

Huangdi, the Yellow Emperor

[138](#).  
Huangpu, treaty of  
[1416](#).  
Huangpu Military Academy  
[2466](#).  
Huang Tingjian, artist  
[373](#).  
Huang Zongxi, Chinese scholar  
[854](#).  
Huánuco  
[3559](#).  
Huaráz  
[1670](#).  
Huáscar, Inca ruler  
[570](#), [898](#), [898](#).  
Huayan Buddhism  
[378](#).  
Huayna Cápac, Inca ruler  
[570](#), [570](#), [570](#).  
Huba  
[117](#).  
Hubbell, H., inventor  
[986](#).  
Hubble, Edwin P., American astronomer  
[1729](#).  
Hubei  
[156](#), [375](#), [1415](#), [1420](#), [2477](#).  
Hubertsburg, treaty of, or Hubertusburg  
[666](#).  
Huda Sha‘rawi, Egyptian women's leader  
[2355](#), [2355](#).  
Hudaybiyya, treaty of  
[286](#).  
Hudids of Saragossa  
[475](#).  
Hudson, Henry, explorer  
[932](#), [993](#).  
Hudson Bay  
[659](#), [866](#), [939](#), [939](#), [1623](#).  
Hudson River  
[932](#), [935](#).

Hudson River School, of art  
[1577](#).

Hudson's Bay Company  
[939](#), [993](#), [1623](#), [1625](#), [1630](#), [1630](#).

Hudson's Bay Railway  
[2224](#).

Hudson Strait  
[923](#).

Huê  
[863](#), [863](#), [1473](#), [1473](#), [4255](#), [4256](#), [4268](#), [4270](#).

Huê, Nguyễn, Vietnamese general and ruler  
[863](#).

Huê, treaty of  
[1418](#), [1474](#), [1474](#).

Huehuetenango  
[3654](#).

Hue River  
[136](#).

Huerta, Adolfo de la, Mexican leader  
[2296](#), [2297](#), [2297](#).

Huerta, Victoriana, Mexican leader  
[1621](#), [2291](#), [2292](#), [2292](#), [2292](#).

Hu Feng, scholar  
[4147](#).

Hugenberg, Alfred, German leader  
[1982](#), [1986](#).

Huggins, William, astronomer  
[1148](#).

Hughes, William M., Australian leader  
[1499](#), [2537](#), [2538](#), [2538](#), [2538](#), [2539](#), [2541](#), [2542](#).

Hugh of Lusignan, vassal  
[445](#), [450](#).

Hugh of Pajens, religious leader  
[507](#).

Hugh the Great, father of Hugh Capet  
[413](#), [413](#), [413](#), [414](#).

Hugo, Victor-Marie, writer  
[1037](#), [1037](#).

Huguenots  
[590](#), [598](#), [598](#), [599](#), [599](#), [599](#), [599](#), [599](#), [599](#), [599](#), [599](#), [599](#), [600](#), [600](#), [711](#), [713](#), [736](#), [754](#), [905](#);  
in Africa, [890](#).



Hu Hanmin, Chinese leader  
[2465](#), [2524](#).

Huhu, Ahmad Rida, writer  
[3930](#).

Huijiao, Chinese compiler  
[158](#).

Huilliche  
[570](#).

Huineng, Buddhist leader  
[370](#).

Huiyuan, Chinese leader  
[158](#).

Huizinga, Johan, Dutch writer  
[1896](#).

Huizong, Chinese emperor  
[372](#), [372](#), [373](#).

Hukbalahap (Huk) insurrection, Philippines  
[4289](#), [4291](#), [4291](#).

Hukuang Railways, China  
[1617](#).

Hulegu, Ilkhanid leader  
[281](#), [304](#), [305](#), [305](#), [305](#), [305](#).

Hull, Cordell, U.S. diplomat  
[2204](#), [2215](#), [2240](#), [2480](#), [2624](#), [2624](#), [2625](#).

Hull House, Chicago  
[1603](#).

Hullutush-Inshushinak I, king of Elam  
[122](#).

Hullutush-Inshushinak dynasty  
[122](#).

Human Genome Project  
[2641](#), [2705](#), [3441](#).

human immunodeficiency virus, HIV  
[2641](#).

humanism  
[516](#), [600](#), [604](#).

human rights  
[1986](#), [2637](#), [2740](#), [2756](#), [3079](#), [3205](#), [4423](#); death penalty, [401](#), [2741](#), [2755](#), [2781](#),  
[2811](#), [2823](#), [2832](#), [2836](#), [2870](#), [2976](#), [3019](#), [3049](#), [3060](#), [3134](#), [3248](#), [3254](#), [3265](#),  
[3421](#), [3452](#), [4484](#); self-determination, [1702](#), [1706](#), [1706](#), [1706](#), [1721](#), [1752](#), [1835](#),  
[1835](#), [2554](#), [2674](#); torture, [2745](#); corporal punishment, [3065](#); Romania, [3255](#); Latin

America, [3474](#), [3474](#), [3477](#), [3478](#); Chile, [3519](#); Uruguay, [3531](#), [3534](#); Colombia, [3589](#), [3592](#), [3593](#); Guatemala, [3654](#), [3655](#), [3656](#), [3657](#), [3659](#); El Salvador, [3671](#), [3671](#), [3672](#); Honduras, [3699](#); Mexico, [3707](#), [3709](#); Haiti, [3745](#); Turkey, [3805](#); China, [4172](#), [4172](#), [4177](#); East Timor, [4293](#); Mauritania, [4364](#); Sudan, [4407](#); Zaire, [4450](#); South Africa, [4485](#).

Human Rights Commission, Togo  
[4386](#).

Humayun, Mughal emperor  
[831](#), [831](#).

Humban  
[121](#).

Humban-haltash II, king of Elam  
[122](#).

Humban-nikash, king of Elam  
[122](#).

Humban-numena, king of Elam  
[122](#).

Humban-tahrah, king of Elam  
[122](#).

Humbert, Georges Louis, French soldier  
[1901](#).

Humble Petition and Advice, England  
[672](#).

Humboldt, Karl Wilhelm von  
[1032](#).

Hume, Allan Octavian, British colonialist  
[1398](#).

Hume, David, political philosopher  
[645](#).

Hume, Hamilton, English explorer  
[1488](#).

Hume, John, Irish leader  
[2813](#), [2815](#).

Hume, Joseph, British radical  
[1047](#).

Hummay, ruler of Kanem  
[354](#).

Humphrey, duke of Gloucester  
[516](#).

Humphrey, Hubert H., U.S. leader  
[3411](#), [3416](#), [3416](#).

Humphreys, Francis  
[2402](#).

Hunan, China  
[853](#), [1417](#), [1420](#), [2465](#), [2468](#), [2469](#), [2469](#), [4161](#).

Hunayn, battle of  
[286](#).

Hundred Days  
[1032](#), [1033](#), [1058](#).

Hundred Days' Reform, China  
[1423](#).

Hundred Flowers Campaign, China  
[4149](#), [4153](#).

Hundred Regiments Offensive, China  
[2482](#).

Hundred Schools  
[140](#), [141](#).

Hundred Years' War  
[511](#), [512](#), [513](#), [515](#), [519](#), [520](#), [520](#), [521](#), [525](#), [530](#), [548](#), [548](#), [577](#).

Hundseid, Jen, Norwegian leader  
[2047](#).

Hundsfeld, battle of  
[486](#).

Huneric, Vandal leader  
[404](#).

Hungarian Academy of Sciences  
[3155](#).

Hungarian-Croatian Compromise  
[1245](#).

Hungarian Democratic Forum  
[3156](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)  

---

## Subject Index

### Page 35

Hungarian Democratic Union, Romania

[3258](#).

Hungarian Life Movement, Hungarian Fascists

[2032](#).

Hungarian Revolution

[2655](#).

Hungarian Socialist Party

[3155](#).

Hungarian Socialist Workers Party

[3149](#), [3155](#).

Hungarian Writers' Union

[3153](#).

Hungary

[279](#), [281](#), [311](#), [313](#), [313](#), [314](#), [454](#), [454](#), [455](#), [468](#), [469](#), [483](#), [485](#), [485](#), [485](#), [485](#), [486](#),  
[486](#), [486](#), [488](#), [491](#), [494](#), [494](#), [495](#), [496](#), [497](#), [502](#), [502](#), [502](#), [505](#), [505](#), [520](#), [522](#), [524](#),  
[532](#), [540](#), [541](#), [541](#), [542](#), [542](#), [542](#), [542](#), [555](#), [555](#), [555](#), [556](#), [560](#), [561](#), [562](#), [562](#), [563](#),  
[563](#), [563](#), [568](#), [613](#), [613](#), [614](#), [615](#), [615](#), [615](#), [616](#), [616](#), [617](#), [618](#), [634](#), [634](#), [635](#), [635](#),  
[635](#), [635](#), [635](#), [636](#), [659](#), [752](#), [757](#), [757](#), [757](#), [758](#), [758](#), [758](#), [758](#), [758](#), [759](#), [759](#), [759](#),  
[759](#), [760](#), [760](#), [793](#), [793](#), [793](#), [794](#), [794](#), [796](#), [798](#), [804](#), [804](#), [805](#), [806](#), [955](#), [1073](#),  
[1073](#), [1074](#), [1074](#), [1074](#), [1074](#), [1074](#), [1087](#), [1087](#), [1087](#), [1087](#), [1087](#), [1087](#), [1087](#),  
[1087](#), [1088](#), [1088](#), [1088](#), [1090](#), [1090](#), [1090](#), [1099](#), [1140](#), [1238](#), [1238](#), [1239](#), [1240](#),  
[1245](#), [1245](#), [1245](#), [1246](#), [1246](#), [1258](#), [1288](#), [1318](#), [1340](#), [1699](#), [1703](#), [1708](#), [1792](#),  
[1817](#), [1818](#), [1820](#), [1826](#), [1830](#), [1830](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1837](#), [1941](#),  
[1966](#), [2008](#), [2008](#), [2013](#), [2016](#), [2016](#), [2018](#), [2020](#), [2022](#), [2022](#), [2022](#), [2022](#), [2022](#),  
[2024](#), [2025](#), [2026](#), [2027](#), [2027](#), [2027](#), [2027](#), [2028](#), [2028](#), [2028](#), [2029](#), [2031](#), [2032](#),  
[2032](#), [2033](#), [2033](#), [2035](#), [2035](#), [2111](#), [2134](#), [2174](#), [2175](#), [2185](#), [2649](#), [2685](#), [2700](#),  
[2706](#), [2716](#), [2718](#), [2719](#), [2748](#), [2748](#), [2748](#), [2749](#), [2752](#), [2754](#), [2754](#), [2754](#), [2756](#),  
[2982](#), [3017](#), [3020](#), [3037](#), [3112](#), [3118](#), [3118](#), [3120](#), [3120](#), [3121](#), [3139](#), [3141](#), [3162](#),  
[3166](#), [3250](#), [3250](#), [3254](#), [3258](#), [3263](#), [3265](#), [3270](#), [3324](#); and Moravia, [483](#); and  
Croatia, [1245](#); WWI, [1739](#), [1746](#), [1746](#), [1760](#), [1770](#), [1777](#), [1779](#), [1780](#), [1780](#), [1782](#),

[1783](#), [1787](#), [1787](#), [1792](#), [1794](#); independence, [1779](#), [1785](#); Republic, [1779](#); WWI losses, [2022](#); and Czechoslovakia, [2023](#), [2031](#); and Romania, [2023](#), [2024](#); and Romania, [2023](#); and Treaty of Trianon, [2024](#); Great Depression, [2027](#), [2027](#); WWII, [2034](#), [2035](#), [2035](#), [2590](#), [2590](#), [2591](#), [2593](#), [2597](#), [2634](#); and Balkan Peninsula, [2127](#); and U.S., [2187](#); and Southeast Asia, [2450](#); and China, [2462](#); WWII settlement, [2635](#), [2635](#); revolution of 1956, [2637](#); post-WWII, [3141](#); Germans, [3141](#); Peace Treaty, [3142](#); Communist, [3142](#), [3143](#), [3145](#), [3148](#), [3150](#), [3150](#), [3151](#), [3152](#), [3152](#), [3152](#), [3153](#); revolt, [3147](#), [3147](#), [3147](#), [3147](#), [3147](#), [3156](#); and Russia, [3148](#), [3155](#); reforms, [3151](#), [3152](#), [3152](#); liberalization, [3155](#), [3155](#), [3155](#), [3156](#), [3156](#), [3156](#), [3156](#), [3156](#), [3158](#), [3159](#), [3161](#), [3161](#), [3161](#), [3162](#), [3163](#).

Hunkiar Iskelesi, treaty of  
[1258](#), [1331](#).

Hunnic Empire  
[406](#), [408](#).

Hunn Report, New Zealand  
[4316](#).

Huns  
[75](#), [130](#), [257](#), [265](#), [266](#), [266](#), [266](#), [273](#), [278](#), [324](#), [324](#), [402](#), [402](#), [402](#), [402](#), [403](#), [406](#),  
[426](#), [427](#), [427](#), [473](#), [482](#).

Hun Sen, Cambodian leader  
[4091](#), [4091](#), [4275](#).

Hunt, Henry, English reformer  
[1046](#), [1046](#).

Hunter, John, British colonial administrator  
[647](#), [1487](#).

hunter-gatherers  
[13](#), [14](#), [19](#), [22](#), [23](#), [23](#), [24](#), [25](#), [27](#), [28](#), [28](#), [28](#), [29](#), [29](#), [29](#), [29](#), [29](#), [29](#), [30](#), [30](#), [31](#), [32](#), [32](#),  
[33](#), [33](#), [33](#), [34](#), [35](#), [35](#), [36](#), [36](#), [37](#), [38](#), [40](#), [53](#), [53](#).

Hunters' Lodges, U.S. sympathizers of Canadian rebels  
[1626](#).

Huntsman, Benjamin, metallurgist  
[647](#).

Hunyadi, John, Hungarian leader  
[313](#), [313](#), [542](#), [542](#), [560](#), [560](#), [561](#), [561](#), [561](#), [563](#).

Huong, Hô Xuân, Vietnamese writer  
[863](#).

Huri district, Belgian Congo  
[2568](#).

Hurley, Patrick, U.S. diplomat  
[2485](#), [4140](#).

Huron Indians

[920](#), [921](#).  
Hurrians  
[83](#), [83](#), [86](#), [86](#), [86](#), [93](#), [103](#), [103](#), [112](#), [113](#), [113](#), [113](#), [113](#), [117](#), [118](#).  
Hurtado, Jaime, Ecuadorian leader  
[3573](#).  
Hurtado de Mendoza, Andrés, Spanish colonial administrator  
[899](#).  
Hurtado de Mendoza, García, Spanish explorer  
[899](#).  
Hurtado Larea, Osvaldo, Ecuadorian leader  
[3569](#).  
Hurufiyya  
[307](#).  
Hus, Jan, religious reformer  
[531](#), [531](#), [544](#).  
Husain, Zakir, Indian leader  
[3969](#).  
Husák, Gustáv, Czech leader  
[3130](#), [3132](#), [3133](#).  
Husayn, king of the Hijaz and Arabs  
[2410](#), [2410](#).  
Husayn, sharif of Mecca  
[1750](#), [1751](#), [1751](#), [1753](#), [2371](#), [2400](#).  
Husayn, Shi'ite imam  
[812](#), [816](#).  
Husayn, sultan of Iran  
[816](#), [816](#), [817](#).  
Husayn, Taha, Egyptian leader  
[3903](#), [3911](#).  
Husayn al-Hallaj, mystic and poet  
[297](#).  
Husayn al-Rassi, Shi'ite leader  
[296](#).  
Husayn Bayqara, Timurid leader  
[308](#), [308](#).  
Husayn Dey, ruler of Algiers  
[1381](#), [1381](#).  
Husayn Bey II, ruler of Tunisia  
[1386](#), [1386](#).  
Husayn ibn Ali, ruler of Tunisia  
[828](#), [828](#), [828](#).

Husaynid dynasty

[828](#), [828](#), [1385](#), [1386](#), [1390](#).

Husayn Kamil, sultan of Egypt

[1374](#), [1748](#), [2351](#).

Husayn Pasha Janbulat, of Syria

[799](#).

Huseyin Avni Pasha, Ottoman official

[1341](#).

Hushang Shah, ruler of India

[333](#).

Hu Shi, Chinese scholar

[2464](#), [2478](#).

Huskisson, William, British official

[1047](#).

Za`im, Husni al-, Syrian leader

[3839](#).

Hussein I, king of Jordan

[2694](#), [3784](#), [3785](#), [3866](#), [3866](#), [3867](#), [3871](#), [3872](#), [3872](#), [3873](#), [3873](#), [3875](#), [3875](#),  
[3876](#), [3876](#), [3877](#).

Hussein, Saddam, Iraqi leader

[2801](#), [3438](#), [3784](#), [3884](#), [3885](#), [3886](#), [3887](#), [3887](#), [3888](#).

Hussey, Obed, inventor

[987](#), [1576](#).

Hussites

[531](#), [531](#), [541](#), [541](#), [544](#), [544](#), [544](#), [544](#), [544](#), [544](#), [545](#), [555](#), [560](#), [613](#).

Hutchinson, Anne, English colonist

[928](#).

Hutchinson, Thomas, colonial administrator

[941](#).

Hutelush-Inshushinak, king of Elam

[122](#).

Hutran-tempti, king of Elam

[122](#).

Hutton, James, geologist

[1041](#).



Hutton, Ulrich von, Reformation leader

[614](#).

Hutus

[2644](#), [4409](#), [4410](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4413](#), [4414](#), [4414](#), [4420](#), [4420](#),  
[4420](#), [4422](#), [4422](#), [4423](#), [4434](#), [4450](#), [4452](#), [4453](#).

Huvayda, Amir Abbas, Iranian leader

[3819](#).  
Huvishka, king of India  
[130](#).  
Huxley, Aldous, writer  
[1839](#).  
Huxley, Thomas, scientist  
[1425](#).  
Hu Yaobang, Chinese leader  
[4165](#), [4165](#), [4166](#), [4167](#), [4167](#).  
Hu Yepin, writer  
[2472](#).  
Huygens, Christiaan, scientist  
[640](#), [641](#), [642](#).  
Huynh Phu So, founder of Hoa Hao  
[2526](#).  
Hwa m Buddhism  
[378](#).  
Hyatt, John W., manufacturer of celluloid  
[984](#).  
Hydaspes River  
[207](#).  
Hyde, Douglas, Irish leader  
[1878](#), [2804](#).  
Hyde, Edward  
[675](#).  
Hyderabad  
[834](#), [3954](#), [4006](#).  
hydroelectric power  
[982](#), [1639](#).  
Hyech'o, traveler  
[378](#).  
Hyksos  
[67](#), [92](#), [93](#), [103](#).  
Hyllus  
[174](#).  
Hy go  
[396](#), [1442](#), [1447](#), [2501](#).  
Hyphasis River  
[207](#).  
Hypostyle Hall  
[93](#), [93](#).



Hyrkania

[216](#).

Hyrkanus II, high priest of Judah

[215](#).

Hythe, conference of

[446](#), [1708](#), [1818](#).

## I

Iapyges, people of southern Italy

[190](#), [222](#).

Ia  i city

[3256](#).

Iati'e, queen of the Arabs

[127](#).

Iazyges

[252](#), [252](#), [254](#).

Ibadan University

[4322](#).

Ibadis

[343](#), [344](#), [344](#).

Ibáñez, Carlos, Chilean leader

[2245](#), [2246](#), [2246](#), [3509](#), [3509](#), [3509](#).

Ibáñez, Vicente Blasco, writer

[1921](#), [1921](#).

Ibarra, Francisco de, Spanish conquistador

[904](#).

Ibarra, José M. Velasco, Ecuadorian leader

[2264](#), [2264](#).

Ibbi-Sin, king of Ur

[84](#), [122](#).

Ibbit-Lim, king of Ebla

[102](#).

Iberia, Georgia

[272](#), [272](#), [273](#), [273](#), [273](#), [274](#), [274](#), [274](#).

Iberian Peninsula

[71](#), [281](#), [315](#), [323](#), [406](#), [421](#), [460](#), [475](#), [525](#), [575](#), [601](#), [601](#), [718](#), [869](#), [1062](#), [1199](#),  
[1920](#).

Ibero-American summit

[3476](#), [3478](#).

Lemoyne, Pierre, French explorer

[922](#).  
Ibiza  
[110](#).  
IBM  
[2693](#); Research Laboratory, [2704](#).  
Ibn 'Abd-ul-Wahhab, religious leader  
[1395](#).  
Ibn Abi Abdallah Ghazi, theologian and historian  
[822](#).  
ibn Ahmad, sultan of Muscat  
[821](#).  
Ibn al-'Arabi, philosopher  
[319](#).  
Ibn al-Ash'ath, Umayyad challenger  
[290](#).  
Ibn al-Muqaffa, translator  
[292](#).  
Ibn al-Nadim  
[300](#).  
Ibn al-Tabban, scholar  
[321](#).  
Ibn Battuta, traveler  
[332](#), [353](#).  
Ibn Hisham, biographer  
[293](#).  
Ibn Khaldun, Muslim scholar and traveler  
[584](#).  
Ibn Khuradadhbih, geographer  
[297](#).  
Ibn Mustafa Muhyi al-Din, father of Abd al-Qadir  
[1382](#).  
Ibn Ra'iq, Abbasid leader  
[297](#).  
Ibn Rushd, Averroes  
[322](#), [479](#).  
Ibn Rustam, Rustamid leader  
[292](#).  
Ibn Sa'ud, king of Saudi Arabia  
[1362](#), [1365](#), [2408](#), [2410](#), [2412](#), [2412](#), [2413](#), [2413](#), [2414](#), [3889](#).  
Ibn Sina, Islamic physician  
[815](#), [815](#).

Ibn Tashfin, Almoravid leader  
[321](#).

Ibn Yasin, Almoravid leader  
[321](#).

Iboina  
[892](#), [893](#), [893](#).

Ibrahim, Abbasid challenger  
[292](#).

Ibrahim, Ottoman sultan  
[801](#), [801](#), [804](#), [804](#).

Ibrahim, Ilyas, Maldivian leader  
[4044](#), [4044](#).

Ibrahim al-Riyahi, Tunisian writer and leader  
[1387](#).

Ibrahim al-Sharif, usurper of power in Tunisia  
[828](#).

Ibrahim Bey, Mamluk leader  
[809](#).

Ibrahim ibn Aghlab, Aghlabid leader  
[293](#).

Hamdi, Ibrahim Muhammad al-, Yemenite leader  
[3894](#), [3894](#).

Ibrahim Muteferrika, Hungarian-born printer  
[807](#).

Ibrahim Pasha, Egyptian viceroy  
[1274](#), [1331](#), [1367](#), [1367](#), [1367](#), [1369](#).

Ibrahim Pasha, Ottoman grand vezir  
[793](#).

Ibrahim Pasha Qattar Aghasi, governor of Aleppo  
[810](#).

Ibrahim Shah, ruler of India  
[333](#).

Ibrahim Shah Lodi, Afghan king of Delhi  
[830](#).

Ibrahim Shinasi, leader of Young Ottomans  
[1336](#), [1339](#).

Ibrahim the Mad  
See [Ibrahim, Ottoman sultan](#).

Ibrahim Yacob, Malay leader  
[2455](#).

Ibrium, king of Kush

102.

Ibsen, Henrik, writer

1146.

Ice Age

4, 18, 18, 18, 22, 23, 25, 25, 26, 26, 27, 27, 27, 28, 28, 28, 28, 28, 28, 28, 28, 29, 29, 29, 29, 30, 30, 32, 33, 33, 38, 40, 1043.

icebreakers

998.

Iceland

281, 426, 426, 426, 464, 464, 464, 464, 640, 761, 765, 768, 768, 771, 774, 774, 774, 774, 774, 774, 774, 774, 775, 775, 775, 775, 775, 992, 1075, 1077, 1077, 1077, 1077, 1077, 1077, 1078, 1247, 1251, 1251, 1253, 2060, 2060, 2060, 2060, 2060, 2060, 2708, 2719, 3041, 3084, 3084, 3084, 3084, 3084, 3085, 3085, 3086, 3086, 3086, 3086, 3086, 3086, 3086, 3087, 3087, 3303; and home rule, 1252; independence of, 1253; sovereignty, 2060; Republic, 2061; WWII, 2606, 2606, 2606; independent republic, 3084; and Great Britain, 3086.

Iceland, University of

1253.

Iceni

249.

Ichigo Campaign

2485.

Iconium, Rum

501, 502.

Iconoclasm

408, 408, 411, 431, 432, 432, 433, 433, 434, 434.

Ida, king of Bernicia

424.

Idaho

1592, 1603, 1607; territory, 1594.

ideographs

138.

ideology

1702, 1702.

Ides of March

241.

Idrija

911.

Idris, Yusuf, writer

3915.

Idris I, king of Libya

[3947](#).  
Idris II, Idrisid ruler  
[293](#).  
Idris ben Ali, Alawoma  
[871](#).  
Idris ben Ali, Katatarambe  
[354](#).  
Idris Bitlisi, historian  
[315](#).  
Idris ibn Abdallah, Idrasid leader  
[293](#).  
Idrisid dynasty  
[293](#).  
Idumaea  
[250](#).  
Ieharu, Tokugawa, Japanese shogun  
[861](#).  
Iemitsu, Tokugawa, Japanese shogun  
[859](#).  
Iemochi, Tokugawa, Japanese leader  
[1438](#), [1439](#), [1440](#), [1443](#), [1446](#).  
Ienari, Tokugawa, Japanese shogun  
[862](#), [1437](#).  
Ienobu, Tokugawa, Japanese shogun  
[861](#).  
Iesada, Japanese shogun  
[1438](#).  
Ietsuna, Tokugawa, Japanese shogun  
[860](#), [860](#), [861](#).  
Ieyasu, Tokugawa, Japanese shogun  
[576](#), [857](#), [858](#), [858](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [861](#).  
Ieyoshi, Japanese shogun  
[1438](#).  
Ifat  
[346](#), [360](#).  
Ife, art tradition  
[345](#), [359](#), [359](#).  
Ifriqiya  
[293](#).  
Igana  
[875](#).

Igbos

[2554](#), [2554](#), [2559](#), [4320](#), [4320](#), [4320](#), [4324](#), [4325](#), [4367](#), [4368](#), [4368](#).

Igbo-Ukwe

[345](#), [351](#).

I. G. Farben, chemicals

[1700](#).

Igi-Halki, king of Elam

[122](#).

Iglesia Filipina Independiente

[1485](#).

Iglesias, Miguel, Latin American leader

[1663](#), [1670](#), [1670](#).

Iglesias, Rafael, Latin American leader

[1685](#).

Iglesias, Santiago, Puerto Rican leader

[2308](#).

Ignatiev, Nicholas

[1106](#).

Ignatius, patriarch of Constantinople

[409](#), [435](#), [435](#), [435](#).

Ignatius of Antioch, bishop

[259](#).

Ignatius of Loyola, St.

[604](#).

igny, Champagne

[443](#).

Igor, Russian prince

[436](#).

Iguala, plan of, and Mexican independence

[1653](#), [1653](#), [1655](#).

Ijaw

[4372](#).

Ijebu

[1517](#).

Ikeda Hayato, Japanese leader

[4233](#), [4234](#), [4235](#).

Ikhshidid dynasty

[317](#), [317](#), [317](#).

Ikhuleni, king of Hamath

[106](#).

Ikhwan

[1364](#), [2413](#).  
Iki  
[163](#), [395](#), [395](#).  
Ikk  Buddhism  
[396](#).  
Ikoyi  
[875](#).  
Ikshvaku dynasty  
[133](#).  
I  Bank, Turkey  
[2326](#).  
Ilbert Bill, England  
[1398](#).  
Ilchinhoe society, Japan  
[1436](#), [1436](#).  
Île de France  
[449](#), [1561](#). *See* [Mauritius](#).  
Iliad  
[173](#).  
Iliescu, Ion, Romanian leader  
[3254](#), [3255](#), [3256](#), [3256](#), [3257](#), [3257](#), [3257](#), [3257](#), [3260](#).  
Ilinden-Preobrazhensko rising  
[1323](#).  
Ili River  
[853](#), [1418](#).  
Ilkhanid dynasty  
[281](#), [281](#), [305](#), [305](#), [305](#), [305](#), [306](#), [306](#), [306](#), [306](#), [307](#), [319](#), [374](#).  
Illegal Immigrant Reform and Immigrant Responsibility Act, U.S.  
[3435](#).  
Illia, Arturo, Argentine leader  
[3486](#), [3487](#), [3487](#).  
Illinois  
[921](#), [922](#), [922](#), [1580](#), [1596](#), [1618](#), [2188](#), [2193](#).  
Illinois Central Railroad  
[1580](#).  
Illinois River  
[922](#).  
Illyria  
[182](#), [206](#), [211](#), [230](#), [233](#), [257](#), [258](#), [258](#), [261](#), [270](#), [431](#), [505](#).  
Illyrian Provinces  
[1026](#), [1032](#), [1073](#).

Illyrian Wars  
[230](#), [231](#).

Illyricum  
[240](#), [242](#), [261](#), [261](#), [262](#), [403](#).

Ilmaqa  
[126](#), [128](#).

Ilocos  
[868](#).

Ilorin, Nigeria  
[1513](#), [2556](#); kingdom, [1513](#).

Iltutmish, ruler of India  
[331](#), [331](#), [331](#), [331](#).

Imad al-Din Zangi, Zangid leader  
[301](#), [302](#), [318](#), [318](#).

Imam, Fakhr, Pakistani leader  
[4009](#).

Imam Ahmad, Yemenite ruler  
[3891](#), [3891](#), [3891](#).

Imam Husayn, grandson of Muhammad  
[1358](#).

Imam Muhammad al-Badr, Yemenite ruler  
[3891](#), [3891](#).

Imam Yahya, Arab leader  
[2408](#), [2408](#), [2411](#), [2415](#).

Imam Yahya, Yemenite ruler  
[3891](#).

Imbert Barreras, Antonio, Dominican leader  
[3739](#), [3739](#).

Imbros  
[168](#), [199](#), [203](#), [564](#), [2144](#).

Imdun  
*See* [Lintun](#).

Imerina  
[1561](#), [1561](#), [1561](#).

Imhotep, Egyptian architect  
[91](#).

Immaculate Conception, Roman Catholic dogma  
[1211](#).

Immelmann, Max, German pilot  
[1765](#).

immigrants



2906.

immigration

2643, 2643, 2700, 3024, 3725, 4297, 4316; Africa, 362, 366, 366, 366, 366, 4320; North America, 935; Madagascar, 1562; U.S., 1563, 1563, 1582, 1598, 1601, 1602, 1610, 1616, 1901, 2192, 2194, 2199, 2696, 3396, 3412, 3427, 3427, 3428, 3433, 3435, 3436; Canada, 1640, 3443, 3458; France, 1901, 2876, 2881, 2881; Latin America, 2238; Uruguay, 2252, 2252; Panama, 2275; Costa Rica, 2287; Dominican Republic, 2314; Palestine, 2386, 2388, 2389, 2390, 2390, 2393; Southeast Asia, 2448, 4047; Burma, 2448; Malaya, 2455; Pacific area, 2530; Philippines, 2534, 2534; Australia, 2541, 2543, 4295; Ethiopia, 2563; Western Europe, 2700; Europe, 2700; Great Britain, 2779, 2780, 2781; Belgium, 2824; Netherlands, 2832; Spain, 2906; Italy, 2945; Switzerland, 2972, 2973, 2979, 2980, 2980, 2981; West Germany, 2997, 3009; Germany, 3022, 3024; Austria, 3038, 3038, 3038; Denmark, 3050; Norway, 3058; Czechoslovakia, 3137; Russia, 3303; Estonia, 3321; Venezuela, 3596; Surinam, 3630; El Salvador, 3673; Cuba, 3720, 3722, 3725; North Africa, 3769; Arab Workers, 3776; Turkey, 3790, 3793, 3796; Israel, 3857, 3857; Algeria, 3929; Tunisia, 3941; Ceylon, 4028, 4031; New Zealand, 4314; Nigeria, 4369; Djibouti, 4393.

Immigration Act, South Africa

1559.

Immigration Acts, U.S.

1615, 2192, 2194.

Immigration and Naturalization Service, INS

3433.

Immigration Reform and Control Act, U.S.

3428.

Immigration Restriction Act, Australia

1497.

impeachment

513; of Andrew Johnson, 1594; of Bill Clinton, 3438.

Imperial Academy of Painting, China

373.

Imperial British East Africa Company

1541.

Imperial Conference, Great Britain

1699, 1841, 1844, 1847.

Imperial Council, Russia

1264.

Imperial Diet, Holy Roman Empire

752.

Imperial Economic Conference, Ottawa

2229.

Imperial Federation League, Canada

[1635](#).

imperialism

[1706](#), [1706](#); 1800–1914, [953](#), [953](#), [954](#), [954](#), [954](#), [955](#), [955](#), [955](#), [955](#), [955](#), [955](#), [955](#), [962](#), [1064](#), [1099](#), [1111](#), [1120](#), [1144](#), [1146](#), [1162](#), [1199](#), [1236](#); British, [953](#); French, [953](#); Africa, [1235](#), [1327](#); the Pacific region, [1505](#).

Imperial Maritime Customs Service, China

[1417](#).

Imperial Munitions Board, Canada

[2218](#).

Imperial Museum, Istanbul

[1338](#).

Imperial Rescript, Hatt-i Humayun

[1334](#).

Imperial Rescript (Hatt-i Sherif) of Gulhane

[1331](#).

Imperial Rule Assistance Association, Japan

[2520](#).

Imperial School of Medicine, Istanbul

[1331](#).

Imperial Senate, Finland

[1079](#).

Imperial Way Faction, Japan

[2511](#), [2516](#).

Import-Export Bank

[4282](#).

impressionism

[1146](#).

Imredy, Béla, Hungarian leader

[2031](#), [2032](#), [2032](#).

IMRO, Macedonian terrorists

[2162](#), [2167](#).

Inanna

[83](#), [84](#), [121](#).

Inayatullah, emir of Afghanistan

[2348](#).

incandescent light bulb

[990](#).

Incas, Peru

[60](#), [63](#), [281](#), [570](#), [570](#), [570](#), [570](#), [570](#), [898](#), [898](#), [898](#), [898](#), [898](#), [898](#), [899](#), [899](#), [899](#), [913](#).

Inche Yusof bin Ishak, Singaporean leader

[4105](#).  
Inch'on, Korea  
[4194](#), [4212](#).  
income tax  
[1608](#).  
Indattu II, king of Simashki  
[122](#).  
Independence Club, Korea  
[1433](#), [1433](#).  
Independence of India League  
[2437](#).  
Independence Party, Hungary  
[1246](#), [1246](#).  
Independence Tribunals, Turkey  
[2327](#).  
Independent Irish Party  
[1166](#).  
Independent Republican Party, France  
[2858](#).  
Independents  
*See* [Congregationalists](#).  
Index of forbidden books, Roman Catholic Church  
[609](#).  
India  
[39](#), [39](#), [45](#), [45](#), [48](#), [48](#), [51](#), [51](#), [67](#), [67](#), [68](#), [68](#), [73](#), [73](#), [73](#), [73](#), [73](#), [73](#), [73](#), [74](#), [75](#), [77](#), [78](#), [78](#),  
[79](#), [86](#), [123](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [129](#),  
[129](#), [129](#), [129](#), [129](#), [129](#), [129](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [130](#),  
[130](#), [130](#), [130](#), [130](#), [130](#), [130](#), [131](#), [131](#), [131](#), [131](#), [131](#), [131](#), [131](#), [131](#), [132](#), [132](#), [132](#), [132](#),  
[132](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [133](#), [134](#), [134](#),  
[134](#), [135](#), [135](#), [135](#), [135](#), [136](#), [137](#), [158](#), [158](#), [158](#), [158](#), [207](#), [207](#), [213](#), [214](#), [217](#), [271](#),  
[276](#), [278](#), [281](#), [281](#), [282](#), [282](#), [285](#), [287](#), [292](#), [295](#), [295](#), [300](#), [300](#), [301](#), [302](#), [303](#), [306](#),  
[323](#), [324](#), [324](#), [324](#), [324](#), [324](#), [325](#), [325](#), [325](#), [325](#), [326](#), [329](#), [329](#), [330](#), [331](#), [331](#), [331](#),  
[331](#), [331](#), [331](#), [331](#), [331](#), [332](#), [333](#), [335](#), [336](#), [337](#), [339](#), [339](#), [343](#), [343](#), [343](#), [347](#), [362](#),  
[362](#), [370](#), [378](#), [391](#), [397](#), [474](#), [572](#), [572](#), [573](#), [575](#), [578](#), [578](#), [578](#), [579](#), [580](#), [580](#), [604](#),  
[605](#), [656](#), [666](#), [794](#), [813](#), [817](#), [817](#), [819](#), [819](#), [819](#), [819](#), [819](#), [819](#), [830](#), [830](#), [830](#), [830](#), [830](#), [830](#),  
[830](#), [830](#), [831](#), [831](#), [831](#), [832](#), [832](#), [834](#), [834](#), [834](#), [834](#), [835](#), [835](#), [835](#), [836](#), [836](#), [837](#),  
[842](#), [843](#), [847](#), [867](#), [869](#), [914](#), [953](#), [953](#), [955](#), [956](#), [956](#), [958](#), [961](#), [961](#), [962](#), [972](#), [1051](#),  
[1108](#), [1129](#), [1157](#), [1259](#), [1346](#), [1354](#), [1354](#), [1356](#), [1357](#), [1394](#), [1394](#), [1394](#), [1394](#),  
[1394](#), [1394](#), [1394](#), [1394](#), [1394](#), [1394](#), [1394](#), [1395](#), [1395](#), [1395](#), [1395](#), [1395](#), [1395](#),  
[1396](#), [1396](#), [1396](#), [1397](#), [1397](#), [1397](#), [1397](#), [1397](#), [1397](#), [1397](#), [1397](#), [1398](#), [1398](#), [1398](#),  
[1398](#), [1398](#), [1398](#), [1398](#), [1399](#), [1400](#), [1401](#), [1402](#), [1402](#), [1402](#), [1402](#), [1402](#), [1415](#),

[1473](#), [1477](#), [1494](#), [1536](#), [1552](#), [1553](#), [1557](#), [1640](#), [1703](#), [1706](#), [1707](#), [1839](#), [2346](#), [2346](#), [2408](#), [2432](#), [2432](#), [2437](#), [2448](#), [2448](#), [2561](#), [2637](#), [2637](#), [2638](#), [2640](#), [2641](#), [2641](#), [2643](#), [2644](#), [2648](#), [2654](#), [2668](#), [2671](#), [2679](#), [2680](#), [2682](#), [2692](#), [2694](#), [2763](#), [2780](#), [2914](#), [3173](#), [3269](#), [3836](#), [3950](#), [3951](#), [3952](#), [3952](#), [3953](#), [3953](#), [3953](#), [3953](#), [3954](#), [3954](#), [3954](#), [3954](#), [3955](#), [3956](#), [3956](#), [3956](#), [3956](#), [3957](#), [3957](#), [3957](#), [3957](#), [3958](#), [3958](#), [3959](#), [3960](#), [3960](#), [3960](#), [3960](#), [3961](#), [3962](#), [3962](#), [3962](#), [3963](#), [3964](#), [3964](#), [3965](#), [3965](#), [3966](#), [3966](#), [3966](#), [3966](#), [3967](#), [3971](#), [3971](#), [3971](#), [3973](#), [3973](#), [3974](#), [3975](#), [3976](#), [3977](#), [3977](#), [3977](#), [3978](#), [3980](#), [3980](#), [3981](#), [3983](#), [3984](#), [3987](#), [3987](#), [3987](#), [3988](#), [3988](#), [3989](#), [3990](#), [3990](#), [3990](#), [3995](#), [3997](#), [3998](#), [4003](#), [4003](#), [4003](#), [4008](#), [4013](#), [4014](#), [4014](#), [4016](#), [4016](#), [4016](#), [4017](#), [4026](#), [4028](#), [4028](#), [4031](#), [4036](#), [4037](#), [4037](#), [4042](#), [4043](#), [4075](#), [4151](#), [4151](#), [4262](#), [4320](#); postclassical, [276](#), [277](#), [324](#), [326](#); and Southeast Asia, [339](#), [339](#), [339](#), [340](#), [340](#), [341](#), [341](#); and Africa, [890](#), [1529](#), [1559](#); and the Middle East, [1329](#); and Great Britain, [1350](#), [2432](#), [2432](#), [2432](#), [2432](#), [2432](#), [2433](#), [2433](#), [2433](#), [2435](#), [2437](#), [2438](#), [2439](#), [2440](#), [2441](#), [2441](#), [2442](#), [2443](#), [2444](#), [2445](#), [2446](#), [2446](#), [2446](#), [2447](#), [2447](#), [2636](#), [3951](#), [3951](#), [3951](#), [3952](#), [3952](#), [3953](#), [3953](#), [3953](#), [3956](#), [3966](#); and Afghanistan, [1354](#), [1355](#), [1355](#), [1355](#), [1356](#); and Arabia, [1358](#), [1362](#); and Burma, [1403](#); WWI, [1768](#), [2432](#), [2432](#); makeup, [2432](#), [3950](#); democracy, [2432](#); religion, [2432](#); WWII, [2432](#), [2630](#); Great Depression, [2432](#), [2435](#), [2445](#); and Japan, [2435](#); and Germany, [2435](#), [2445](#); and United States, [2435](#); between Wars, [2437](#), [2437](#), [2443](#), [2445](#); independence, [2759](#), [3953](#); postcolonial issues, [3950](#), [3950](#), [3951](#); Dominion, [3954](#); integration and organization, [3955](#), [3960](#), [3968](#), [3977](#), [3977](#), [3977](#); and Russia, [3957](#), [3959](#), [3960](#), [3960](#), [3966](#), [3967](#), [3968](#), [3971](#); and U.S., [3957](#), [3960](#), [3964](#), [3964](#), [3966](#), [3966](#), [3968](#), [3987](#); Republic, [3957](#); and China, [3960](#), [3962](#), [3963](#), [3964](#), [3964](#), [3964](#), [3964](#), [3964](#), [3965](#), [3968](#), [3974](#), [4144](#), [4152](#), [4152](#), [4153](#), [4153](#), [4155](#); economy, [3961](#), [3963](#), [3976](#), [3978](#), [3983](#), [3984](#), [3986](#); and neocolonialism, [3963](#); official language, [3966](#); student unrest, [3967](#); and Korea, [4195](#), [4198](#).

India Act, England

[836](#), [1157](#).

Indiana

[2188](#).

Indian Airlines

[3836](#), [3975](#).

Indian Association

[1398](#).

Indian Gambling Regulatory Act

[3435](#).

Indian Independence Bill

[3953](#).

Indian Legislative Assembly

[2437](#).

Indian National Congress

[1398](#), [1398](#), [1706](#), [2432](#), [2432](#), [2432](#), [2432](#), [2433](#), [2434](#), [2435](#), [2437](#), [2437](#), [2440](#),  
[2441](#), [2442](#), [2443](#).

Indian Ocean

[24](#), [45](#), [45](#), [49](#), [109](#), [207](#), [245](#), [278](#), [281](#), [281](#), [281](#), [282](#), [285](#), [343](#), [343](#), [343](#), [343](#), [346](#),  
[346](#), [347](#), [350](#), [351](#), [351](#), [362](#), [364](#), [376](#), [575](#), [578](#), [579](#), [579](#), [581](#), [791](#), [837](#), [839](#), [840](#),  
[953](#), [953](#), [956](#), [1394](#), [1506](#), [1506](#), [1795](#), [2676](#), [3281](#).

Indian Patriotic Association

[1398](#).

Indian policies, U.S.

[1575](#), [1593](#).

Indian Removal Act, U.S.

[1575](#).

Indians

[28](#), [34](#), [40](#), [40](#), [53](#), [58](#), [61](#), [957](#), [1563](#), [1565](#), [1706](#), [2698](#); American, [40](#), [53](#), [579](#), [894](#),  
[894](#), [895](#), [895](#), [895](#), [896](#), [897](#), [897](#), [899](#), [899](#), [899](#), [900](#), [900](#), [901](#), [903](#), [905](#), [906](#), [908](#),  
[908](#), [908](#), [908](#), [908](#), [908](#), [909](#), [910](#), [910](#), [911](#), [911](#), [911](#), [911](#), [912](#), [912](#), [912](#), [913](#), [913](#),  
[913](#), [913](#), [913](#), [914](#), [914](#), [914](#), [914](#), [915](#), [915](#), [915](#), [916](#), [916](#), [918](#), [918](#), [918](#), [918](#), [918](#),  
[919](#), [920](#), [920](#), [921](#), [925](#), [925](#), [927](#), [927](#), [928](#), [932](#), [933](#), [933](#), [934](#), [935](#), [935](#), [937](#), [938](#),  
[939](#), [939](#), [939](#), [939](#), [940](#), [940](#), [941](#), [941](#), [946](#), [952](#), [1563](#), [1567](#), [1571](#), [1574](#), [1575](#),  
[1575](#), [1576](#), [1587](#), [1587](#), [1587](#), [1589](#), [1593](#), [1594](#), [1594](#), [1597](#), [1598](#), [1601](#), [1602](#),  
[1604](#), [1623](#), [1623](#); South American, [505](#), [1644](#), [1649](#), [1649](#), [1657](#), [1658](#), [1658](#), [1663](#),  
[1667](#), [1668](#), [1668](#), [1668](#), [1668](#), [1669](#), [1670](#), [1670](#), [1670](#), [1670](#), [1670](#), [1670](#), [1670](#),  
[1670](#), [1671](#), [1671](#), [1671](#), [1672](#), [1674](#); North American, [505](#), [1622](#), [1623](#), [1623](#), [1630](#),  
[1630](#), [1630](#), [1634](#); Latin American, [899](#), [2698](#); Central American, [1680](#), [1680](#), [1681](#),  
[1681](#), [1682](#), [1682](#), [1683](#), [1683](#), [1691](#), [1691](#), [1692](#); Bolivia, [2257](#), [2257](#), [3538](#), [3548](#);  
Peru, [2259](#), [2260](#), [2260](#), [3552](#), [3553](#), [3562](#); Guatemala, [2278](#), [3654](#), [3654](#), [3654](#), [3655](#),  
[3655](#), [3656](#); Mexico, [2294](#), [2296](#), [2298](#), [3710](#), [3712](#); Ecuador, [3479](#), [3571](#), [3571](#), [3572](#),  
[3573](#), [3574](#); Colombia, [3583](#), [3586](#); Brazil, [3617](#), [3622](#), [3623](#); Nicaragua, [3676](#). *See*  
[Amerindians](#); [Native Americans](#).

Indian Socialist Party

[3958](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 36

Indian Territory

[1576](#), [1589](#), [1597](#).

Indian Union

[3954](#), [3973](#).

India-Pakistan relations

[2662](#), [2696](#).

Indic kingdoms

[135](#).

Indies

[281](#), [572](#), [572](#), [603](#), [605](#), [611](#), [657](#), [657](#), [895](#), [908](#), [909](#), [909](#), [909](#), [910](#), [910](#), [911](#), [2457](#).

Indies Communist Party, PKI

[2456](#), [2456](#).

Indigenista movement, Mexico

[2296](#).

Indios, Philippines

[1480](#).

indirect rule policy

[1511](#), [1519](#), [1537](#).

Indjova, Reneta, Bulgarian leader

[3244](#).

Indochina

[339](#), [953](#), [1402](#), [1473](#), [1475](#), [1706](#), [2211](#), [2451](#), [2526](#), [2527](#), [2528](#), [2529](#), [2636](#), [2651](#), [2653](#), [2843](#), [2844](#), [2847](#), [2849](#), [4064](#), [4069](#), [4071](#), [4081](#), [4082](#), [4093](#), [4101](#), [4254](#), [4254](#), [4256](#), [4256](#), [4262](#), [4266](#), [4272](#), [4273](#); between Wars, [2453](#); Great Depression, [2453](#); WWII, [2520](#), [2521](#), [2624](#), [2624](#), [2624](#), [2625](#), [2625](#); and U.S., [3398](#).

Indochinese Federation

[4254](#).

Indochinese People's Conference

[4082](#).

Indo-European, language family

[67](#), [113](#), [113](#), [114](#), [119](#), [129](#), [170](#), [222](#), [222](#).

Indo-European peoples  
[67](#), [86](#), [154](#), [430](#), [482](#), [482](#).

Indo-Fijians  
[2530](#).

Indonesia (Netherlands East Indies)  
[294](#), [347](#), [366](#), [366](#), [843](#), [843](#), [867](#), [1402](#), [1414](#), [1414](#), [1414](#), [1706](#), [2455](#), [2456](#), [2456](#), [2627](#), [2636](#), [2636](#), [2637](#), [2641](#), [2644](#), [2644](#), [2673](#), [2681](#), [2697](#), [2828](#), [2829](#), [2830](#), [2921](#), [3279](#), [4047](#), [4047](#), [4106](#), [4106](#), [4106](#), [4107](#), [4107](#), [4107](#), [4107](#), [4109](#), [4119](#), [4121](#), [4123](#), [4123](#), [4124](#), [4125](#), [4125](#), [4125](#), [4130](#), [4131](#), [4133](#), [4134](#), [4135](#), [4136](#), [4136](#), [4136](#), [4137](#), [4138](#), [4138](#), [4138](#), [4138](#), [4139](#), [4139](#), [4147](#), [4283](#), [4293](#), [4302](#); WWI, [2456](#); ideal of one nation, [2456](#); language, [2456](#); and Netherlands, [2456](#), [2457](#), [2457](#), [4119](#), [4119](#), [4120](#), [4120](#), [4120](#), [4120](#), [4120](#), [4121](#), [4122](#), [4125](#), [4126](#), [4126](#), [4127](#), [4130](#), [4131](#), [4136](#); makeup, [2458](#), [4047](#); WWII, [2625](#); economy, [4047](#), [4134](#), [4136](#), [4137](#), [4137](#); Republic, [4119](#); United States of Indonesia, [4119](#), [4122](#), [4122](#), [4123](#); Great East, [4119](#); and Great Britain, [4119](#); Republic of Indonesia, [4123](#); and Russia, [4125](#), [4129](#), [4135](#); and China, [4128](#), [4135](#); student unrest, [4133](#), [4137](#), [4137](#). *See* [Netherlands East Indies](#).

Indonesian Democracy Party-Struggle, PDI-P  
[4138](#).

Indonesian National Party, PNI  
[2456](#).

Indonesian People's Army  
[2457](#).

Indo-Persian culture  
[830](#), [832](#), [834](#).

Indore  
[325](#), [835](#).

Indra  
[129](#).

Indrapura  
[367](#).

Indus River  
[39](#), [42](#), [48](#), [62](#), [62](#), [65](#), [65](#), [66](#), [120](#), [124](#), [129](#), [129](#), [129](#), [207](#), [217](#), [290](#), [325](#), [334](#), [1354](#), [3995](#).

Industrial and Agricultural Bank of Iran  
[2344](#).

Industrial and Agricultural Bank of Iraq  
[2405](#).

Industrial and Commercial Union, ICU  
[2577](#), [2578](#).





[3271](#).  
Ingushetia  
[3370](#).  
Inhambane  
[4464](#).  
inheritance laws  
[1076](#); in France, [1018](#).  
Injo, Korean king  
[856](#), [856](#).  
Injong, Korean king  
[382](#).  
Inkatha Freedom Party, IFP  
[4477](#), [4480](#), [4481](#), [4482](#), [4483](#), [4484](#).  
Inland Sea  
[163](#), [386](#), [387](#), [387](#).  
Inland Steel Company  
[2206](#).  
Inner Mongolia  
[2462](#), [2480](#), [2496](#), [2634](#).  
Innocent I, pope  
[401](#), [401](#).  
Innocent II, pope  
[456](#), [468](#), [471](#).  
Innocent III, pope  
[445](#), [445](#), [445](#), [448](#), [450](#), [450](#), [452](#), [457](#), [457](#), [457](#), [460](#), [469](#), [469](#), [469](#), [469](#), [469](#), [469](#), [469](#),  
[469](#), [470](#), [476](#), [505](#), [507](#), [507](#), [507](#).  
Innocent IV, pope  
[458](#), [459](#), [459](#), [459](#), [459](#), [469](#), [557](#).  
Innocent VI, pope  
[530](#).  
Innocent VIII, pope  
[532](#), [533](#).  
Innocent X, pope  
[736](#).  
Innocent XI, pope  
[736](#), [918](#).  
Innocent XII, pope  
[736](#), [736](#).  
Innocent XIII, pope  
[737](#).  
Inn River

624.  
Innsbruck  
1089.  
Innsbruck, University of  
758.  
Inns of Court, London  
446.  
Inönü, İsmet, Turkish leader  
2321, 2333, 2632, 3787, 3793, 3796.  
Inoue, Kaoru  
1442.  
Inquisition  
451, 469, 595, 609, 609, 744; Spain, 525, 601, 718, 719, 726, 823; Portugal, 605, 727, 730, 730, 730, 918, 1064; Roman, 639, 742; Italy, 748; in the Americas, 910, 1653.  
Inshushinak  
121, 122.  
Institut des hautes études, Dakar  
4323.  
Institute for the Investigation of Barbarian Books, Japan  
1442.  
Institute of Civil Engineers, London  
983.  
Institute for Sexual Science, Berlin  
1814.  
Institute of Social Reform, Spain  
1204, 1204.  
Institute of Technology, Technion  
2389.  
Institute of Western Books, Japan  
1442.  
Institutes  
260.  
Institutio Oratoria  
246.  
Instruction of Amunemope  
93.  
Instructions for King Merikare  
91.  
Instructions of King Amenemhet  
92.  
Instrument of Government, England

[594](#), [671](#).  
Insubres  
[228](#), [233](#).  
Insular Cases, U.S. Supreme Court  
[1611](#).  
insurance  
[1142](#), [1163](#), [1229](#), [1235](#), [1262](#), [1621](#), [2273](#); life, [683](#), [711](#); marine, [686](#);  
unemployment, [1841](#), [1843](#), [1873](#); old-age pensions, [1854](#), [1895](#), [1905](#); disability  
insurance, [1895](#); social insurance, [1908](#), [1970](#), [1998](#), [2014](#), [2027](#), [2049](#), [2056](#), [2205](#),  
[2205](#), [2231](#), [2832](#), [2858](#), [2942](#), [2968](#), [2991](#), [3062](#); medical, [2822](#); health insurance,  
[2850](#). *See* [social reforms](#).  
Insurgents, Spanish Civil War  
[1725](#), [1929](#), [1929](#), [1929](#), [1929](#), [1930](#), [1930](#), [1930](#), [1931](#), [1931](#), [1932](#), [1939](#), [1954](#),  
[1955](#), [1990](#).  
Inter-Allied Commission of Military Control  
[1826](#).  
Inter-American Conferences  
[2240](#), [3466](#), [3466](#), [3467](#).  
Inter-American Drug Control Committee  
[3475](#).  
Inter-American Mutual Assistance Treaty  
[3466](#).  
Inter-American Peace Committee  
[3639](#).  
Inter-American relations  
[2601](#), [2603](#); Havana conference, [2599](#); Rio conference, [2601](#), [2601](#); Mexico City  
conference, [2603](#).  
Intercolonial Railway  
[1632](#).  
Intercursus Magnus, commercial treaty between England and the Netherlands  
[585](#).  
Integralista, green shirt movement  
[2273](#), [2273](#), [2273](#).  
Interim People's Committee, Korea  
[4190](#).  
interlacustrine region, Africa  
[1506](#), [1535](#).  
Intermediate-Range Nuclear Forces (INF) Treaty  
[2683](#), [2684](#).  
Internal Macedonian Revolutionary Organization, IMRO  
[1321](#), [1321](#), [3197](#).

Internal Revenue Service, IRS  
[3437](#).

Internal Security Bill, U.S.  
[3394](#).

International Amateur Athletic Federation, IAAF  
[960](#), [1706](#).

International Antarctic Treaty  
[998](#).

International Association for the Exploration and Civilization of Africa  
[1509](#).

International Association for the Exploration and Civilization of Central Africa  
[1112](#), [1539](#), [1540](#).

International Association of the Congo  
[1112](#), [1540](#), [1540](#), [1540](#).

International Atomic Energy Agency, IAEA  
[2641](#), [2737](#).

International Bank for Reconstruction and Development  
[1700](#), [2633](#), [2640](#).

International Bank of Economic Collaboration  
[2724](#).

International Broadcasting Union  
[1700](#).

International Brotherhood of Teamsters, U.S.  
[3409](#).

International Chamber of Commerce  
[1700](#), [1708](#).

International Commission for Air Navigation  
[1698](#), [1708](#).

International Committee of the Red Cross  
[959](#).

International Conference on AIDS, Vancouver  
[2692](#).

International Conferences of American States  
[1699](#).

International Court of Justice, The Hague  
[974](#).

International Court of Justice, ICJ  
[2634](#), [2638](#), [2638](#), [2649](#), [2651](#), [2668](#), [2676](#), [2680](#), [2681](#), [2688](#), [2764](#), [2777](#), [2922](#),  
[3694](#), [3948](#), [4316](#), [4361](#), [4475](#), [4476](#).

international expeditionary force  
[1424](#).

international expositions  
[1700](#); [1800–1914](#), [959](#).

International Federation of Business  
[1701](#).

International Federation of Red Cross and Red Crescent Societies  
[1701](#), [1708](#).

International Finance Commission  
[1390](#).

International Geographical Conference, Sixth  
[996](#).

International Geophysical Year  
[998](#), [2655](#).

International Hotel Alliance  
[1700](#), [1709](#).

International Institute of Agriculture  
[1698](#).

International Investment Bank  
[2732](#).

International Labor Office  
[3267](#).

International Labor Organization, ILO  
[1698](#), [1708](#), [2638](#), [2674](#), [2797](#).

International Meteorological Organization  
[959](#), [1698](#).

International Missionary Conference  
[1709](#).

International Missionary Council  
[1701](#), [2658](#).

International Monetary Fund, IMF  
[1700](#), [2633](#), [2640](#), [2640](#), [2645](#), [2667](#), [2673](#), [2757](#), [2789](#), [2850](#), [3102](#), [3111](#), [3113](#),  
[3113](#), [3137](#), [3137](#), [3140](#), [3140](#), [3153](#), [3160](#), [3175](#), [3204](#), [3241](#), [3251](#), [3303](#), [3335](#),  
[3341](#), [3347](#), [3365](#), [3385](#), [3390](#), [3500](#), [3522](#), [3528](#), [3546](#), [3555](#), [3557](#), [3569](#), [3569](#),  
[3570](#), [3571](#), [3601](#), [3611](#), [3619](#), [3628](#), [3643](#), [3689](#), [3689](#), [3689](#), [3690](#), [3691](#), [3695](#),  
[3698](#), [3704](#), [3709](#), [3742](#), [3742](#), [3763](#), [3792](#), [4073](#), [4137](#), [4183](#), [4219](#), [4251](#), [4275](#),  
[4292](#), [4292](#), [4320](#), [4329](#), [4331](#), [4404](#), [4426](#), [4447](#), [4468](#), [4492](#), [4492](#); Committee of  
Twenty, [2669](#), [2671](#).

International Olympic Committee  
[2667](#).

International Petroleum Company, IPC  
[3553](#), [3554](#).

International Polar Stations

[996](#).  
International Postal Congress, Berne  
[1228](#).  
International Red Cross  
[2125](#), [4197](#).  
international relations  
[959](#), [959](#), [959](#), [962](#), [965](#), [970](#), [999](#), [1099](#).  
International Ruhr Authority  
[2708](#).  
International Shipping Conference  
[1700](#), [1709](#).  
International Statistical Congress, Brussels  
[959](#), [1147](#).  
International Telecommunications Satellite Organization, INTELSAT  
[2641](#).  
International Telecommunication Union  
[1698](#).  
International Telegraphic Union  
[959](#).  
International Telephone and Telegraph  
[3512](#).  
International Union of American Republics  
[1699](#).  
International Whaling Commission  
[2642](#), [2676](#), [2689](#).  
International Wool Textile Organization  
[1700](#).  
International Workingmen's Associations  
[959](#), [959](#).  
Interpartidária, Uruguay  
[3532](#).  
Interprovincial Conference, Canada  
[1635](#).  
interstate commerce  
[1596](#).  
Interstate Commerce Act, U.S.  
[1602](#), [1614](#).  
Interstate Commerce Commission, ICC  
[1602](#), [2191](#), [2204](#), [2205](#), [3400](#), [3406](#).  
Interstate Highway Act, U.S.  
[3401](#).



[303](#), [304](#), [305](#), [305](#), [305](#), [305](#), [306](#), [306](#), [306](#), [307](#), [307](#), [307](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [308](#), [308](#), [315](#), [316](#), [323](#), [575](#), [578](#), [579](#), [791](#), [791](#), [792](#), [794](#), [795](#), [795](#), [797](#), [797](#), [798](#), [799](#), [806](#), [807](#), [807](#), [807](#), [807](#), [807](#), [809](#), [812](#), [812](#), [812](#), [812](#), [813](#), [813](#), [813](#), [814](#), [814](#), [814](#), [815](#), [815](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [817](#), [817](#), [817](#), [817](#), [817](#), [817](#), [817](#), [817](#), [819](#), [819](#), [819](#), [819](#), [819](#), [819](#), [821](#), [953](#), [1327](#), [1346](#), [1349](#), [1349](#), [1349](#), [1349](#), [1349](#), [1349](#), [1350](#), [1350](#), [1350](#), [1350](#), [1350](#), [1350](#), [1351](#), [1351](#), [1351](#), [1351](#), [1351](#), [1351](#), [1351](#), [1352](#), [1352](#), [1352](#), [1353](#), [1353](#), [1353](#), [1354](#), [1703](#), [1703](#), [2317](#), [2331](#), [2333](#), [2334](#), [2334](#), [2334](#), [2334](#), [2335](#), [2335](#), [2336](#), [2345](#), [2346](#), [2636](#), [2637](#), [2638](#), [2640](#), [2640](#), [2644](#), [2644](#), [2646](#), [2651](#), [2654](#), [2675](#), [2676](#), [2678](#), [2679](#), [2684](#), [2685](#), [2764](#), [2764](#), [2766](#), [2766](#), [2865](#), [2882](#), [3003](#), [3308](#), [3366](#), [3426](#), [3606](#), [3768](#), [3768](#), [3770](#), [3771](#), [3771](#), [3775](#), [3778](#), [3778](#), [3780](#), [3781](#), [3782](#), [3784](#), [3786](#), [3813](#), [3813](#), [3814](#), [3814](#), [3822](#), [3825](#), [3826](#), [3827](#), [3828](#), [3828](#), [3829](#), [3830](#), [3830](#), [3833](#), [3834](#), [3835](#), [3835](#), [3846](#), [3850](#), [3881](#), [3883](#), [3885](#), [3889](#), [3889](#), [3897](#), [3897](#); makeup, [301](#), [305](#), [2335](#), [3817](#); treaty with the Ottoman Empire, [801](#), [815](#); under shah Isma'il, [812](#), [812](#); under the Safavid dynasty, [812](#); wars with the Ottoman Empire, [813](#), [1328](#); treaty with France, [816](#); and Ottoman Empire, [1333](#); wars with Russia, [1349](#); British invasion, [1350](#); and Afghanistan, [1354](#), [1354](#); and Arabia, [1360](#); WWI, [1748](#), [1750](#), [1750](#), [1752](#), [1752](#), [1753](#), [2334](#); civil service code, [2337](#); postal service, [2337](#); Arab tribes, [2338](#); names, [2338](#); calendar, [2338](#); commercial code, [2338](#); modernization, [2339](#); WWII, [2339](#), [2344](#), [2344](#), [2592](#), [2593](#), [2596](#), [2613](#), [2613](#), [2613](#), [2615](#), [2615](#); economy, [2339](#), [2339](#); law, [2340](#), [2344](#); clothing, [2340](#); oil industry, [2341](#); taxation, [2342](#); name change from Persia, [2343](#); and U.S., [3428](#), [3433](#), [3433](#), [3821](#), [3825](#), [3827](#); cost of Iran-Iraq War, [3778](#); and Russia, [3814](#), [3827](#); White Revolution, [3817](#), [3817](#), [3817](#), [3817](#), [3817](#), [3818](#); Islamic Revolution, [3820](#), [3821](#), [3826](#); Islamic Republic, [3821](#), [3821](#), [3821](#), [3822](#), [3826](#). *See* [Anglo-Iranian relations](#); [Persia](#); [Turkish-Iranian relations](#).

#### Iran-Contra Affair

[3428](#).

#### Iranian-Soviet Treaty

[2336](#).

#### Iran-Iraq Wars

[2638](#), [2679](#), [2683](#), [2684](#), [3768](#), [3775](#), [3778](#), [3782](#), [3874](#), [3880](#), [3882](#), [3883](#), [3884](#), [3898](#).

#### Iran Khodro

[2640](#).

#### Iraq

[36](#), [36](#), [285](#), [285](#), [286](#), [287](#), [287](#), [287](#), [287](#), [288](#), [288](#), [289](#), [289](#), [289](#), [290](#), [290](#), [291](#), [291](#), [292](#), [292](#), [293](#), [296](#), [296](#), [297](#), [297](#), [298](#), [299](#), [299](#), [300](#), [300](#), [301](#), [303](#), [304](#), [305](#), [305](#), [305](#), [306](#), [306](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [317](#), [317](#), [323](#), [343](#), [792](#), [792](#), [793](#), [794](#), [794](#), [800](#), [804](#), [805](#), [812](#), [812](#), [812](#), [812](#), [815](#), [821](#), [821](#), [839](#), [1333](#), [1337](#), [1349](#), [1350](#), [1358](#), [1706](#), [1717](#), [2328](#), [2333](#), [2395](#), [2398](#), [2399](#), [2399](#), [2400](#), [2400](#), [2400](#),



2400, 2401, 2402, 2404, 2405, 2405, 2405, 2405, 2406, 2406, 2410, 2413, 2636, 2638, 2641, 2654, 2679, 2686, 2687, 2801, 2879, 3428, 3606, 3768, 3769, 3769, 3770, 3771, 3771, 3771, 3771, 3771, 3771, 3772, 3775, 3778, 3778, 3780, 3780, 3782, 3782, 3782, 3783, 3783, 3784, 3801, 3801, 3818, 3826, 3841, 3843, 3874, 3875, 3878, 3878, 3878, 3878, 3879, 3880, 3880, 3881, 3883, 3883, 3884, 3884, 3884, 3884, 3885, 3885, 3885, 3885, 3885, 3886, 3886, 3886, 3886, 3887, 3887, 3887, 3887, 3888, 3896, 3899, 3900, 4118, 4406; and Ottoman Empire, 1331; makeup, 2399, 3880; and Great Britain, 2399, 2400, 2406, 3878; end of British mandate, 2403; WWII, 2591, 2591, 2592, 2612, 2614; and U.S., 3428, 3432, 3435, 3438, 3885, 3885, 3886, 3887, 3887, 3887, 3887; invasion of Kuwait, 3768; cost of Iran-Iraq War, 3778; Revolution, 3879; military expansion, 3880; planned economy, 3882; and Russia, 3883.

#### Iraqi

2638; Revolution, 3879.

#### Iraqi Kurdish Front

3885.

#### Iraq Petroleum Company

1717, 2402, 3878, 3883.

#### Ireland

5, 110, 281, 406, 416, 421, 422, 425, 425, 425, 425, 425, 425, 425, 425, 425, 426, 426, 444, 444, 445, 448, 464, 519, 585, 587, 589, 590, 591, 592, 593, 620, 668, 668, 671, 674, 674, 677, 678, 686, 691, 693, 693, 693, 693, 693, 694, 694, 694, 695, 695, 695, 695, 695, 695, 695, 695, 696, 696, 697, 698, 698, 698, 699, 699, 699, 699, 700, 700, 700, 700, 700, 700, 700, 700, 701, 701, 701, 702, 702, 999, 1004, 1048, 1049, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1051, 1052, 1159, 1162, 1162, 1162, 1164, 1164, 1164, 1165, 1165, 1166, 1166, 1167, 1168, 1168, 1168, 1168, 1168, 1168, 1168, 1168, 1169, 1169, 1170, 1170, 1170, 1170, 1170, 1170, 1170, 1170, 1487, 1563, 1563, 1630, 1839, 1858, 1858, 1859, 1861, 1862, 1863, 1863, 1864, 1864, 1864, 1866, 1868, 1871, 1876, 1877, 1878, 2676, 2728, 2733, 2736, 2745, 2750, 2756, 2781, 2799, 2806, 2808, 2809, 2811, 2814, 2815, 2825, 2833, 2836, 2885, 2910, 2951, 3039, 3082; rebellion of 1597, 589; 1800–1914, 1164; immigration to the U.S., 1582; WWI, 1741, 1796; and Great Britain, 1839, 1852, 1874; censorship, 1858; Irish Republic, 1859, 2815; Irish Nationalists, 1860, 1860; Irish Free State, 1863, 1864, 1864, 1865, 1865, 1866, 1869, 1871, 1872, 1873, 1874, 1875, 1875, 1875, 1877, 1877, 2229; Gaelic revival, 1878; WWII, 1878; Republic, 2804, 2806, 2806, 2807, 2807, 2808, 2809, 2809, 2809, 2810, 2810, 2811, 2811, 2811, 2811, 2811, 2811.

#### Irenaeus

259.

#### Irene, empress of Byzantium

433, 433.

Irene, mother of Constantine VI  
[432](#), [433](#), [433](#).

Irene, wife of Philip of Swabia  
[506](#).

Irgun, Zionist group  
[2392](#), [3769](#).

Irigoyen, Alvaro Arzú, Guatemalan leader  
[3658](#), [3658](#).

Irish Brigade  
[660](#), [1165](#).

Irish Channel  
[421](#).

Irish Church  
[444](#).

Irish Church Act, England  
[1051](#), [1168](#).

Irish Constabulary Act  
[1051](#).

Irish Free State, IFS  
[1868](#), [1868](#), [1875](#), [1876](#).

Irish Local Government Act, England  
[1170](#).

Irish National Association  
[1168](#).

Irish nationalists  
[1157](#).

Irish Parliamentary Party  
[1170](#), [1170](#).

Irish Poor Law  
[1051](#).

Irish Republican Army (IRA)  
[1867](#), [1872](#), [1875](#), [1878](#), [1879](#), [2639](#), [2786](#), [2787](#), [2790](#), [2793](#), [2796](#), [2797](#), [2798](#),  
[2800](#), [2803](#), [2809](#), [2810](#), [2811](#), [2811](#), [2812](#), [2813](#), [2814](#), [2814](#), [2814](#), [2814](#), [2815](#), [2816](#),  
[2816](#), [2816](#), [2817](#), [2817](#), [3432](#).

Irish Republican Brotherhood, IRB  
[1168](#), [1169](#), [1169](#); and Easter Rebellion, [1858](#).

Irishtown  
[1169](#).


Irish Trades Union Congress  
[1170](#).

Irish Transport and General Workers' Union

[1880](#).  
Irish Transport Worker's Union  
[1170](#).  
Irish Volunteers  
[1867](#).  
Irish Women's Suffrage Federation  
[1170](#).  
Iriyan Jaya  
*See* [Dutch New Guinea](#).  
Irkutsk  
[2067](#), [2490](#).  
iron  
[343](#), [343](#), [345](#), [345](#), [345](#), [345](#), [347](#), [347](#), [363](#).  
Iron Age  
[14](#), [174](#), [345](#), [345](#), [345](#), [348](#), [348](#), [349](#), [363](#), [363](#), [364](#), [364](#), [365](#).  
Iron and Steel Bill, Great Britain  
[2762](#).  
ironclad ships  
[1587](#), [1587](#).  
Iron Curtain  
[2637](#).  
Iron Guard, Fascist  
[1704](#), [2182](#), [2182](#), [2182](#), [2183](#), [2183](#), [2183](#), [2184](#), [2185](#), [2185](#).  
Ironmasters' Association, Sweden  
[763](#).  
Ironsides, army of Oliver Cromwell  
[592](#), [592](#), [592](#), [593](#).  
ironworking  
[46](#), [46](#), [51](#), [443](#), [956](#), [1562](#), [1575](#).  
Iroquois Indians  
[932](#), [935](#), [939](#), [939](#), [940](#), [940](#), [2210](#).  
Irrawaddy River  
[137](#), [341](#), [844](#), [845](#), [1402](#).  
irredentist movement  
[1111](#), [1219](#).  
Irregular Marriages Act, England  
[687](#).  
irrigation  
[62](#), [63](#), [65](#), [91](#), [92](#).  
Irun  
[1929](#).

Irving, Washington, writer

[1563](#), [1566](#).

Iry , historian

[382](#).

Isa, Ottoman leader

[312](#).

Isa, sheik of Bahrain

[2410](#).

Isaac

[104](#).

Isaac I Comnenus, Byzantine emperor

[499](#), [499](#).

Isaac II Angelus, Byzantine emperor

[496](#), [496](#), [503](#), [503](#), [503](#), [503](#), [504](#), [506](#), [507](#).

Isaacs, George, British leader

[2760](#).

Isabella, daughter of Manoel I

[605](#).

Isabella, town

[572](#).

Isabella I, queen of Castile

[281](#), [525](#), [525](#), [525](#), [525](#), [525](#), [529](#), [572](#), [572](#), [595](#), [601](#), [601](#), [601](#), [601](#), [602](#), [909](#).

Isabella II, queen of Spain

[1045](#), [1062](#), [1062](#), [1062](#), [1062](#), [1063](#), [1199](#), [1199](#), [1200](#), [1203](#).

Isabella of Angoulême, wife of John Lackland

[445](#).

Isabella of Aragon, wife of Philip III of France

[451](#), [479](#).

Isabella of Naples, wife of Gian Galeazzo Sforza

[537](#).

Isabelle, wife of Gian Galeazzo Visconti

[537](#).

Isabelle, wife of Richard II of England

[514](#).

Isabelle of Bavaria, wife of Charles VI of France

[522](#), [522](#), [522](#).

Isabelle of France, wife of Edward II of England

[512](#), [512](#), [512](#).

Isagoras, Athenian leader

[187](#), [187](#).

Isaiah, Hebrew prophet

105.  
Isa ibn-Sulman al-Khalifah, sheik of Bahrain  
3785, 3899.  
Isandlwana, battle of  
1555.  
Isansa, king of Bunyoro  
884.  
Isaq  
4400, 4400.  
Isauria  
269, 270, 431.  
Ischia  
182, 184.  
Ise Bay  
163.  
Isère  
2867.  
Isfahan  
287, 297, 301, 813, 814, 814, 814, 815, 816, 816, 816, 819, 1350, 1352, 1352.  
Ishbaal, king of Israel  
104, 104.  
Ishbi-Erra, king of Isin  
84, 85.  
Ishbi-Erra of Ur  
122.  
Ishibashi Tanzan, Japanese leader  
4232.  
Ishiwara Kanji  
2511.  
Ishiyama honganji monastery, Osaka  
857.  
Ishme-Dagan, king of Assyria  
85, 85.  
Ishpuini, king of Urartu  
118.  
Isidorean Decretals  
466.  
Isidore of Kiev, religious scholar  
531.  
Isidore of Seville, Latin encyclopedist  
418.



[3389](#); Iraq, [3882](#); Saudi Arabia, [3889](#); South Yemen, [3894](#); banking, [3910](#), [3910](#); fundamentalists, [3924](#); Pakistan, [3951](#), [3990](#), [4008](#), [4009](#), [4012](#); Bangladesh, [4020](#); Malaysia, [4113](#); Brunei, [4118](#); Guinea, [4348](#); Mauritania, [4364](#); Sudan, [4391](#), [4404](#), [4404](#), [4405](#). See [Muslims](#).

Islamabad

[3987](#), [4013](#).

Islamic Conference Organization, ICO

[2667](#), [2677](#), [2680](#), [3774](#).

Islamic Development Bank

[3771](#).

Islamic Group, Egypt

[3917](#).

Islamic Republican Party, Iran

[3820](#), [3822](#), [3825](#).

Islamic Revolutionary Council

[3821](#).

Islamic Salvation Front, FIS

[3934](#), [3934](#), [3935](#), [3935](#), [3936](#).

Islamic summit conference

[2671](#).

Islamic Union

[1414](#).

Islay

[424](#).

Isle of Pheasants

[604](#).

Isle of Wight

[593](#).

Isly, battle of

[1376](#).

Isma'il, Safavid leader

[308](#), [308](#), [308](#), [1369](#).

Isma'il, khedive of Egypt

[1109](#), [1369](#), [1369](#), [1370](#), [1370](#), [1371](#), [1372](#), [1372](#), [1372](#), [1372](#).

Isma'il, shah of Iran

[792](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#).

Isma'il, son of Ja'far al-Sadiq

[293](#), [296](#), [297](#).

Isma'il I, shah of Persia

[575](#), [813](#), [815](#).

Isma'il II, shah of Iran

[813](#), [813](#).

Isma`il, Abd al-Fattah, Yemenite leader

[3894](#), [3894](#), [3895](#).

Isma`il ibn Abd al-Jalil, governor of Mosul

[806](#).

Ismailis

[3961](#).

Isma`ili Shi`ism

[297](#), [297](#), [301](#), [302](#), [302](#), [317](#), [318](#).

Ismailiyya

[2359](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---





[3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3864](#), [3864](#), [3864](#), [3864](#), [3864](#), [3865](#), [3865](#), [3865](#), [3865](#), [3865](#), [3866](#), [3866](#), [3866](#), [3866](#), [3866](#), [3866](#), [3866](#), [3866](#), [3867](#), [3867](#), [3867](#), [3868](#), [3868](#), [3868](#), [3868](#), [3869](#), [3869](#), [3869](#), [3869](#), [3869](#), [3869](#), [3871](#), [3874](#), [3875](#), [3875](#), [3875](#), [3875](#), [3875](#), [3875](#), [3876](#), [3878](#), [3884](#), [3902](#), [3906](#), [3907](#), [3910](#), [3910](#), [3910](#), [3914](#), [3917](#), [3918](#), [3949](#), [4429](#); Israeli Defense Forces, [2386](#), [3856](#); established, [2636](#); and U.S., [3401](#), [3771](#), [3774](#); and Egypt, [3426](#); and Palestinians, [3437](#); Arabs' attack on (1948), [3769](#), [3769](#), [3769](#); establishment, [3856](#); Arab flight, [3857](#); economic changes in 1950s–1970s, [3857](#); Jews, [3858](#). *See* [Arab-Israeli Wars](#).

Israeli-Palestinian Declaration of Principles  
[3768](#).

Israelite Church  
[1558](#).

Israelites  
[101](#), [104](#), [104](#), [104](#).

Israelite sect  
[2577](#).

Issas group, Djibouti  
[4393](#).

Istanbul  
[313](#), [314](#), [314](#), [314](#), [315](#), [315](#), [315](#), [601](#), [1327](#), [1328](#), [1328](#), [1328](#), [1328](#), [1329](#), [1329](#), [1331](#), [1332](#), [1332](#), [1332](#), [1334](#), [1334](#), [1334](#), [1335](#), [1335](#), [1335](#), [1336](#), [1336](#), [1343](#), [1343](#), [1346](#), [1346](#), [1346](#), [1346](#), [1347](#), [1347](#), [1348](#), [1374](#), [1392](#), [1749](#), [1753](#), [2064](#), [2325](#), [2325](#), [2592](#), [2704](#), [2958](#), [3790](#), [3799](#); fires in, [1336](#); conference on the Balkans, [1342](#), [1342](#); uprising in, [1348](#). *See* [Constantinople](#).

Istanbul, University of  
[1347](#), [2332](#).

Isthmian Canal  
[1612](#).

Isthmian Games  
[211](#), [233](#).

Isthmus of Corinth  
[168](#), [189](#), [427](#), [1759](#).

Isthmus of Panama  
[573](#), [895](#), [895](#), [895](#), [895](#), [895](#).

Istifan al-Duwayhi, Lebanese historian  
[805](#).

Istiqlal Party, Iraq  
[3878](#).



Istiqlal Party, Morocco  
[2422](#), [3919](#), [3927](#).

Istria

[410](#), [416](#), [485](#), [1746](#), [1785](#).  
Ita'amra, Arabian king  
[128](#).  
Itagaki, Taisuke  
[1450](#), [1450](#), [1451](#), [1452](#), [1459](#).  
Itaipu, treaty of  
[3523](#).  
Italia  
[237](#).  
Italian-Austrian Tyrol agreement  
[3033](#).  
Italian East Africa  
*See* [Ethiopia](#).  
Italian-French relations  
[1114](#).  
Italian-German relations  
[1952](#), [1954](#), [1954](#), [1957](#), [1957](#), [1960](#), [1960](#), [1960](#).  
Italian-Japanese relations  
[1833](#).  
Italian Socialist Party of Proletarian Unity  
[2938](#).  
Italian Somaliland  
[2612](#).  
Italian-Spanish relations  
[1114](#).  
Italiote League  
[200](#), [206](#).  
Italy  
[71](#), [171](#), [178](#), [178](#), [178](#), [182](#), [182](#), [184](#), [184](#), [184](#), [184](#), [184](#), [184](#), [190](#), [190](#), [200](#), [204](#), [205](#),  
[206](#), [211](#), [211](#), [220](#), [220](#), [221](#), [222](#), [222](#), [222](#), [222](#), [222](#), [222](#), [223](#), [223](#), [224](#), [226](#), [227](#), [227](#),  
[227](#), [228](#), [228](#), [229](#), [229](#), [231](#), [232](#), [232](#), [233](#), [233](#), [234](#), [235](#), [235](#), [235](#), [236](#), [236](#), [237](#),  
[237](#), [237](#), [237](#), [237](#), [237](#), [238](#), [239](#), [239](#), [239](#), [240](#), [241](#), [241](#), [241](#), [241](#), [241](#), [241](#), [242](#), [243](#),  
[243](#), [245](#), [246](#), [246](#), [246](#), [249](#), [251](#), [251](#), [251](#), [251](#), [253](#), [253](#), [254](#), [255](#), [255](#), [257](#), [258](#),  
[261](#), [261](#), [261](#), [262](#), [262](#), [262](#), [264](#), [265](#), [265](#), [265](#), [266](#), [269](#), [269](#), [270](#), [281](#), [293](#), [314](#),  
[314](#), [353](#), [402](#), [403](#), [403](#), [403](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [408](#),  
[408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [409](#), [409](#), [409](#), [410](#), [410](#), [410](#), [410](#), [411](#), [411](#),  
[411](#), [411](#), [413](#), [413](#), [415](#), [415](#), [416](#), [416](#), [416](#), [416](#), [417](#), [417](#), [417](#), [421](#), [427](#), [428](#), [430](#),  
[430](#), [433](#), [435](#), [436](#), [437](#), [438](#), [438](#), [439](#), [443](#), [443](#), [444](#), [451](#), [454](#), [455](#), [455](#), [455](#), [455](#),  
[455](#), [455](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [456](#), [457](#), [458](#), [458](#), [458](#), [458](#), [458](#), [458](#), [459](#), [459](#),  
[459](#), [459](#), [459](#), [465](#), [471](#), [472](#), [484](#), [484](#), [498](#), [498](#), [499](#), [499](#), [501](#), [502](#), [502](#), [502](#), [505](#),  
[511](#), [511](#), [526](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [530](#), [531](#), [531](#), [531](#), [532](#), [532](#), [532](#).

[533](#), [533](#), [533](#), [533](#), [534](#), [534](#), [535](#), [535](#), [535](#), [536](#), [536](#), [536](#), [536](#), [537](#), [537](#), [537](#), [537](#), [538](#), [540](#), [540](#), [540](#), [546](#), [546](#), [548](#), [560](#), [560](#), [560](#), [561](#), [565](#), [568](#), [569](#), [584](#), [584](#), [597](#), [597](#), [599](#), [600](#), [600](#), [600](#), [600](#), [601](#), [601](#), [602](#), [602](#), [603](#), [604](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [608](#), [608](#), [608](#), [609](#), [609](#), [609](#), [609](#), [611](#), [612](#), [612](#), [612](#), [612](#), [612](#), [614](#), [614](#), [615](#), [625](#), [626](#), [626](#), [635](#), [643](#), [644](#), [644](#), [654](#), [657](#), [657](#), [658](#), [659](#), [660](#), [722](#), [723](#), [723](#), [723](#), [724](#), [735](#), [735](#), [735](#), [735](#), [735](#), [735](#), [735](#), [738](#), [739](#), [739](#), [740](#), [741](#), [746](#), [746](#), [746](#), [746](#), [746](#), [746](#), [746](#), [797](#), [800](#), [837](#), [954](#), [957](#), [965](#), [967](#), [967](#), [974](#), [976](#), [979](#), [999](#), [1009](#), [1009](#), [1011](#), [1011](#), [1017](#), [1026](#), [1026](#), [1032](#), [1032](#), [1035](#), [1045](#), [1059](#), [1066](#), [1066](#), [1066](#), [1066](#), [1066](#), [1066](#), [1066](#), [1066](#), [1068](#), [1068](#), [1069](#), [1069](#), [1069](#), [1069](#), [1070](#), [1073](#), [1081](#), [1087](#), [1091](#), [1091](#), [1091](#), [1092](#), [1092](#), [1092](#), [1092](#), [1093](#), [1093](#), [1095](#), [1100](#), [1102](#), [1102](#), [1102](#), [1103](#), [1104](#), [1104](#), [1106](#), [1108](#), [1110](#), [1111](#), [1114](#), [1114](#), [1114](#), [1115](#), [1115](#), [1115](#), [1118](#), [1123](#), [1126](#), [1126](#), [1129](#), [1131](#), [1135](#), [1136](#), [1136](#), [1137](#), [1137](#), [1139](#), [1182](#), [1204](#), [1210](#), [1211](#), [1215](#), [1216](#), [1218](#), [1219](#), [1219](#), [1222](#), [1222](#), [1223](#), [1223](#), [1225](#), [1233](#), [1235](#), [1239](#), [1243](#), [1279](#), [1280](#), [1297](#), [1318](#), [1391](#), [1393](#), [1699](#), [1699](#), [1702](#), [1702](#), [1703](#), [1704](#), [1708](#), [1710](#), [1719](#), [1721](#), [1722](#), [1724](#), [1724](#), [1725](#), [1725](#), [1725](#), [1727](#), [1738](#), [1738](#), [1738](#), [1738](#), [1757](#), [1804](#), [1814](#), [1817](#), [1818](#), [1838](#), [1838](#), [1853](#), [1941](#), [1946](#), [1954](#), [2008](#), [2008](#), [2008](#), [2139](#), [2192](#), [2317](#), [2321](#), [2431](#), [2543](#), [2633](#), [2640](#), [2673](#), [2700](#), [2706](#), [2708](#), [2708](#), [2710](#), [2710](#), [2711](#), [2711](#), [2713](#), [2713](#), [2713](#), [2714](#), [2714](#), [2714](#), [2717](#), [2718](#), [2724](#), [2725](#), [2727](#), [2748](#), [2756](#), [2756](#), [2756](#), [2825](#), [2833](#), [2836](#), [2884](#), [2885](#), [2910](#), [2925](#), [2925](#), [2927](#), [2927](#), [2928](#), [2929](#), [2932](#), [2939](#), [2939](#), [2940](#), [2943](#), [2943](#), [2945](#), [2945](#), [2946](#), [2946](#), [2946](#), [2947](#), [2948](#), [2950](#), [2950](#), [2950](#), [2951](#), [2952](#), [2955](#), [2960](#), [2972](#), [2973](#), [2997](#), [3032](#), [3037](#), [3039](#), [3082](#), [3167](#), [3280](#), [3443](#), [3779](#), [4390](#); and Lombards, [408](#); growth of towns, [408](#); and England, [446](#); and Byzantines, [500](#); kingdom of, [747](#), [1213](#), [1219](#); and Africa, [886](#), [971](#), [1506](#), [1523](#), [1523](#), [1523](#), [4399](#); unification of, [1099](#), [1100](#), [1210](#), [1211](#), [1212](#), [1212](#), [1218](#); and North Africa, [1117](#), [1133](#), [1225](#), [1348](#), [2426](#), [2427](#), [2636](#); and Ethiopia, [1121](#), [1219](#), [1220](#), [1222](#), [1222](#), [1222](#), [1523](#), [1952](#), [1953](#), [1953](#), [1954](#), [1954](#), [2562](#), [2563](#), [2563](#), [2563](#), [2563](#), [2563](#); and Ottoman Empire, [1137](#), [1348](#), [2320](#); and Austria, [1216](#), [1956](#), [2010](#), [2011](#); and Middle East, [1329](#), [2415](#); and Libya, [1331](#), [1392](#), [1393](#), [1393](#), [1393](#), [2429](#), [2429](#), [2430](#), [2431](#), [2431](#), [2431](#), [2431](#), [2431](#), [3947](#), [3947](#); and Tunisia, [1390](#); and China, [1424](#); and Korea, [1430](#); and Latin America, [1676](#), [2247](#), [2263](#), [2266](#), [2273](#), [2273](#), [2278](#), [2285](#), [2289](#), [2299](#), [2300](#), [2307](#), [2314](#), [2316](#); London Naval Conference, [1698](#); WWI, [1744](#), [1744](#), [1745](#), [1746](#), [1746](#), [1746](#), [1746](#), [1746](#), [1746](#), [1747](#), [1749](#), [1750](#), [1752](#), [1754](#), [1756](#), [1757](#), [1757](#), [1757](#), [1757](#), [1757](#), [1758](#), [1760](#), [1769](#), [1769](#), [1771](#), [1778](#), [1778](#), [1778](#), [1778](#), [1779](#), [1779](#), [1780](#), [1780](#), [1783](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1788](#), [1788](#), [1798](#), [1799](#), [1799](#), [1804](#), [1805](#), [1941](#), [1941](#); between Wars, [1817](#), [1818](#), [1821](#), [1822](#), [1822](#), [1822](#), [1823](#), [1824](#), [1825](#), [1826](#), [1826](#), [1827](#), [1830](#), [1830](#), [1832](#), [1832](#), [1833](#), [1833](#), [1834](#), [1834](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1835](#), [1836](#), [1836](#), [1837](#), [1837](#), [1851](#), [1852](#), [1941](#), [1941](#), [1941](#), [1943](#), [1943](#), [1943](#), [1945](#), [1952](#), [1953](#), [1953](#), [1955](#), [1956](#), [1958](#); and Greece, [1817](#), [2157](#), [2157](#), [2158](#); invasion of Ethiopia, [1832](#), [1833](#), [1912](#);


and Spain, [1833](#), [1922](#), [1929](#), [1929](#), [1930](#), [1930](#), [1930](#), [1932](#), [1932](#), [1954](#); and France, [1912](#), [1951](#), [1956](#), [1958](#); and Albania, [1943](#), [1948](#), [1957](#), [2157](#); and papacy, [1950](#); and Bulgaria, [1951](#), [2165](#); Great Depression, [1952](#); and Czechoslovakia, [1956](#), [2018](#); and Great Britain, [1958](#), [1958](#); and Russia, [1959](#); and U.S., [1959](#), [2210](#), [2626](#); WWII, [1960](#), [1961](#), [1961](#), [1962](#), [2521](#), [2585](#), [2586](#), [2587](#), [2590](#), [2590](#), [2590](#), [2591](#), [2591](#), [2591](#), [2593](#), [2604](#), [2606](#), [2608](#), [2608](#), [2609](#), [2609](#), [2610](#), [2611](#), [2611](#), [2611](#), [2611](#), [2612](#), [2612](#), [2612](#), [2615](#), [2617](#), [2618](#), [2619](#), [2621](#), [2621](#), [2632](#), [2632](#), [2632](#), [2634](#); and Switzerland, [1969](#); and Hungary, [2027](#), [2028](#); and Baltic region, [2088](#), [2089](#), [2091](#); and Balkan Peninsula, [2134](#), [2136](#), [2136](#), [2138](#), [2138](#), [2141](#), [2141](#), [2141](#), [2141](#), [2142](#), [2142](#), [2143](#), [2172](#), [2176](#), [2178](#), [2185](#); declaration of war on U.S., [2211](#); and Turkey, [2322](#), [2324](#); WWII merchant tonnage, [2604](#), [2604](#); WWII surrender, [2617](#); WWII settlement, [2635](#), [2635](#); former colonies, [2638](#); economic recovery, [2700](#); Republic, [2925](#); postwar colonialism, [2926](#); WWII peace treaty, [2926](#); economy in north and south, [2927](#); WWII cost, [2927](#); and postwar colonialism, [2928](#); post-WWII, [2929](#); modern economy, [2941](#); modern politics, [2942](#), [2947](#); minority languages, [2945](#); European currency, [2951](#).

Itami J  , film director  
[4246](#).

Ithome  
[191](#).

I'timad al-Saltana, writer  
[1351](#).

Itj-towy  
[92](#), [92](#).

It , Hirobumi  
[1419](#), [1431](#), [1436](#), [1442](#), [1449](#), [1450](#), [1452](#), [1454](#), [1454](#), [1454](#), [1456](#), [1457](#), [1459](#),  
[1460](#), [1460](#), [1467](#), [1467](#), [2488](#).

Itsekiri  
[4372](#).

Ittobaal I, king of Tyre  
[104](#), [109](#), [109](#).

Ittobaal II, king of Tyre  
[109](#).

Ittobaal III, king of Tyre  
[109](#).

Iturbide, Agustín de, Mexican leader (later emperor Agustín I)  
[957](#), [1653](#), [1653](#), [1653](#), [1653](#), [1654](#).

Ituzaingó, battle of  
[1647](#), [1658](#).

Itzehoe  
[1077](#).

Ivan I Kalita, grand prince of Moscow

[558](#), [558](#).

Ivan III, the Great

[558](#), [558](#), [558](#), [575](#), [629](#), [632](#).

Ivan IV, the Terrible

[629](#), [629](#), [629](#), [629](#), [629](#), [629](#), [630](#), [630](#), [630](#), [630](#), [631](#), [632](#).

Ivan V, tsar of Russia

[784](#).

Ivan VI, tsar of Russia

[783](#).

Ivangorod, battle of

[1739](#), [1792](#), [1794](#).

Iviza

[477](#).

Ivorian Popular Front, Ivory Coast

[4354](#).

ivory

[889](#), [889](#), [889](#), [1528](#), [1538](#), [1538](#), [1539](#), [1546](#), [1549](#).

Ivory Coast

[358](#), [873](#), [1511](#), [1517](#), [2555](#), [2558](#), [2559](#), [2644](#), [4323](#), [4324](#), [4325](#), [4327](#), [4353](#), [4353](#), [4354](#), [4354](#), [4357](#); independence, [4353](#); student unrest, [4353](#).

Ivry, battle of

[599](#).

Iwakura, Tomomi

[1449](#).

Iwo, Yoruba state

[875](#).

Iwo Jima, battle of

[2631](#).

IWW

See [Industrial Workers of the World \(IWW\)](#).

Iyengar, Srinivasa, Indian leader

[2437](#).

Izanagi

[167](#).

Izanami

[167](#).

Izetbegovic, Alija, Bosnian leader

[3184](#), [3187](#), [3189](#).

Izmailov, L. V., Russian merchant in China

[852](#).

Izmir

[306](#), [312](#), [315](#), [1110](#), [1329](#), [1332](#), [1337](#), [1340](#), [3790](#).

Izmit, Turkey

[3804](#).

Iznik, Nicaea

[301](#), [302](#).

Izumo

[167](#).

## J

Jaabaek, Søren, Norwegian leader

[1247](#).

Jabala

[2418](#).

Jabal al-Akhdar

[3896](#).

Jabal al-Gharb

[1392](#).

Jabal Druze

[2374](#), [3839](#).

Jabal Nafusa

[292](#).

Jabal Shammar

[820](#), [1359](#).

Jabir ibn Abdallah, sheik of Kuwait

[1358](#).

Jablochkoff, P., developer of public lighting system

[990](#).

Jablonski, Henryk, Polish leader

[3105](#).

Jaca, garrison

[1924](#).

J'accuse, by Zola

[1195](#).

Jackson, Andrew, U.S. president

[1563](#), [1572](#), [1574](#), [1574](#), [1574](#), [1575](#), [1575](#), [1575](#), [1575](#), [1576](#), [1576](#), [1576](#), [1576](#).

Jackson, Jesse, civil rights leader

[3390](#), [3428](#), [3428](#).

Jackson, Mississippi

[3413](#).

Jackson, Thomas (Stonewall), Confederate commander  
[1587](#), [1588](#).

Jackson State College  
[3420](#).

Jackson-Vanik amendment, U.S.  
[4282](#).

Jacob  
[104](#).

Jacobi, Karl, mathematician  
[1039](#).

Jacobins  
[469](#), [1001](#), [1003](#), [1005](#), [1005](#), [1006](#), [1007](#); Austria-Hungary, [760](#). *See* [Dominicans](#).

Jacobites, Great Britain  
[681](#), [684](#), [684](#), [685](#), [687](#).

Jacobsen, Jens, writer  
[1252](#).

Jacquard, Joseph M., inventor  
[985](#).

Jacqueline, countess of Holland  
[595](#).

Jacquerie, France  
[521](#).

Jadar, battle of the  
[1792](#).

Jaddua, high priest of Judah  
[105](#).

Jadid, Salah, Syrian leader  
[3841](#), [3841](#).

Jadotville, Congo  
[4434](#). *See* [Likasi, Congo](#).

Jadwiga, Hedwig  
[555](#), [555](#), [557](#).

Jaen, battle of  
[476](#).

Ja'far, Sufi leader  
[307](#).

Ja'far al-Sadiq, Shi'ite leader  
[293](#).

Ja'fari, Sunni school of law  
[817](#).

Jaffa



[505](#), [1332](#), [1335](#), [2387](#), [2390](#), [2391](#), [3855](#).  
Jaffna  
[4036](#), [4037](#).  
Jaga  
[885](#), [886](#), [886](#).  
Jagan, Cheddi, African leader  
[3756](#), [3756](#), [3758](#), [3766](#).  
Jagan, Janet, African leader  
[3766](#), [3767](#).  
Jagannath, temple of  
[337](#).  
Jagdeo, Bharrat, Guyanese leader  
[3767](#).  
Jagellon dynasty, Poland  
[632](#), [633](#).  
Jagiello, grand duke of Lithuania and king of Poland as Vladislav V  
[555](#), [555](#), [555](#), [555](#), [555](#), [557](#), [557](#).  
Jagiello family, rulers of Bohemia  
[634](#).  
Jahangir, Mughal emperor  
[831](#), [832](#), [832](#), [834](#).  
Jahan Shah, Qara-Qoyunlu leader  
[307](#), [308](#).  
Jahwarids of Córdoba  
[475](#).  
Jainism  
[129](#), [129](#), [129](#), [129](#), [129](#), [133](#), [133](#), [325](#), [326](#), [326](#), [327](#), [331](#), [331](#), [331](#), [331](#), [336](#), [337](#),  
[832](#).  
Jaipal, ruler of India  
[325](#), [325](#).  
Jakarta  
[841](#), [2688](#), [4109](#), [4122](#), [4126](#), [4137](#).  
Jakes, Milos, Czech leader  
[3133](#), [3133](#), [3133](#).  
Jalal al-din, Khwarazm-shah leader  
[303](#).  
Jalal al-Din Rumi, poet  
[305](#).  
Jalal al-E Ahmad, writer  
[2341](#), [3817](#).  
Jalandhara

[130](#).  
Jalapa  
[911](#).  
Jalayirids  
[306](#), [307](#).  
Jalili dynasty  
[806](#), [1331](#).  
Jalisco  
[902](#), [903](#), [3709](#).  
Jallonke  
[871](#).  
Jamaat-i-Islami, Pakistan  
[2644](#), [3996](#), [3997](#).  
Jamaica  
[572](#), [572](#), [648](#), [895](#), [906](#), [1650](#), [2187](#), [2587](#), [2599](#), [2656](#), [2673](#), [2797](#), [3471](#), [3719](#),  
[3756](#), [3756](#), [3756](#), [3757](#), [3757](#), [3757](#), [3759](#), [3760](#), [3762](#), [3763](#); immigration to Canada,  
[1623](#); and U.S., [3763](#).  
Jamaica Labor Party, JLP  
[3763](#).  
Jamal al-Din al-Afghani, activist  
[1346](#), [1351](#), [1372](#).  
Jamal Khan, minister of Ahmadnagar  
[832](#).  
Jambi, Sumatra  
[840](#), [840](#), [841](#), [841](#).  
James, St.  
[250](#).  
James, duke of York  
[675](#), [935](#).  
James I, king of England (James VI of Scotland)  
[588](#), [589](#), [589](#), [589](#), [589](#), [589](#), [589](#), [589](#), [589](#), [590](#), [590](#), [590](#), [590](#), [610](#), [617](#), [682](#), [832](#).  
James I, the Conqueror  
[479](#), [479](#).  
James I, king of Scotland  
[517](#), [517](#).  
James II, king of Aragon  
[470](#), [526](#), [533](#).  
James II, king of England  
[668](#), [676](#), [676](#), [676](#), [676](#), [677](#), [677](#), [677](#), [679](#), [680](#), [683](#), [695](#), [695](#), [696](#), [697](#), [934](#), [934](#).  
James II, king of Scotland  
[517](#).

James III, king of Scotland

*See* [James Edward \(the Old Pretender\), son of James II.](#)

James IV, king of Scotland

[585](#), [585](#), [585](#).

James VI

*See* [James I, king of England \(James VI of Scotland\).](#)

James VIII

*See* [James Edward \(the Old Pretender\), son of James II.](#)

James, Edison

[3765](#).

James, William, psychologist and philosopher

[1144](#).

James Edward, the Old Pretender

[683](#), [684](#), [687](#).

James of Lusignan

[539](#).

Jameson, Leander Starr

[1121](#), [1547](#), [1557](#).

Jameson Raid, South Africa

[1121](#), [1557](#).

James River

[924](#), [1587](#).

James the Greater, St.

[420](#).

Jamestown

[924](#), [924](#), [925](#), [925](#), [937](#).

Jammeh, Gambian leader

[4343](#).

Jammu

[3959](#), [3987](#), [3989](#), [4013](#), [4014](#).

Jammu-Kashmir

[2696](#).

Janata Dal Parliamentary Party, India

[3982](#).

Janata Party, India

[3973](#), [3974](#), [3977](#).

Janatha Vimukthi Peramuna, JVP

[4032](#).

Janbalat, Kamal, Lebanese leader

[3845](#), [3848](#).

Janbalat, Walid, Lebanese leader

[3848](#).

Janbardi al-Ghazali, Mamluk leader

[792](#).

Jandarid

[310](#), [314](#).

Janet, Pierre, psychologist

[1144](#).

Janiculum

[227](#).

Janikli family

[1328](#).

Janina

[313](#), [564](#), [566](#), [1137](#), [1138](#), [1273](#).

Janissaries

[306](#), [310](#), [310](#), [312](#), [313](#), [315](#), [316](#), [575](#), [799](#), [800](#), [800](#), [801](#), [803](#), [805](#), [805](#), [807](#), [807](#),  
[809](#), [810](#), [810](#), [810](#), [811](#), [811](#), [811](#), [826](#), [827](#), [827](#), [827](#), [1328](#), [1328](#), [1329](#).

Jankau, battle of

[622](#).

Jan Mayen Island

[2045](#), [3058](#).

Jansen, Cornelius, bishop of Ypres

[712](#), [736](#), [736](#).

Jansenism

[712](#), [714](#), [736](#), [736](#), [737](#), [737](#), [737](#).

Jansky, Karl, astronomer

[1730](#).

Janson, Paul, Belgian leader

[1890](#).

Japan

[28](#), [39](#), [50](#), [50](#), [50](#), [129](#), [130](#), [153](#), [158](#), [160](#), [160](#), [161](#), [161](#), [162](#), [163](#), [163](#), [164](#), [165](#),  
[166](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [167](#), [279](#), [279](#), [279](#), [281](#), [281](#), [367](#), [375](#), [376](#),  
[377](#), [378](#), [378](#), [380](#), [380](#), [383](#), [383](#), [383](#), [383](#), [383](#), [383](#), [383](#), [384](#), [384](#), [384](#), [384](#), [384](#), [385](#),  
[385](#), [385](#), [386](#), [386](#), [386](#), [386](#), [386](#), [386](#), [386](#), [387](#), [387](#), [387](#), [387](#), [387](#), [388](#), [388](#), [390](#), [394](#), [395](#), [395](#),  
[395](#), [395](#), [395](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [576](#), [580](#), [604](#), [609](#), [837](#), [841](#), [841](#), [850](#),  
[851](#), [851](#), [855](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#),  
[858](#), [858](#), [858](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [860](#), [860](#), [860](#), [860](#), [860](#), [860](#), [861](#), [861](#), [861](#),  
[861](#), [861](#), [954](#), [955](#), [956](#), [956](#), [956](#), [956](#), [957](#), [957](#), [957](#), [961](#), [961](#), [965](#), [965](#), [966](#), [966](#), [967](#),  
[969](#), [969](#), [972](#), [972](#), [973](#), [974](#), [975](#), [1128](#), [1129](#), [1260](#), [1262](#), [1424](#), [1424](#), [1424](#), [1424](#),  
[1424](#), [1425](#), [1427](#), [1430](#), [1430](#), [1430](#), [1432](#), [1437](#), [1437](#), [1437](#), [1437](#), [1438](#), [1438](#), [1440](#),  
[1442](#), [1446](#), [1448](#), [1449](#), [1449](#), [1450](#), [1450](#), [1451](#), [1452](#), [1452](#), [1453](#), [1454](#), [1454](#),  
[1455](#), [1456](#), [1456](#), [1457](#), [1460](#), [1464](#), [1465](#), [1466](#), [1466](#), [1469](#), [1471](#), [1471](#), [1471](#), [1497](#),

1497, 1699, 1699, 1699, 1702, 1703, 1704, 1706, 1706, 1707, 1710, 1716, 1719,  
1720, 1721, 1721, 1721, 1722, 1725, 1726, 1738, 1738, 1795, 1831, 1833, 2078,  
2125, 2192, 2198, 2413, 2444, 2452, 2473, 2474, 2476, 2488, 2494, 2495, 2499,  
2501, 2502, 2509, 2510, 2511, 2512, 2513, 2513, 2516, 2516, 2520, 2520, 2524,  
2524, 2524, 2524, 2527, 2530, 2530, 2531, 2531, 2535, 2549, 2623, 2624,  
2625, 2627, 2632, 2634, 2637, 2637, 2637, 2640, 2640, 2640, 2641, 2641, 2643,  
2643, 2644, 2651, 2665, 2670, 2670, 2673, 2686, 2689, 2696, 2892, 3279, 3475,  
3616, 3712, 4029, 4048, 4064, 4073, 4075, 4086, 4093, 4093, 4117, 4135, 4143,  
4160, 4162, 4183, 4203, 4205, 4212, 4214, 4217, 4220, 4223, 4225, 4225, 4226,  
4226, 4229, 4231, 4233, 4233, 4236, 4239, 4239, 4241, 4241, 4243, 4245, 4246,  
4246, 4247, 4279, 4289, 4295; postclassical society, 384, 384, 384, 385; feudalism,  
389, 394, 396; and Southeast Asia, 847, 2449, 2451, 2452, 2454, 2454, 2455, 2455,  
2455, 2456, 2456, 2456, 2457, 2457, 2457; invasion of Korea, 851, 855, 856, 856,  
856, 858, 858; and Korea, 856, 1419, 1419, 1420, 1421, 1429, 1430, 1430, 1431,  
1431, 1432, 1432, 1432, 1433, 1433, 1435, 1435, 1436, 1436, 1436, 1436, 1436, 1436,  
1436, 1436, 1436, 1450, 1451, 1454, 1456, 1458, 1459, 1462, 1463, 1465, 2488,  
2488, 2488, 2488, 2488, 2488, 2488, 2488, 2488, 2489, 2489, 2489, 2489, 2489,  
2490, 2490, 2490, 2490, 2490, 2491, 2491, 2491, 2491, 2492, 2492, 2493, 2493,  
2493, 2493, 2493, 2493, 2493, 2493, 2493, 2499, 4189, 4189, 4204, 4204, 4212,  
4236; and China, 1415, 1418, 1421, 1422, 1423, 1424, 1427, 1442, 1449, 1456, 1457,  
1459, 4227, 4227, 4227, 4228, 4229, 4232, 4236, 4239, 4240, 4241, 4244; and Boxer  
Uprising, 1424, 1435, 1460; and Russo-Japanese War, 1436, 1615; annexation of  
Korea, 1436, 1436, 1467, 1468; opening to foreign trade, 1437, 1438, 1438, 1438,  
1439, 1447, 1582; and U.S., 1441, 1615, 2188, 2194, 2200, 2211, 2497, 2503, 2504,  
2521, 3396, 3418, 4224, 4225, 4225, 4226, 4226, 4226, 4226, 4227, 4228, 4229,  
4232, 4233, 4233, 4234, 4236, 4237, 4238, 4238, 4241, 4241, 4241, 4245, 4245,  
4246, 4247, 4247; and Russia, 1451, 1462, 1468, 2496, 2502, 2502, 2505, 2519, 2519,  
2519, 2591, 2623, 2624, 2625, 4231, 4231, 4231, 4235, 4237, 4244; Russo-Japanese  
War, 1462, 1462, 1462, 1462, 1463, 1463, 1463, 1463; and Germany, 1472, 2500,  
2500, 2519, 2519; WWI, 1472, 1768, 1770, 1784, 1784, 2494, 2494, 2498, 2498,  
2498, 2530; London Naval Conference, 1698, 1723; between Wars, 1817, 2459, 2494;  
and Baltic region, 2089; and Balkan Peninsula, 2176; WWII, 2210, 2459, 2479, 2479,  
2479, 2479, 2479, 2479, 2479, 2480, 2480, 2480, 2480, 2480, 2480, 2480,  
2480, 2480, 2481, 2481, 2481, 2481, 2482, 2482, 2483, 2483, 2483, 2485, 2485,  
2486, 2486, 2493, 2493, 2519, 2520, 2520, 2520, 2521, 2521, 2521, 2521, 2521,  
2522, 2522, 2523, 2523, 2523, 2531, 2531, 2531, 2531, 2532, 2532, 2533, 2533,  
2535, 2536, 2536, 2591, 2591, 2600, 2600, 2603, 2604, 2606, 2609, 2616, 2624,  
2624, 2624, 2624, 2625, 2625, 2625, 2625, 2625, 2625, 2625, 2625, 2626,  
2626, 2626, 2626, 2627, 2627, 2627, 2627, 2627, 2627, 2627, 2627, 2627,  
2628, 2628, 2628, 2629, 2629, 2630, 2630, 2630, 2630, 2631, 2631, 2631, 2631,  
2631, 2631, 2631, 2631, 2632, 2632, 2636, 2636, 2641, 4142, 4170, 4189, 4190,

[4253](#); attack on U.S., [2211](#); declaration of war by U.S., [2211](#); atomic bomb, [2216](#); and Latin America, [2247](#), [2263](#), [2266](#), [2268](#), [2278](#), [2285](#), [2287](#), [2289](#), [2300](#), [2307](#), [2314](#), [2316](#); and India, [2435](#); and East Asia, [2459](#); occupation of Manchuria, [2473](#); Guandong Army, [2473](#), [2508](#), [2511](#), [2519](#); makeup, [2500](#), [2510](#), [4241](#); economy and society 1920s and 1930s, [2507](#); Great Depression, [2509](#), [2509](#); WWII settlement, [2523](#), [2631](#), [2634](#), [2634](#); and Vietnam, [2527](#), [2528](#), [2529](#), [2529](#); and Indochina, [2528](#); WWII merchant tonnage, [2604](#), [2604](#); and Thailand, [2626](#); WWII losses, [2628](#), [2630](#), [2631](#), [2631](#), [2631](#); WWII surrender, [2645](#); and Peru, [3563](#), [3564](#), [3566](#); occupation, [4223](#), [4223](#), [4223](#), [4224](#), [4225](#), [4225](#); ratification of WWII peace, [4226](#); student unrest, [4234](#), [4238](#), [4238](#); and France, [4235](#); economic changes in 1970–1990s, [4241](#), [4241](#), [4241](#), [4245](#), [4246](#), [4246](#), [4250](#), [4251](#). See [Sino-Japanese relations](#).

Japan Democratic Party

[4229](#).

Japanese Americans

[1615](#), [2187](#), [2210](#).

Japanese Canadians

[2217](#), [2234](#).

Jara, Albino, Latin American leader

[1666](#).

Jaramillo, Bernardo, Colombian leader

[3585](#).

Jaramillo, Rubén, Mexican leader

[3701](#).

Jarnac, battle of

[598](#).

Jaroslav, battle of

[1792](#), [1794](#).

Jarozewicz, Piotr, Polish leader

[3099](#).

Jarrès, Karl, German leader

[1980](#).

Jarring, Gunnar, UN diplomat

[2664](#).

Jarrow

[422](#).

Jaruzelski, Wojciech, Polish leader

[3102](#), [3102](#), [3102](#), [3103](#), [3104](#), [3105](#), [3107](#), [3108](#), [3110](#), [3112](#).

Jaspers, Karl, philosopher

[1815](#).

Jassy

[1314](#), [1317](#), [1760](#), [2597](#); treaty of, [789](#), [809](#).

Jatakamala

[131](#).

Jatiya Dal, Bangladesh

[4023](#).

Jatiya Party, Bangladesh

[4023](#).

Jatiya Sangsad, Bangladeshi parliament

[4018](#).

Jats

[834](#).

Jaunpur

[333](#), [333](#).

Jaurès, Jean, French socialist

[1901](#), [1905](#).

Java

[20](#), [79](#), [132](#), [133](#), [158](#), [281](#), [329](#), [339](#), [339](#), [339](#), [339](#), [339](#), [339](#), [340](#), [375](#), [837](#), [837](#), [839](#), [840](#), [840](#), [840](#), [841](#), [841](#), [845](#), [1057](#), [1394](#), [1402](#), [1410](#), [1412](#), [1412](#), [1412](#), [1413](#), [1414](#), [1414](#), [1494](#), [2456](#), [2627](#), [4047](#), [4119](#), [4119](#), [4120](#), [4124](#), [4125](#), [4136](#); revolt against the Dutch, [1412](#); resistance movement, [1414](#).

Java Sea, battle of the

[2627](#).

Javier de Balmis, Francisco, Spanish physician in the New World

[908](#).

Jawara, Dawda

[4343](#), [4343](#), [4343](#), [4343](#), [4343](#).

Jawhar Shad, wife of Shah Rukh

[307](#).

Jay, John, U.S. envoy

[1565](#).

Jayadeva, writer

[324](#).

Jayasimha Siddharaja, ruler of India

[331](#).

Jayavarman VII, king of Angkor

[340](#), [340](#).

Jayawardene, Junius R., Sri Lankan leader

[4033](#), [4034](#), [4035](#), [4035](#), [4035](#), [4037](#), [4037](#).

Jay's Treaty

[1565](#), [1565](#), [1623](#).

Jazira

[1331](#).

Jazuli order

[823](#).

jazz, U.S.

[2191](#).

Jean, grand duke of Luxembourg

[2836](#), [2836](#), [2837](#).

Jean de Meun, writer

[452](#).

Jeanne, daughter of Louis XI of France

[597](#).

Jeanne, queen of Navarre

[520](#), [520](#), [521](#).

Jeanne d'Arc

*See* [Joan of Arc](#).

Jeanne de Nemours, mother of Victor Amadeus II

[738](#).

Jebusites

[103](#), [104](#).

Jedda

[1751](#).

Jefferson, Thomas, U.S. president

[1392](#), [1565](#), [1565](#), [1565](#), [1565](#), [1566](#), [1566](#), [1568](#), [1568](#), [1568](#), [1569](#), [1569](#); in the American Revolution, [947](#); as vice president, [1565](#).

prince Jefri Bolkiah, Brunei leader

[4118](#), [4118](#).

Jehangir, Turkish leader

[1416](#).

Jehoash, king of Judah

[105](#).

Jehoiachin, king of Judah

[105](#), [105](#).

Jehoiakim, king of Judah

[105](#).

Jehol

[853](#).

Jehoram, king of Israel

[104](#), [105](#), [105](#).

Jehoshaphat, king of Judah

[104](#), [105](#).

Jehu, king of Israel

[105](#).



Jekov, Nicholas, Bulgarian commander  
[1797](#).

Jelalis, Ottoman rebels  
[799](#), [799](#), [800](#).

Jelavic, Ante, Bosnian leader  
[3189](#).

Jellicoe, John  
[1741](#), [1809](#).

Jem, Ottoman sultan  
[315](#), [532](#).

Jemappes, battle of  
[1004](#).

Jemdet Nasr, ancient sites  
[84](#).

Jena  
[613](#), [1024](#).

Jenatsch, George, Swiss leader  
[626](#).

Jenin  
[2391](#).

Jenkins, Charles Francis, inventor  
[990](#), [1736](#).

Jenkins, Robert, British captain  
[687](#).

Jenne  
[870](#).

Jenne-Jeno  
[344](#), [356](#).

Jenner, Edward, English physician  
[647](#).

Jerba  
[292](#), [826](#).

Jeremiah  
[105](#).

Jericho  
[36](#), [3862](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#), [3863](#).

Jeroboam I, king of Israel  
[104](#), [104](#).

Jeroboam II, king of Israel  
[105](#), [106](#).

St. Jerome, religious scholar

[268](#), [401](#), [401](#).

Jerome of Prague, religious reformer

[531](#).

Jerusalem

[87](#), [88](#), [103](#), [103](#), [104](#), [104](#), [105](#), [105](#), [105](#), [105](#), [105](#), [214](#), [215](#), [248](#), [249](#), [250](#), [251](#), [253](#), [275](#), [281](#), [286](#), [286](#), [287](#), [293](#), [318](#), [319](#), [375](#), [401](#), [411](#), [429](#), [429](#), [429](#), [430](#), [437](#), [458](#), [460](#), [460](#), [503](#), [505](#), [505](#), [505](#), [505](#), [505](#), [505](#), [507](#), [507](#), [507](#), [507](#), [507](#), [509](#), [1331](#), [1332](#), [1335](#), [1336](#), [1336](#), [1752](#), [1851](#), [2385](#), [2386](#), [2387](#), [2389](#), [2389](#), [2391](#), [2391](#), [2391](#), [2956](#), [2960](#), [2967](#), [3769](#), [3769](#), [3771](#), [3771](#), [3774](#), [3786](#), [3854](#), [3855](#), [3858](#), [3858](#), [3865](#), [3866](#), [3866](#), [3866](#), [3869](#), [3869](#), [3869](#), [3869](#), [3871](#); Latin Kingdom of, [318](#); capture by Crusaders, [505](#).

Jessore

[3971](#).

Jesuits, religious order

[584](#), [589](#), [604](#), [605](#), [609](#), [610](#), [616](#), [630](#), [632](#), [633](#), [633](#), [633](#), [635](#), [714](#), [729](#), [736](#), [737](#), [737](#), [758](#), [780](#), [815](#), [832](#), [852](#), [906](#), [1925](#); expulsion from France, [717](#); expulsion from Spain, [724](#); expulsion from Portugal, [729](#); confiscation of their property, [741](#); China, [851](#), [854](#); Japan, [857](#), [858](#), [859](#); Vietnam, [863](#), [863](#); Philippines, [867](#); Africa, [875](#), [879](#), [887](#), [888](#), [1543](#), [1547](#); North America, [905](#), [921](#), [922](#); the Americas, [910](#), [910](#), [913](#), [914](#), [915](#), [915](#), [916](#), [918](#), [918](#); Italy, [1066](#); France, [1192](#); Middle East, [1340](#).

Jesus, founder of Christianity

[250](#), [259](#), [268](#), [268](#), [273](#), [286](#), [401](#), [401](#), [401](#), [401](#), [1036](#), [1815](#).

Jeunesses patriotes

[1905](#).

Jevdet Pasha, Ottoman official

[1339](#).

Jewish Agency, Palestine

[2389](#).

Jewish Federation of Labor

[2386](#).

Jewish National Fund

[3858](#).

Jewish Naturalization Bill, England

[688](#).

Jews

[68](#), [95](#), [104](#), [105](#), [105](#), [208](#), [214](#), [249](#), [250](#), [253](#), [253](#), [285](#), [285](#), [286](#), [286](#), [286](#), [286](#), [286](#), [287](#), [306](#), [323](#), [505](#), [507](#), [601](#), [727](#), [776](#), [797](#), [869](#), [908](#), [910](#), [1045](#), [1072](#), [1176](#), [1235](#), [1350](#), [1701](#), [1851](#), [1853](#), [2385](#), [2647](#), [2964](#), [3039](#); Medinan Jews, [286](#); Morocco, [292](#), [1376](#), [3770](#), [3858](#); Abbasid period, [295](#); Mongols, [305](#), [305](#); Ottoman Empire, [313](#), [315](#), [796](#), [797](#), [797](#), [803](#), [1331](#), [1334](#), [1336](#), [1336](#); Sephardic, [315](#), [323](#); Spain, [315](#), [418](#), [419](#), [419](#), [419](#), [476](#), [477](#), [479](#), [525](#), [525](#), [525](#), [525](#), [601](#), [601](#), [602](#), [894](#); Egypt,

[318](#), [319](#), [2359](#), [3770](#), [3908](#); North Africa, [323](#), [3770](#); China, [369](#); early Christians, [401](#); sexuality, [401](#); Ostrogoths, [406](#); expulsion of, [443](#), [446](#); England, [446](#), [688](#); France, [450](#), [450](#), [453](#), [453](#), [1002](#), [1020](#), [1059](#), [1061](#), [1061](#), [1194](#), [1195](#), [1197](#), [1917](#), [2869](#), [2871](#), [2876](#), [2878](#); Hungary, [493](#), [2022](#), [2023](#), [2024](#), [2026](#), [2028](#), [2031](#), [2032](#), [2032](#), [2034](#), [2035](#), [3146](#); Western Europe, [511](#); Switzerland, [546](#), [1227](#), [2979](#); Poland, [555](#), [1993](#), [2118](#), [2124](#), [2125](#), [3098](#), [3116](#); expulsion from Spain, [601](#); Portugal, [605](#); Italy, [740](#), [746](#), [1218](#), [1956](#); expulsion from Vienna, [757](#); Sweden, [764](#); Denmark, [771](#), [2041](#); Iran, [816](#), [816](#); Algiers, [826](#); Americas, [918](#); persecution of, [1068](#); Greece, [1099](#); Great Britain, [1157](#), [1157](#); and formation of Israeli state, [1229](#); Germany, [1234](#), [1235](#), [1236](#), [1237](#), [1977](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [1993](#), [3023](#), [3027](#); Austria, [1239](#), [1243](#), [1986](#), [2011](#), [2012](#); Austria-Hungary, [1240](#); Russia, [1260](#), [1261](#), [1263](#), [3267](#); Romania, [1318](#), [2175](#), [2182](#), [2182](#), [2182](#), [2183](#), [2183](#), [3254](#); Damascus, [1332](#); immigration to Palestine, [1346](#); Palestine, [1346](#), [1346](#), [1347](#), [2385](#), [2386](#), [2386](#), [2386](#), [2386](#), [2387](#), [2389](#), [2389](#), [2389](#), [2390](#), [2390](#), [2391](#), [2391](#), [2393](#), [2393](#), [2393](#), [2394](#), [2394](#), [2636](#), [3854](#); Algeria, [1383](#), [1384](#), [2423](#), [3770](#); WWII, [1814](#); Netherlands, [1899](#), [1899](#); Europe, [1993](#), [2643](#), [3858](#); Czechoslovakia, [2020](#), [2020](#), [2021](#); Slovakia, [2021](#); Baltic region, [2084](#), [2084](#); Argentina, [2242](#), [3502](#); Turkey, [2333](#); Temple, [2389](#); U.S., [2394](#); Iraq, [2406](#), [3770](#), [3878](#); Aden, [2413](#); and Nazis, [2593](#); Holocaust, [2950](#), [2962](#), [2979](#), [3026](#), [3430](#), [3858](#); Roman Catholic Church, [2957](#), [2962](#); Libya, [3770](#), [3947](#); Syria, [3770](#), [3843](#); Lebanon, [3770](#); Middle East, [3770](#), [3857](#), [3858](#); Yemen, [3770](#); Cyprus, [3806](#); Africa, [3857](#); Eastern Europe, [3857](#); Asia, [3857](#); Israel, [3857](#), [3858](#), [3858](#); Sephardim, [3858](#); Ashkenazim, [3858](#). *See* [Israel](#); [Judaism](#); [Palestine](#); [Zionists](#).

Jezebel

[104](#), [105](#), [105](#), [109](#).

Jhansi, rani of, Indian leader

[1398](#).

Jhelum River

[129](#), [207](#).

Jiajing, reign title of Wu-Tsung's successor

[376](#).

Jiajing dynasty

[851](#).

Jiang Jieshi, Chiang Kai-shek

[1706](#), [2465](#), [2466](#), [2468](#), [2468](#), [2468](#), [2469](#), [2469](#), [2469](#), [2469](#), [2469](#), [2470](#), [2470](#), [2470](#), [2473](#), [2474](#), [2475](#), [2477](#), [2477](#), [2479](#), [2479](#), [2479](#), [2480](#), [2480](#), [2481](#), [2481](#), [2482](#), [2484](#), [2484](#), [2485](#), [2485](#), [2486](#), [2486](#), [2486](#), [2508](#), [2624](#), [2632](#), [2634](#), [4140](#), [4140](#), [4141](#), [4141](#), [4142](#), [4143](#), [4143](#), [4143](#), [4144](#), [4144](#), [4144](#), [4144](#), [4150](#), [4179](#), [4182](#), [4182](#), [4183](#), [4183](#).

Jiang Jingguo, Taiwanese leader

[4183](#), [4183](#), [4183](#), [4184](#).

Jiang Qing, Chinese leader  
[4156](#), [4161](#), [4164](#), [4169](#).

Jiangsu  
[378](#), [1417](#), [1425](#).

Jiangxi  
[2469](#), [2470](#), [2471](#), [2471](#), [2474](#), [2475](#), [2481](#), [2481](#), [4151](#).

Jiang Zemin, Chinese leader  
[3436](#), [4172](#), [4175](#), [4176](#), [4214](#).

Jiaozhou  
[968](#), [1423](#), [1423](#), [1435](#), [1472](#), [2494](#), [2502](#).

Jiaqing reign  
[1415](#).

Jidda  
[1334](#), [2667](#).

Jie, Chinese ruler  
[138](#).

jihads, holy wars  
[871](#), [871](#), [872](#), [879](#), [1354](#), [1379](#); West Africa, [580](#); against Portugal, [822](#); of North African corsairs, [826](#); Algeria, [1383](#); India, [1395](#); Africa, [1510](#), [1510](#), [1510](#), [1510](#), [1513](#), [1524](#).

Jilin  
[2466](#), [2473](#).

Jim Crow laws  
[1598](#), [1605](#), [2187](#), [3390](#).

Jiménez, Enrique, Panamanian leader  
[3637](#).

Jiménez, Juan Ramon, writer  
[1921](#).

Jiménez, Ricardo, Costa Rican leader  
[2287](#), [2287](#).

Jiménez de Cisneros, Francisco, Spanish leader and cardinal  
[601](#), [601](#), [601](#).

Jiménez de Quesada, Gonzalo, Spanish conquistador  
[897](#), [897](#).

Jimmu, Japanese emperor  
[167](#).

Jinan  
[2463](#), [2465](#), [2470](#), [2479](#), [2508](#).

Jinbudang, China  
[1426](#).

Jin-Cha-Ji government, China

[2481](#).

Jin dynasty

[138](#), [138](#), [139](#), [139](#), [139](#), [157](#), [157](#), [157](#), [157](#), [157](#), [157](#), [157](#), [157](#), [158](#), [372](#), [372](#), [374](#), [374](#),  
[375](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 38

Jingdezhen, imperial Chinese kiln

[851](#), [854](#).

Jingdi, Chinese emperor

[154](#).

Jinggang Mountains

[2469](#), [2470](#).

Jing , Japanese queen

[167](#).

Jingzong, Chinese emperor

[368](#).

Jinling Mountains

[372](#).

Jinnah, Mohammad A., Indian leader

[1398](#), [2432](#), [2444](#), [3990](#), [3990](#).

Jinsai, It , Japanese philosopher

[859](#).

Jit , empress of Japan

[384](#).

Jiujiang

[2469](#).

Jiu Valley

[3258](#).

Jiy  t , Liberal Party

[1452](#).

Jizan

[2415](#).

Joahaz, king of Israel

[105](#).

Joan, daughter of Henry II of England  
[444](#).

Joan, queen of Scotland  
[517](#).

Joan, sister of Richard I  
[505](#).

Joan, wife of William II of Sicily  
[471](#).

Joanna, daughter of Ferdinand and Isabella  
[595](#), [601](#), [601](#), [613](#).

Joanna, daughter of John III of Brabant  
[595](#).

Joanna (Giovanna) II, queen of Naples  
[533](#).



Joanna of Austria, mother of Sebastian I of Portugal  
[605](#).


Joanna of Naples  
[533](#).

Joan of Arc  
[515](#), [522](#), [522](#), [522](#), [522](#).

Joash, king of Israel  
[105](#), [105](#), [106](#).

Jobst, Holy Roman emperor  
[541](#).

J  ch , sculptor  
[386](#).

J  ei Formulary  
[395](#).

Joffe, Adolf, Russian diplomat  
[2465](#).

Joffre, Joseph, French commander  
[1738](#), [1738](#), [1738](#), [1738](#), [1754](#), [1754](#), [1756](#), [1789](#), [1791](#).

Johannes, Roman emperor in the West  
[266](#), [266](#).

Johannesburg  
[1556](#), [1556](#), [1557](#), [2699](#), [4472](#), [4489](#).

Johannes IV, Ethiopian king of kings  
[1220](#).

Johanson, Don, physical anthropologist  
[19](#).

John, gospel

[259](#).  
John, archduke of Austria  
[1016](#), [1096](#).  
John, the Fearless  
[595](#).  
John, son of Theodore Dukas  
[509](#).  
John I, Tzimisce  
[437](#), [437](#), [437](#), [437](#), [438](#), [441](#), [488](#).  
John (Juan) I, king of Aragon  
[526](#).  
John (Juan) I, king of Castile  
[525](#), [528](#).  
John I, king of France  
[520](#).  
John (João) I, king of Portugal  
[528](#), [528](#), [529](#).  
John I, pope  
[427](#).  
John I of Athens  
[508](#).  
John I Zápolya, king of Hungary  
[616](#), [635](#), [635](#), [635](#), [793](#), [793](#), [794](#).  
John (Juan) II, king of Aragon  
[526](#), [526](#).  
John II, king of France  
[513](#), [521](#), [521](#), [521](#), [521](#), [521](#), [521](#), [521](#), [521](#), [595](#).  
John (João) II, king of Portugal  
[281](#), [529](#), [572](#), [605](#).  
John II Casimir, king of Poland  
[776](#), [776](#), [776](#), [776](#), [777](#), [777](#).  
John II Comnenus, Byzantine emperor  
[501](#), [501](#), [501](#), [502](#), [502](#).  
John II Orsini, ruler of Epirus  
[566](#).  
John II (Sigismund) Zápolya, king of Hungary  
[635](#).  
John III, Dukas Vatatzes  
[509](#), [509](#), [510](#), [510](#), [510](#), [510](#).  
John III, duke of Brabant  
[595](#).



John III, the Pious  
[605](#), [605](#), [605](#), [914](#).

John III, king of Sweden  
[628](#), [633](#).

John III Sobieski, king of Poland  
[776](#), [779](#), [779](#), [779](#), [779](#), [779](#), [804](#).

John IV, Lascaris  
[510](#), [510](#).

John IV, king of Portugal  
[606](#), [674](#), [727](#), [727](#), [727](#).

John V, king of Portugal  
[727](#), [728](#), [729](#).

John V, Paleologus  
[538](#), [566](#), [566](#), [566](#), [567](#), [567](#), [567](#), [567](#), [567](#), [567](#), [568](#).

John VI, Cantacuzene  
[566](#), [567](#), [567](#).

John VI, king of Portugal  
[731](#), [733](#), [917](#), [917](#), [1064](#), [1064](#), [1064](#), [1656](#), [1656](#).

John VII, Byzantine emperor  
[568](#).

John VIII, Byzantine emperor  
[568](#), [568](#).

John VIII, pope  
[415](#).

John XI, pope  
[465](#), [465](#).

John XII, pope  
[416](#), [465](#), [465](#).

John XIII, pope  
[465](#).

John XIV, pope  
[465](#).

John XVI, pope  
[417](#).

John XXII, pope  
[530](#), [530](#), [530](#).

John XXIII, pope  
[531](#), [531](#), [531](#), [541](#), [2656](#), [2659](#), [2701](#), [2954](#), [2955](#), [2955](#), [2955](#), [2955](#), [2955](#).

John Albert, king of Poland  
[632](#), [632](#), [632](#).

John Alexius III, Byzantine emperor

[564](#).  
John Angelus, lord of Neopatras  
[564](#).  
John Bangura, Sierra Leonean leader  
[4382](#).  
John Cantacuzene, rival of John V  
[562](#), [566](#), [566](#), [566](#), [569](#). *See* [John VI \(Cantacuzene\), Byzantine emperor](#).  
John Frederick, elector of Saxony  
[615](#).  
John George, margrave of Jägerndorf  
[617](#).  
John Gualbert, St.  
[466](#).  
John Hyrcanus, Hasmonean leader  
[214](#).  
John Lackland, king of England  
[444](#), [444](#), [445](#), [445](#), [445](#), [445](#), [445](#), [445](#), [445](#), [447](#), [448](#), [448](#), [450](#), [450](#), [450](#), [450](#), [450](#), [450](#), [469](#).  
John of Austria, governor of the Netherlands  
[595](#), [595](#), [603](#), [676](#).  
John of Braganza  
*See* [John IV, king of Portugal](#).  
John of Brienne, king of Jerusalem  
[507](#), [509](#).  
John of Capistrano, Crusader  
[561](#).  
John of Ephesus, historian  
[427](#).  
John of Gaunt, duke of Lancaster  
[513](#), [513](#), [513](#), [514](#), [514](#), [514](#), [528](#).  
John of Leiden, Anabaptist leader  
[615](#).  
John of Luxemburg, king of Bohemia  
[520](#), [540](#), [541](#), [544](#), [544](#), [544](#), [550](#).  
John of Montecorvino, archbishop  
[375](#).  
John of Naples  
[533](#).  
John of Rila, St.  
[441](#).  
John of Salisbury, ecclesiastic  
[425](#), [444](#), [450](#).

John of Sevilla, scholar

[479](#).

John Paul I, pope

[2675](#), [2960](#).

John Paul II, pope

[2675](#), [2676](#), [2682](#), [2960](#), [2960](#), [2961](#), [2962](#), [2962](#), [2963](#), [2966](#), [3100](#), [3105](#), [3108](#),  
[3118](#), [3194](#), [3260](#), [3299](#), [3474](#), [3726](#).

Johns Hopkins University, Baltimore

[1596](#).

Johnson, prince, Liberian leader

[4357](#), [4357](#).

Johnson, Andrew, U.S. president

[1589](#), [1590](#), [1591](#), [1592](#), [1592](#), [1593](#), [1594](#).

Johnson, Charles S., scholar

[2201](#).

Johnson, Daniel, Quebec leader

[3452](#), [3452](#).

Johnson, Lyndon Baines, U.S. president

[3408](#), [3409](#), [3409](#), [3409](#), [3409](#), [3410](#), [3411](#), [3411](#), [3411](#), [3413](#), [3415](#), [3416](#), [3639](#),  
[3639](#), [3731](#), [4264](#), [4266](#), [4266](#), [4266](#), [4266](#), [4268](#), [4269](#), [4270](#), [4270](#), [4270](#), [4303](#).

Johnson, Samuel, English lexicographer

[688](#).

Johnson Debt Default Act, U.S.

[2204](#).

Johnston, Albert Sidney, Confederate commander

[1587](#), [1587](#).

Johnston, George, British commander

[1487](#).

Johnston, Harry, British colonial administrator

[1547](#).

Johnston, Joseph E., Confederate commander

[1589](#), [1590](#).

John the Baptist, St.

[250](#).

John the Fearless, duke of Burgundy

[522](#), [522](#), [523](#).

John Vladislav, Bulgarian ruler

[442](#), [496](#).

John William, duke of Cleves

[616](#).

Johor, sultanate

[837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [841](#).

Johore

[1411](#), [1411](#), [1411](#), [1411](#), [1411](#).

Johor Lama

[837](#).

Johor-Riau-Lingga, kingdom of

[837](#).

Johor River

[837](#).

Joint Committee of Fifteen on Reconstruction, U.S.

[1591](#).

joint stock companies

[589](#), [685](#).

Joint Stock Companies Act, England

[1049](#).

Joinville, Jean de, chronicler

[452](#).

J  jitsu Buddhism

[385](#).

Joliet, Louis, French explorer

[921](#).

Jolo Island

[1480](#), [4294](#).

Jomon culture

[50](#).

J  mon era

[166](#), [167](#).

Jonas, Franz, Austrian leader

[3035](#).

Jonasson, Hermann, Icelandic leader

[3086](#).

Jonathan, Leabua, Lesotho leader

[4473](#), [4473](#), [4473](#), [4473](#), [4473](#).

Jones, Ernest, English Chartist reformer

[1050](#).

Jones, Inigo, English architect

[594](#), [643](#).

Jones, Jim, religious leader

[2675](#).

Jones, John Paul, American naval commander

[950](#).

Jones, Paula, alleged of sexual harassment  
[3439](#).

Jones, William, English Orientalist  
[1394](#).

Jones Act, U.S.  
[2308](#), [2534](#).

Jones-Costigan Sugar Act, U.S.  
[2202](#).

Jonestown  
[2675](#).

Jong Java  
[1414](#).

Jonnart, Charles, French diplomat  
[1759](#).

Jonson, Ben, English poet  
[594](#).

Jonsson, Emil, Icelandic leader  
[3086](#).

Jordan  
[1706](#), [2647](#), [3769](#), [3769](#), [3769](#), [3769](#), [3771](#), [3771](#), [3771](#), [3773](#), [3777](#), [3782](#), [3783](#),  
[3785](#), [3845](#), [3863](#), [3863](#), [3866](#), [3866](#), [3867](#), [3870](#), [3870](#), [3871](#), [3873](#), [3873](#), [3873](#),  
[3874](#), [3874](#), [3874](#), [3875](#), [3875](#), [3875](#), [3875](#), [3875](#), [3875](#), [3876](#), [3876](#), [3876](#), [3877](#), [3877](#),  
[3879](#), [3884](#), [3884](#), [3886](#), [3891](#); and Great Britain, [2636](#), [3871](#), [3872](#); Hashemite  
Kingdom of Jordan, [3870](#); makeup, [3871](#), [3871](#). *See* [Transjordan](#).

Jordanes, historian  
[426](#).

Jordanian-Israeli peace treaty  
[3768](#).

Jordanian National Union  
[3873](#).

Jordan River  
[36](#), [36](#), [3856](#), [3871](#).

Jordanus Nemorarius, mathematician  
[452](#).

Jorge-Blanco, Salvador, Dominican leader  
[3742](#), [3742](#).

Jorgensen, Anker, Danish leader  
[3047](#), [3049](#).

Jørgensen, Jørgen, Icelandic leader  
[775](#), [1077](#).

Joseph, American Indian leader

[1597](#).  
Joseph, Franciscan friar in Ethiopia  
[880](#).  
Joseph I, Holy Roman emperor  
[659](#), [752](#).  
Joseph I, king of Portugal  
[727](#), [729](#), [729](#).  
Joseph II, Holy Roman emperor  
[578](#), [659](#), [666](#), [737](#), [742](#), [752](#), [753](#), [757](#), [758](#), [759](#), [759](#), [759](#), [759](#), [759](#), [759](#), [760](#), [789](#).  
Joseph August, Austrian archduke  
[2023](#), [2023](#).  
Joseph Ferdinand, Austrian archduke  
[1794](#).  
Joseph Ferdinand, electoral prince of Bavaria  
[657](#), [657](#), [657](#).  
Josephine de Beauharnais  
[1021](#).  
Josephus, Jewish historian  
[249](#).  
Josiah, king of Judah  
[95](#), [105](#).  
Jospin, Lionel, French leader  
[2884](#), [2885](#), [2886](#).  
Joubert, French rebel leader  
[1059](#).  
Joubert, Barthélemy Catherine, French soldier  
[1011](#).  
Joubert, Piet, Boer leader  
[1555](#).  
Jouhari, Abdel-Latif, Moroccan leader  
[3922](#).  
Joule, James, scientist  
[981](#), [1040](#).  
Jourdan, Jean Baptiste  
[1009](#), [1011](#), [1029](#).  
Jourdan Law, France  
[1010](#).  
Journal des Savants, scientific periodical  
[640](#).  
Jouvenel, Henri de, French leader  
[2374](#).

Jovellanos, Salvador, Latin American leader  
[1665](#).

Jovian, Roman emperor  
[264](#), [268](#), [273](#).

Joyce, Cornet, English soldier  
[593](#).

Joyce, James, writer  
[1816](#), [1839](#).

Juana Inés de la Cruz, Sor, Spanish-American writer  
[912](#).

Juan Carlos I, king of Spain  
[2887](#), [2892](#), [2894](#), [2894](#), [2894](#), [2895](#), [2899](#).

Juan de Palafox, José, bishop of Puebla  
[912](#).

Juárez, Benito, Mexican leader  
[1691](#), [1691](#), [1691](#), [1691](#), [1692](#), [1692](#).

Juba  
[4406](#).

Jubani, Zef, Albanian folklorist  
[1325](#).

Jubilee of 1450  
[532](#).

Judaea  
[104](#), [215](#), [239](#), [240](#), [245](#), [248](#), [249](#), [250](#), [251](#), [253](#).

Judah  
[87](#), [87](#), [88](#), [94](#), [95](#), [100](#), [104](#), [104](#), [104](#), [104](#), [104](#), [104](#), [104](#), [105](#), [105](#), [105](#), [105](#), [105](#), [105](#),  
[105](#), [105](#), [105](#), [106](#), [109](#), [206](#).

Judah-Aristobulus, Hasmonean leader  
[214](#).

Judaism  
[80](#), [87](#), [105](#), [105](#), [214](#), [250](#), [253](#), [268](#), [271](#), [273](#), [273](#), [279](#), [283](#), [306](#), [319](#), [605](#), [797](#),  
[816](#), [1020](#); Reformed, [1072](#). *See* [Jews](#).

Judeo-Christian tradition  
[1235](#).

Judeo-Spanish culture  
[1334](#).

Judicial Committee of the Privy Council  
[2232](#).

judicial reform  
[1161](#).

Judiciary Act, U.S.

[1564](#), [1567](#), [1567](#).  
Judson, W. L., developer of zipper  
[986](#).  
Jugurtha, king of Numidia  
[235](#).  
Jugurthine War  
[235](#), [235](#), [235](#), [239](#).  
Juin, Alphonse, French leader  
[3919](#).  
Julfa  
[814](#).  
Julia, daughter of Augustus  
[243](#), [243](#), [244](#).  
Julia Domna, wife of Septimius Severus  
[255](#).  
Julian, Roman emperor  
[262](#), [263](#), [263](#), [264](#), [264](#), [268](#), [273](#).  
Juliana, queen of the Netherlands  
[1897](#), [2827](#), [2829](#), [2830](#), [2830](#), [2832](#).  
Julian calendar  
[570](#).  
Julianus, Flavius, the Apostate  
*See* [Julian, Roman emperor](#).  
Julio-Claudian dynasty  
[246](#), [247](#), [248](#), [248](#), [249](#), [251](#).  
Julius II, pope  
[532](#), [532](#), [601](#), [607](#), [609](#), [609](#), [609](#), [613](#), [613](#), [910](#).  
Julius III, pope  
[918](#).  
Julius Nepos, Roman emperor in the West  
[269](#), [269](#), [269](#), [407](#).  
July Monarchy, France  
[1061](#), [1061](#), [1061](#).  
July Ordinances, France  
[1060](#), [1060](#).  
July Revolution, France  
[1068](#), [1071](#).  
Jumayyil, Amin, Lebanese leader  
[3849](#), [3850](#).  
Jumayyil, Bashir, Lebanese leader  
[3849](#), [3849](#).



Jumayyil, Pierre, Lebanese leader  
[2380](#).

Jumna River  
[129](#), [130](#), [334](#).

Junagadh  
[3954](#), [3954](#).

Juncker, Jean-Claude, leader of Luxembourg  
[2836](#).

June Days Rebellion, France  
[1081](#), [1081](#), [1081](#), [1090](#).

June War  
[3771](#).

Jung, Carl G., psychoanalyst  
[1144](#).

Junín  
[1649](#), [3559](#).

junk bonds  
[3428](#).

Junker, Wilhelm, explorer  
[1509](#).

Junkers, Prussia  
[756](#), [1071](#), [1071](#), [1097](#), [1231](#), [1235](#), [1984](#).

Junkers Company  
[2339](#).

Junnar  
[132](#).

Junnin, emperor of Japan  
[385](#).

Junot, Andoche, duke of Abrantès  
[732](#), [1027](#).

Junta, in Lombardy  
[742](#), [742](#), [742](#).

Junta Gubernativa  
[913](#).

Junta of Defense of the Infantry  
[1920](#).

Junta of National Defense  
[1929](#).

Jupiter  
[641](#).

Jupiter Capitolinus

[253](#).  
Jura  
[424](#), [2973](#), [2974](#).  
Juran Burgundy  
[411](#).  
Jurchens  
[372](#), [372](#), [372](#), [372](#), [373](#), [374](#), [375](#), [375](#), [380](#), [380](#), [852](#).  
Jurji Zaydan, writer  
[1335](#), [1374](#).  
Justice Party, Turkey  
[3793](#), [3799](#).  
Justin I, Roman emperor in the east  
[270](#).  
Justinian I, Byzantine emperor  
[260](#), [268](#), [270](#), [270](#), [274](#), [276](#), [403](#), [404](#), [406](#), [406](#), [406](#), [408](#), [427](#), [427](#), [427](#), [427](#), [427](#),  
[427](#), [427](#), [428](#), [432](#), [435](#), [435](#).  
Justinian II, Rhinotmetus  
[274](#), [428](#), [428](#), [430](#), [430](#), [431](#), [431](#), [431](#), [439](#).  
Justin Martyr  
[259](#).  
Justinus  
*See* [Justin I, Roman emperor in the east](#).  
Justo, Agustín, Argentine leader  
[2242](#), [2243](#).  
Jutes  
[421](#), [421](#).  
Jutland  
[551](#), [619](#), [622](#), [1247](#); battle of, [1762](#), [1809](#).

## K

Kaabu, kingdom of  
[359](#), [870](#).  
Kaarta  
[1510](#).  
Kaas, Ludwig, German leader  
[1986](#).  
Ka'ba  
[286](#), [286](#), [286](#), [286](#), [297](#), [321](#).  
Kabaka Mutesa, ruler of Buganda  
[1535](#), [1535](#), [1535](#), [1535](#), [1535](#).

Kabaka Mwangi, African leader  
[1536](#).

Kabaka Tebandeke, ruler of Buganda  
[883](#).

Kabbah, Ahmed Tejan, Sierra Leonean leader  
[2694](#), [4326](#), [4382](#), [4383](#), [4383](#), [4384](#), [4385](#).

Kabila, Laurent, Congolese leader  
[4423](#), [4430](#), [4431](#), [4434](#), [4434](#), [4435](#), [4442](#), [4442](#), [4443](#), [4452](#), [4452](#), [4452](#), [4452](#),  
[4453](#), [4453](#), [4454](#), [4454](#), [4456](#), [4468](#), [4470](#), [4476](#).

Kabo reforms, Korea  
[1432](#), [1433](#).

kabuki, Japanese drama form  
[859](#).

Kabul, khanate in Afghanistan  
[130](#), [300](#), [817](#), [819](#), [819](#), [819](#), [819](#), [830](#), [1354](#), [1354](#), [1354](#), [1355](#), [1355](#), [1355](#), [1355](#),  
[1355](#), [1355](#), [1356](#), [1356](#), [1357](#), [1395](#), [1751](#), [2347](#), [2347](#), [2348](#), [2348](#), [2348](#), [3832](#), [3834](#),  
[3834](#), [3834](#), [3835](#), [3835](#).

Kabul, University of  
[3831](#).

Kabul-Kapisa-Gandhara  
[130](#).

Kabul Valley  
[130](#).

Kabyle Berbers  
[1381](#), [1383](#), [1383](#), [1383](#), [1384](#).

Kabylia  
[1381](#), [1383](#), [1383](#).

Kachar  
[1402](#).

Kachin Independence Army  
[4059](#).

Kachins  
[1404](#), [4056](#).

Kadalie, Clements, labor leader  
[2577](#).

Kadamba dynasty  
[133](#), [326](#).

Kádár, János, Hungarian leader  
[3147](#), [3147](#), [3147](#), [3148](#), [3149](#), [3150](#), [3150](#), [3152](#), [3155](#), [3155](#).

Kadi Burhaneddin, leader of Eretna  
[307](#), [311](#).

Kadizade Mehmed Efendi, Ottoman fundamentalist leader

[801](#), [803](#).

Kadphises, ruler of India

[129](#).

Kaes ng

[379](#), [379](#), [380](#), [4195](#), [4196](#).

Kafi, Ali, Algerian leader

[3936](#).

Kafiristan

[1356](#).

Kafka, Franz, writer

[1146](#), [1816](#).

Kafur, Malik Naib

[332](#).

Kagame, Paul, Rwandan leader

[4425](#).

Kaganovich, Lazar, Russian leader

[3267](#), [3271](#), [3278](#).

Kagayan Valley

[867](#).

Kagoshima

[1437](#), [1442](#).

Kahlo, Frida, artist

[2241](#).

Kaifeng

[369](#), [369](#), [371](#), [371](#), [372](#), [374](#), [2480](#).

Kaifu Toshiki, Japanese leader

[4242](#), [4244](#), [4244](#).

Kai Kavus ibn Iskandar, Iranian leader and writer

[302](#).

Kailasa temple

[326](#), [327](#).

Kaisareia

[429](#).

Kaishint , Progressive Party

[1452](#).

Kakati

[337](#).

Kakatiya dynasty

[337](#).

Kakutsthavarman, Indian ruler

[133](#).  
Kalah  
[87](#).  
Kalahari Desert  
[13](#), [29](#), [349](#), [364](#), [1508](#).  
Kalanga people  
[1546](#).  
Kalb, baron de, Johann, in American Revolution  
[949](#).  
Kalb sect  
[289](#).  
Kaledin, Alexis, Cossack hetman  
[2064](#), [2066](#), [2067](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 39

Kalelkar, Kaka, Indian leader

[3960.](#)

Kalema, ruler of Buganda

[1536.](#)

Kalendero  lu Mehmed, Jelali leader

[800.](#)

Kalgoorlie

[2538.](#)

Kalhana, historian

[331.](#)

Kalidasa, Hindu writer

[131](#), [324.](#)

Kaliman I, Bulgarian ruler

[497.](#)

Kaliman II, Bulgarian ruler

[497.](#)

Kalinga

[129](#), [326](#), [327](#), [328](#), [336.](#)

Kalinin, battle of

[2594.](#)

Kalinin, Michael, Russian leader

[3261.](#)

Kalisch, treaty of

[1030.](#)


Kalisz, peace of

[550.](#)

Kalka River, battle of the

[489.](#)

Kalkstein, fugitive in Poland

777.  
Kállai, Gyulla, Hungarian leader  
3150, 3151.  
Kallinikos, inventor of Greek fire  
430.  
Kallio, Kyosti, Finnish leader  
2056.  
Kalmar, union of  
554.  
Kalmus, Herbert T., inventor  
1736.  
Kalmyks  
3271.  
Kalojan, tsar of Bulgaria  
494, 496, 496, 496, 496, 504, 508, 508.  
Kalpanamanditika  
130.  
Kalyani  
327, 328, 336, 336, 336, 337.  
Kamakura period  
385, 388, 390, 391, 393, 394, 394, 394, 394, 394, 395, 395, 395, 395, 395, 396, 396, 396.  
Kamatari, Japanese leader  
384.  
Kambanda, Jean, Rwandan leader  
2694, 4410, 4423.  
Kamba people  
1528.  
Kambia, Sierra Leone  
4382.  
Kamehameha I, king of Hawaii  
1476, 1476.  
Kamenev, Leo, Russian leader  
2070, 2075, 2076.  
Kamez , Nishihara, Japanese diplomat  
2463.  
Kamieniec Podolsk, fortress  
777.  
Kamil Shabib, Iraqi leader  
2406.  
Kamil Sham'un, Camille Chamoun

[3845](#), [3845](#).  
Kamo no Chūmei, writer  
[392](#).  
Kamose, king of Egypt  
[92](#).  
Kampar River  
[837](#).  
Kampmann, Viggo, Danish leader  
[3046](#), [3046](#), [3047](#).  
Kamran, ruler of Afghanistan  
[1354](#).  
Kanafani, Ghassan, writer  
[3845](#).  
Kanagawa, treaty of  
[1438](#).  
Kanakas  
[1494](#), [1497](#).  
Kanaks  
[4285](#).  
Kanama  
[4422](#).  
Kan'ami, dramatist  
[396](#).  
Kanaris, Constantine, Greek admiral  
[1273](#).  
Kanauj  
[324](#), [324](#), [325](#), [325](#), [325](#), [326](#).  
Kanchi  
[133](#), [326](#), [326](#), [326](#), [326](#), [326](#), [326](#), [327](#), [327](#), [328](#), [336](#).  
Kanchipuram  
[326](#).  
Kandahar  
[833](#).  
Kandinsky, Wassily, artist  
[1816](#), [2068](#).  
Kanem  
[343](#), [344](#), [344](#), [344](#), [352](#), [354](#), [354](#).  
Kanemaru Shin, Japanese leader  
[4245](#).  
Kanem-Borno  
[352](#), [354](#), [354](#).




Kanesh

[85](#), [102](#), [102](#), [112](#), [113](#).

Kangaroo Island

[1489](#).

Kang H i-an, Korean artist

[856](#).

Kanghwa, treaty of

[1419](#), [1429](#), [1430](#), [1451](#).

Kanghwa Island

[380](#), [1430](#).

Kang Kech Iev, Cambodian leader

[4091](#).

Kangra

[325](#), [333](#), [333](#).

Kangxi, Chinese emperor

[576](#), [854](#).

Kangxi, Mongolian leader

[852](#).

Kangxi reign

[852](#).

Kang Youwei, Chinese leader

[1423](#), [1423](#), [1425](#), [2462](#), [2524](#).

Kania, Stanislaw, Polish leader

[3100](#), [3102](#).

Kanishka I, king of India

[73](#), [130](#), [130](#), [130](#).

Kanishka II, king of India

[130](#).

Kanmu, emperor of Japan

[385](#), [385](#), [386](#).

Kano, Nigeria

[351](#), [355](#), [355](#), [870](#), [870](#), [1510](#), [1511](#), [1519](#), [1521](#), [2556](#), [4324](#), [4336](#).

Kano school of painting

[396](#).

Kanpur

[2440](#).


Kansas

[903](#), [904](#), [3439](#); territory, [1582](#); struggle over, [1583](#).

Kansas-Nebraska Act, U.S.

[1582](#), [1582](#).

Kansei Reforms, in Japan

[862](#).  
Kant, Immanuel, German philosopher  
[645](#).  
Kant , plain  
[163](#), [167](#), [858](#).  
Kanungu  
[4431](#).  
Kanuri  
[355](#).  
Kanvas  
[129](#).  
Kaohsiung  
[4183](#).  
Kaoru, Inoue, Japanese leader  
[1452](#), [1454](#).  
Kapitsa, Pyotr, scientist  
[3280](#).  
Kappel, battle of  
[625](#).  
Kapp Putsch, Germany  
[1975](#).  
Kara Ali, Turkish admiral  
[1273](#).  
Karachi  
[3271](#), [3965](#), [3995](#), [4006](#), [4013](#), [4013](#).  
Karadzic, Vuk, historian  
[1284](#).  
Karaganda  
[3315](#).  
Karageorge, Serbian leader  
[811](#), [1284](#), [1328](#).  
Karageorgevich dynasty  
[1132](#), [1285](#), [1297](#).  
Karakhan, Lev M., Russian diplomat  
[2464](#).  
Kara-Khitai empire  
[374](#).  
Karakorum  
[374](#), [374](#), [374](#).  
Karaman  
[306](#), [310](#), [311](#), [312](#), [313](#), [314](#).

Karaman ibn Musa, Turkoman leader

[305.](#)

Karamanids

[306.](#)

Karamanlis, Constantine (or Konstantinos), Greek leader

[3214,](#) [3214,](#) [3214,](#) [3215,](#) [3215,](#) [3216,](#) [3222,](#) [3222,](#) [3223,](#) [3225,](#) [3226,](#) [3227.](#)

Karamat `Ali, Indian leader

[1395.](#)

Karamaxo Alfa, Islamic rebel

[871.](#)

Karami, Rashid, Lebanese leader

[3845.](#)

Karamoko Alifa, West African religious leader

[580.](#)

Kara Mustafa Pasha, grand vezir

[804,](#) [804.](#)

Karanga people

[45,](#) [889.](#)

Karaosmano  lu family

[1328.](#)

Karasi

[309.](#)

Karavelov, Liuben, Bulgarian leader

[1299.](#)

Karavelov, Petko, Bulgarian leader

[1301,](#) [1302.](#)

Kara Yaziji, Ottoman rebel commander

[799.](#)

Karbala

[289,](#) [300,](#) [815,](#) [1358.](#)

Kardam, Bulgarian ruler

[440.](#)

Kardis, treaty of

[648.](#)

Karelia

[659,](#) [764,](#) [2054.](#)

Karelian Isthmus

[2582,](#) [2583.](#)

Karen National Liberation Army

[4059.](#)

Karen National Union, Burma

[4063](#), [4074](#).  
Karens, Burma  
[2448](#), [4049](#), [4049](#), [4050](#), [4056](#), [4061](#).  
Kar-Esarhaddon  
[109](#).  
Karib'il, Arabian king  
[128](#).  
Karib'il Watar, Sabeian king  
[128](#).  
Karikalan, Indian king  
[133](#).  
Karim Khan Zand, ruler of Iran  
[817](#), [817](#).  
Karim Lamrani, Muhammad, Moroccan leader  
[3923](#), [3924](#).  
Karimov, Islam, Uzbek leader  
[3386](#), [3387](#).  
Karimum Island  
[837](#).  
Kariuki, J. M., Kenyan leader  
[4417](#).  
Karjalainen, Ahti K., Finnish leader  
[3077](#), [3078](#), [3079](#).  
Karka  
[1524](#).  
Karli  
[129](#).  
Karl Marx Hof, Socialist housing  
[2008](#).  
Karlowitz, treaty of  
[575](#), [758](#), [780](#), [805](#).  
Karlsefni, Thorfinn, Viking leader and explorer  
[281](#), [571](#).  
Karlstadt  
*See* [Andreas ~Bodenstein, German religion reformer](#).  
Karluk  
[368](#).  
Karl XV, king of Sweden and Norway  
[1247](#), [1247](#), [1247](#).  
Karmal, Babrak, Afghan leader  
[3832](#), [3833](#), [3834](#).

Karnak

[93](#), [93](#), [93](#), [94](#).

Karnataka

[3975](#), [3981](#).

Karo, Joseph, rabbi and legal scholar

[797](#).

Károlyi, Julius

[1787](#), [2023](#), [2027](#), [2028](#).

Károlyi, Mihaly (Michael)

[1779](#), [2022](#), [2023](#), [2023](#), [2023](#).

Kars

[955](#), [1108](#), [1108](#), [1260](#), [1343](#), [1343](#), [1344](#), [1752](#), [2322](#).

Kartanagara, Malay ruler

[339](#), [339](#).

Kartawidjaja, Djuanda, Indonesian leader

[4125](#), [4128](#).

Kartir, Zoroastrian priest

[271](#).

Karts

[306](#).

Kar-Tukulti-Ninurta

[86](#).

Karume, Abeid, Tanzanian leader

[4426](#), [4427](#).

Kasaba

[1337](#).

Kasai River

[885](#), [1542](#), [2568](#).

Kasavubu, Joseph, Congolese leader

[4432](#), [4449](#), [4449](#).

Kashan

[816](#).

Kashgar

[474](#).

Kashgaria, China




[1416](#), [1418](#).

Kashif al-Din, Arab pharmacologist

[816](#).

Kashmir

[130](#), [324](#), [325](#), [331](#), [333](#), [819](#), [1354](#), [1396](#), [2662](#), [2679](#), [3951](#), [3954](#), [3954](#), [3954](#), [3957](#), [3958](#), [3959](#), [3962](#), [3965](#), [3966](#), [3966](#), [3967](#), [3972](#), [3987](#), [3988](#), [3989](#), [3989](#), [3997](#),


[3997](#), [3998](#), [4013](#), [4014](#), [4014](#), [4014](#).  
Kashtiliash IV, king of Babylon  
[86](#).  
Kasim Barid, Indian leader  
[334](#).  
Kaskas  
[111](#), [113](#), [113](#), [113](#).  
Kaskaskia  
[922](#).  
Kasparov, Garry, chess player  
[2693](#).  
Kasprowicz, Jan, poet  
[2119](#).  
Kassel  
[3006](#).  
Kasserine Pass  
[2615](#).  
Kassites  
[67](#), [85](#), [86](#), [86](#), [86](#), [122](#).  
Kastamonu  
[310](#), [314](#).  
Katanga  
[348](#), [363](#), [1539](#), [1539](#), [1541](#), [1541](#), [2568](#), [2636](#), [4434](#), [4449](#), [4449](#), [4449](#), [4450](#).  
Katanga Company  
[1541](#).  
Katari, Tomás, Latin American rebel  
[913](#).  
Katatura, Namibia  
[4470](#).  
Katayama Tetsu, Japanese leader  
[4224](#), [4224](#).  
Kathiawar  
[132](#), [132](#), [327](#), [327](#), [334](#).  
Katip Chelebi, Ottoman scholar  
[803](#).  
Katipunan, secret society  
[1481](#), [1481](#).  
Kat  Takaaki, Japanese leader  
[2504](#), [2506](#).  
Kat  Tomosabur , Japanese leader  
[2501](#), [2502](#), [2503](#).

Katsina

[355](#), [870](#), [2556](#).

Katsina Training College

[2555](#), [2555](#).

Katsura, Tar 

[1461](#), [1464](#), [1466](#), [1469](#), [1471](#), [1471](#).

Katunayaka, naval base

[4027](#).

Katyayana

[129](#).

Katyn massacre

[3110](#).

Katzbach, battle of

[1030](#).

Kaulbars, Nicholas, Bulgarian leader

[1302](#).

Kaunda, Kenneth, Zambian leader

[4465](#), [4465](#), [4465](#), [4465](#), [4465](#), [4465](#).

Kaunitz, Wenzel von

[662](#), [662](#).

Kaunus

[2125](#).

Kausambhi

[129](#), [130](#).

Kautsky, Karl, German socialist

[1237](#).

Kavad I, king of Persia

[271](#), [273](#), [273](#), [273](#), [274](#), [274](#).

Kavad II, king of Persia

[275](#), [275](#).

Kavalla

[1139](#), [1366](#).

Kavalla-Drama-Seres region, western Thrace

[1743](#), [1743](#), [1743](#), [1758](#), [1806](#).

Kaveri River

[133](#), [326](#).

Kavirondo Tax Payers Welfare Association

[2567](#).

Kavya

[131](#).

Kawabata, Yasanari, writer

[2665](#), [4238](#).  
Kawashima Kiko, emperor's wife  
[4243](#).  
Kawkaw  
[344](#).  
Kawsen ag Muhammad, Tuareg chief  
[2555](#).  
Kay, battle of  
[664](#).  
Kay, John, inventor  
[647](#), [1034](#).  
Kaya  
[161](#), [167](#), [167](#), [167](#), [377](#), [383](#).  
Kayibanda, Grégoire, Rwandan leader  
[4420](#).  
Kayra dynasty  
[880](#).  
Kayr al-Din Barbarossa  
[826](#).  
Kaysone Phomvihane, Laotian leader  
[4100](#).  
Kazakh Academy of Sciences  
[3333](#).  
Kazakhstan, and Soviet federation  
[2071](#), [2076](#), [2641](#), [3271](#), [3297](#), [3303](#), [3304](#), [3304](#), [3332](#), [3332](#), [3333](#), [3335](#), [3335](#),  
[3335](#), [3336](#), [3336](#), [3337](#), [3338](#), [3338](#), [3343](#); sovereignty, [3301](#), [3332](#); Republic of  
Kazakhstan, [3332](#); independence, [3332](#); and Russia, [3332](#).  
Kazallu  
[85](#).  
Kazan  
[629](#).  
Kazan University  
[1256](#).  
Kazembe, Lunda ruler  
[1539](#).  
Kazhegeldin, Akezhan, Kazakh leader  
[3338](#).  
Kealakekua Bay, Hawaii  
[866](#).  
Kearny, Stephen W., U.S. commander  
[1578](#).



Keating, Paul, Australian leader  
[4310](#).

Keats, John, poet  
[1037](#).

Kebbi  
[355](#), [870](#), [1510](#).

Keble, John, English clergyman  
[1049](#).

Kebreau, Antonio, Haitian leader  
[3745](#).


Kedah  
[837](#), [838](#), [838](#), [838](#), [838](#), [1408](#), [1410](#), [1410](#), [1411](#), [1411](#), [1411](#), [2455](#).

Keeler, Christine  
[2774](#).

Kefauver Committee, U.S.  
[3395](#).


Kegon Buddhism  
[385](#).

Kehl  
[660](#).

Keij Imperial University  
[2491](#).

Keiki, Hitotsubashi, Japanese leader  
[1438](#), [1446](#), [1447](#).

Keiki, Yoshinobu, Japanese shogun  
[1446](#).

Kei University  
[1450](#).

Kei River  
[1552](#).

Keiskamma River  
[1550](#).

Keita, Mobido, Malian leader  
[4361](#), [4361](#), [4361](#).


Keitel, Wilhelm, Nazi commander  
[1991](#).

Keith, B. F., U.S. showman  
[1607](#).

Keith, Minor, U.S. entrepreneur  
[1685](#).

Kekkonen, Urho K., Finnish leader

[3073](#), [3074](#), [3074](#), [3075](#), [3075](#), [3075](#), [3075](#), [3076](#), [3077](#), [3077](#), [3077](#), [3078](#), [3079](#).  
Kekulé, Friedrich A., chemist  
[1151](#), [1152](#).  
Kelang River  
[837](#).  
Kelantan  
[1408](#), [1411](#), [1411](#), [2455](#), [2455](#).  
Kellerman, François, French soldier  
[1005](#).  
Kellgren, Johan Henrik, Swedish political philosopher  
[761](#).  
Kellogg, Frank B., U.S. leader  
[1717](#), [2195](#).  
Kellogg-Briand Pact  
[1698](#), [1717](#), [1717](#), [1718](#), [2197](#), [2197](#), [2473](#).  
Kellogg Company  
[2640](#).  
Kells  
[425](#).  
Kelly, Ned, Australian bushranger  
[1495](#).  
Kelso, Frank B. II, U.S. commander  
[3432](#).  
Kelvin, 1st baron, William Thomson  
*See* [Thomson, William, Lord Kelvin, physicist](#).  
Kelvin scale of temperature  
[1147](#).  
Kemal Atatürk, Turkish leader  
[1706](#), [1706](#), [1788](#), [1788](#), [2320](#), [2321](#), [2323](#), [2324](#), [2325](#), [2325](#), [2325](#), [2327](#), [2333](#),  
[2339](#), [3796](#).  
Kenana, Rua, Maori prophet  
[2551](#).  
Kenedugu kingdom  
[1511](#).  
Kengtung  
[846](#).  
Kenmure, viscount, William Gordon, Jacobite leader  
[684](#).  
Kennebec River  
[926](#), [947](#).  
Kennecott Corporation

[3510](#), [3512](#).  
Kennedy, John Fitzgerald, U.S. president  
[2640](#), [2641](#), [2658](#), [2722](#), [2774](#), [2999](#), [3276](#), [3405](#), [3406](#), [3406](#), [3406](#), [3406](#), [3407](#),  
[3407](#), [3408](#), [3408](#), [3409](#), [3410](#), [3449](#), [3469](#), [3662](#), [3718](#), [3736](#), [3964](#), [4183](#), [4261](#),  
[4283](#); assassination of, [3408](#).  
Kennedy, Mary E., U.S. labor leader  
[1605](#).  
Kennedy, Robert F., U.S. leader  
[3406](#), [3407](#), [3415](#).  
Kenneth I, king of Scotland  
[424](#).  
Kennington Common, London  
[1050](#).  
Ken Saro-Wiwa, Nigerian leader  
[4371](#).  
Kenseikai, Japanese party  
[2499](#).  
Kenseitō , Japanese political party  
[1459](#), [1464](#).  
Kenshin, Uesugi, Japanese warrior  
[857](#).  
Kent  
[421](#), [421](#), [515](#).  
Kent State University, Ohio  
[3419](#).  
Kentucky  
[941](#), [1565](#), [1567](#), [1587](#).  
Kentucky and Virginia Resolutions  
[1565](#), [1565](#).  
Kenya  
[19](#), [45](#), [343](#), [1532](#), [1533](#), [1534](#), [1706](#), [2554](#), [2565](#), [2565](#), [2567](#), [2651](#), [2672](#), [2694](#),  
[2779](#), [3437](#), [3835](#), [4320](#), [4391](#), [4406](#), [4408](#), [4408](#), [4408](#), [4410](#), [4414](#), [4417](#), [4417](#),  
[4417](#), [4417](#), [4417](#), [4418](#), [4419](#), [4427](#); WWII, [2612](#); and Great Britain, [2636](#), [4320](#);  
independence, [4410](#), [4417](#).  
Kenya African National Union, KANU  
[4410](#), [4417](#), [4417](#).  
Kenya Land Commission Report  
[2567](#).  
Kenyan African Democratic Union, KADU  
[4417](#).  
Kenyan People's Union, KPU

4417.  
Kenyatta, Jomo, Kenyan leader  
1706, 2567, 4408, 4408, 4409, 4410, 4417, 4417, 4417.  
Kepler, Johannes, German astronomer  
638, 639.  
Kerala  
3961, 3962, 3981.  
Kerch  
2594.  
Kerch Straits  
2595.  
Kerekou, Mathieu, Benin leader  
4329, 4329, 4329, 4329.  
Kerensky, Alexander, Russian leader  
1756, 2064, 2064, 2064, 2064, 2064, 2064, 2064, 2065, 2204.  
Kerma  
96, 97, 98, 474.  
Kerr, John  
4308.  
Kerrl, Hans, Nazi religious leader  
1986.  
Kertch  
789.  
Kerularios, Michael, eastern patriarch  
499.  
Kesatuan Melayu Muda, Young Malay Union  
2455.  
Keshab Chunder Sen, Hindu reformer  
1397.  
Ke Shaomin, writer  
1425.  
Ketteler, Klemens von  
1424.  
Kettering, Charles F., automotive pioneer  
991.  
Keynes, John Maynard, economist  
1815, 1850, 2700.  
KGB, Committee for State Security  
3291, 3304.  
Khabarov, Enrofei, Russian at Albazin  
852.

Khabarovsk

[2490](#).

Khabur River

[82](#), [86](#).

Khachaturian, Aram, composer

[3263](#).

Khadija bint Khuwaylid, wife of Muhammad ibn Abdallah

[286](#), [286](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 40

Khafre, king of Egypt

[91.](#)

Khajuraho

[325.](#)

Khaki elections, Great Britain

[1839.](#)

Khalduniyya School, Tunisia

[1391.](#)

Azm, Khalid al-

[3839.](#)

Khalid ibn Abd al-Aziz, king of Saudi Arabia

[3889](#), [3889.](#)

Khalid ibn Sa'ud, emir

[1359.](#)

Khalifa, ruler of Qatar

[3898.](#)

Khalifa Abdallahi, African leader

[1524](#), [1527.](#)

Khalifa bin Hamad al-Thani, emir of Qatar

[3899.](#)

Khalifa ibn Ahmad, leader of Qatar

[3896.](#)

Khalil, 'Abd allah, Sudanese leader

[4404.](#)

Mutran, Khalil, poet

[2365](#), [2426.](#)

Khalji dynasty

[332](#), [333.](#)

Khalkas

[852.](#)

Khama, Seretse  
[4455](#), [4456](#), [4458](#), [4458](#).

Khama, Tshkedi, regent of Ngwato  
[4456](#).

Khameni, Ali, Iranian leader  
[3822](#), [3824](#), [3824](#), [3826](#).

Khamtai Siphandon, Laotian leader  
[4102](#).

Khan, Agha Mohammed Yahya, Pakistani leader  
[4001](#), [4001](#), [4003](#), [4003](#), [4003](#).

Khan, Ghulam Ishaq, Pakistani leader  
[4011](#).

Khan, Hashim, Afghan leader  
[3831](#).

Khan, Liaqat Ali, Pakistani leader  
[3990](#), [3991](#).

Khan, Mahmud Shah, Afghan leader  
[3831](#).

Khan, Mohammed Ayub, Pakistani leader  
[3994](#), [3994](#), [3995](#), [3996](#), [3998](#), [4001](#), [4001](#), [4001](#).

Khan, Muhammad Daoud, Afghan leader  
[3832](#), [3832](#), [3833](#), [3833](#), [3833](#).

Khan, Nasrullah, Pakistani leader  
[4001](#).

Khanbalig  
[375](#).

Khandesh  
[333](#), [333](#), [830](#), [832](#), [833](#).

Khanh  
[4266](#).

Khanua, battle of  
[830](#).

Kharijis  
[288](#), [288](#), [288](#), [288](#), [291](#), [292](#), [292](#), [293](#), [295](#), [321](#).

Kharkov  
[1774](#), [2593](#), [2595](#), [2595](#), [2596](#), [2596](#), [2596](#).

Kharkov University  
[1256](#).

Kharoshthi  
[129](#).

Khartoum, or Khartum

[1366](#), [1372](#), [1509](#), [1524](#), [2675](#), [4391](#), [4406](#), [4406](#).  
Khartoum Conference  
[2664](#), [3771](#).  
Khasbulatov, Ruslan, Russian leader  
[3363](#), [3364](#).  
Khasekhemwy, king of Egypt  
[91](#).  
Khas Mahal, Indian palace  
[833](#).  
Khatami, Muhammed, Iranian leader  
[3828](#), [3829](#), [3829](#), [3830](#), [3830](#).  
Khattina  
[106](#).  
Khayan of Ya'diya, Sam'al  
[106](#).  
Khaybani, Musa, Iranian leader  
[3822](#).  
Khayr al-Din al-Tunisi, Tunisian leader  
[1390](#), [1390](#), [1390](#).  
Khayr al-Din Barbarossa, corsair  
[826](#), [826](#), [826](#), [826](#).  
Khazars  
[291](#), [430](#), [431](#), [439](#), [488](#), [488](#), [488](#).  
Khazraj  
[286](#).  
Khe Sanh  
[4270](#).  
Khedivial Geographical Society  
*See* [Egyptian Geographical Society](#).  
Khedivial Library  
*See* [Egyptian National Library, Cairo](#).  
Khevenhüller mission  
[1112](#).  
Khidar, Muhammad, Algerian leader  
[3925](#).  
Khilafat movement, India  
[2434](#), [2435](#), [2456](#).  
Khirbat Qumran  
[2647](#).  
Khirghiz Steppe  
[1258](#).



Khitans

[278](#), [279](#), [369](#), [371](#), [371](#), [371](#), [372](#), [372](#), [374](#), [375](#), [378](#), [379](#), [379](#), [379](#), [379](#), [379](#), [380](#), [382](#).

Khiva

[325](#), [817](#), [1259](#).

Khmelnitsky, Bogdan, Cossack leader

[776](#), [776](#), [776](#), [783](#).

Khmer peoples

[135](#), [136](#), [330](#), [340](#), [340](#), [340](#), [340](#), [342](#), [342](#), [849](#), [849](#), [849](#), [849](#).

Khmer Republic

[4085](#), [4086](#).

Khmer Rouge

[4086](#), [4086](#), [4086](#), [4087](#), [4088](#), [4088](#), [4089](#), [4090](#), [4090](#), [4091](#), [4091](#), [4272](#), [4275](#).

Khmun

[89](#).

Khoi

[890](#), [890](#), [890](#), [890](#), [891](#).

Khoikhoi people

[365](#), [365](#), [365](#), [365](#), [1550](#), [1551](#).

Khoisan

[890](#).

Khomeini, Ayatollah, Iranian leader

[2675](#), [2676](#), [2684](#), [2685](#), [3426](#), [3782](#), [3817](#), [3821](#), [3821](#), [3822](#), [3823](#), [3824](#), [3825](#),  
[3826](#), [3826](#), [3826](#).

Khorat Plateau

[64](#).

Khorezm

[374](#).

Khosroes II, Persian Sassanian king

[326](#).

Khost Rebellion, Afghanistan

[2347](#).

Khrushchev, Nikita, Russian leader

[2658](#), [2658](#), [2722](#), [2722](#), [2723](#), [2725](#), [2995](#), [2996](#), [2997](#), [2998](#), [3076](#), [3096](#), [3096](#),  
[3150](#), [3169](#), [3169](#), [3171](#), [3267](#), [3269](#), [3269](#), [3270](#), [3270](#), [3271](#), [3272](#), [3273](#), [3273](#),  
[3273](#), [3274](#), [3274](#), [3274](#), [3275](#), [3275](#), [3276](#), [3277](#), [3278](#), [3278](#), [3278](#), [3278](#), [3278](#),  
[3404](#), [3406](#), [3716](#), [3718](#), [3718](#), [3960](#), [4129](#), [4151](#), [4154](#), [4205](#); deposition, [3278](#).

Khshathrita of Media

[123](#).

Khubilai, Mongol and Chinese ruler

[281](#), [338](#), [374](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [395](#), [399](#).

Khufu, king of Egypt

91.  
Khumalo people  
1551.  
Khums  
1393, 1393.  
Khuramshahr  
3778.  
Khurasan  
288, 291, 292, 292, 292, 293, 294, 295, 296, 300, 300, 300, 301, 301, 303, 303, 306, 307, 308, 812, 813, 813, 816, 817, 818, 1349, 1349, 2335.  
Khurramiyya  
294.  
Khusrau I, king of Persia  
271, 273, 273, 274, 274, 274, 274, 274.  
Khusrau II  
275, 275, 275, 275, 275, 275, 275.  
Khusrawiyya, mosque in Aleppo  
794.  
Khusru I, Chosroes  
427, 428, 428.  
Khusru II, Persian Sassanian king  
428, 429.  
Khuzistan  
271, 2338.  
Khwarazm  
300, 302.  
Khwarazm-shahs, Khwarazmians  
302, 302, 303, 319.  
Khyber Pass  
1355.  
Kiakhta Treaty, fixed Sino-Russian frontier  
853.  
Kiangsi Province  
2628.  
Kiaochow  
1710.  
kibbutz  
1346.  
Kibira, Josiah M., bishop  
2674.  
Kiderlen-Wächter, Alfred von, German leader

1135, 1237.

Kiel

1130, 1781, 1971, 1971; treaty of, 765, 771, 773, 1031, 1075; Canal, 1784.

Kierkegaard, Søren, philosopher

1036, 1077, 1815.

Kiesinger, Kurt, German leader

2982, 3002, 3002, 3002, 3005, 3005, 3017.

Kiev

279, 281, 426, 438, 441, 486, 488, 783, 783, 784, 1774, 1817, 2067, 2067, 2593,  
2596, 3298, 3300.

Kigali, Rwanda

4420, 4420.

Kii, Tokugawa house of

861.

Kikuyu, Kenya

2567, 4320, 4320, 4408, 4417, 4417, 4417.

Kikuyu Central Association, KCA

1706, 2567, 2567.

Kildare, Thomas Fitzgerald, earl

519.

Kilia

315.

Kilidj Asrlan IV, sultan of Rum

502.

Kilimanjaro Native Planters Association

2567.

Kilkenny

519, 1164.

Killala

701.

Killiecrankie, battle of

679.

Kilwa

362, 362, 362, 364, 882, 889, 1528, 1547.

Kilwa Kivinje

1529.







Kimbangu, Simon, activist

2568, 2568.

Kimbanguist church, Belgian Congo

2568, 2568.

Kimberley

[1553](#), [1553](#).  
Kim Chae-gyu, Korean leader  
[4209](#).  
Kim Chong-p'il, Korean leader  
[4202](#), [4202](#), [4203](#).  
Kim Dae Jung, South Korean leader  
[2698](#), [2698](#).  
Kimera, ruler in Buganda  
[362](#).  
Kim Il-sng, Korean leader  
[4190](#), [4192](#), [4214](#), [4215](#), [4218](#).  
Kim Jng II, Korean leader  
[2698](#), [4215](#), [4218](#), [4222](#).  
Kim Ku, Korean leader  
[4196](#).  
Kim Kyu-sik, Korean leader  
[2489](#).  
Kimpasi cult  
[885](#).  
Kim Pu-sik, historian  
[377](#), [382](#).  
Kim Sng-il, Korean philosopher  
[856](#).  
Kim Sng-su, Korean leader  
[4189](#).  
Kim Tae-gn, Korean priest  
[1429](#).  
Kim T'ae-jun, writer  
[2493](#).  
Kim Tae-jung, Kim Dae Jung  
[4208](#), [4209](#), [4211](#), [4212](#), [4212](#), [4219](#), [4222](#).  
Kim Tong-in, writer  
[2491](#).  
Kim Yng-sam, Kim Young Sam  
[4209](#), [4209](#), [4212](#), [4216](#), [4217](#), [4217](#), [4219](#).  
Kinai, plain  
[163](#).  
Kinburn  
[789](#).

Kinda

[274](#).

Kinetoscope Parlor, New York City

[990](#).

King, president of Liberia

[2559](#).

King, James Lawrence, U.S. jurist

[3436](#).

King, Martin Luther, Jr., civil rights leader

[2661](#), [3390](#), [3407](#), [3411](#), [3411](#), [3411](#), [3415](#); assassination, [3415](#).

King, Philip, British colonial administrator

[1476](#), [1487](#).

King, Rodney, victim of police beating

[3428](#), [3429](#).

King, Samuel, U.S. leader

[2531](#).

King, Truby, New Zealand physician

[1505](#).

King, Williams Lyon Mackenzie, Canadian leader

[2223](#), [2224](#), [2224](#), [2231](#), [2231](#), [2232](#), [2234](#), [2599](#), [3444](#).

King-Crane Commission

[2386](#).

King David Hotel

[3854](#).

Kingdom of the Pacified South

[1417](#).

King Fu'ad University, Egypt

[1374](#).

King George's War

[939](#).

King Lists

[83](#), [84](#), [84](#), [84](#), [84](#), [85](#), [90](#), [102](#), [122](#).

King Philip's War

[933](#).

King's College, London

[1048](#), [1625](#).

King's Council, England

[446](#).

Kingsford-Smith, Charles, pilot

[2544](#).

King's Peace, between Persia and Greece

[200](#), [200](#).  
King's Son of Kush, viceroy of Nubia  
[93](#), [93](#), [98](#).  
Kingston  
[1625](#).  
Kingwa, Tanganyika  
[4408](#).  
King William's War  
[939](#).  
Kinjikitili, religious leader  
[1534](#).  
Kinki, plain  
[167](#), [167](#).  
Ki no Tsurayuki, writer  
[386](#).  
Kinshasa, Congo  
[4432](#), [4434](#), [4452](#), [4452](#).  
Kintu, Bantu leader  
[362](#).  
Kionga Triangle, German East Africa  
[1934](#).  
Kiosseivanov, George, Bulgarian leader  
[2167](#).  
Kiowa Indians  
[1589](#).  
Kipchak khanate, Golden Horde  
[374](#), [376](#).  
Kipling, Rudyard, writer  
[1839](#).  
Kiprianou, Spyros, Cypriot leader  
[3810](#).  
Kirakosyan, Arman, Armenian leader  
[3307](#).  
Kiraly, Zoltan, Hungarian leader  
[3158](#).  
Kircher, A., inventor  
[990](#).  
Kirchhoff, Gustav R., physicist  
[1151](#).  
Kirchner, Ernst Ludwig, artist  
[1146](#).

Kirghiz

[368](#).

Kirghizstan

[2076](#), [3300](#), [3303](#), [3304](#), [3339](#), [3339](#), [3343](#), [3344](#); sovereignty, [3302](#); Republic of Kirghizstan, [3339](#); earthquake, [3341](#).

Kiribati

[2697](#), [4284](#), [4287](#), [4287](#).

Kirin

[1720](#).

Kirina, battle of

[353](#).

Kirin Brewery

[2640](#).

Kiriyenko, Sergei, Russian leader

[3369](#), [3369](#).

Kirk, inventor

[986](#).

Kirk, John

[1529](#).

Kirk, Norman, New Zealand leader

[4316](#).

Kirkbride, Alec, British leader

[2398](#).

Kirk Kilissé, battle of

[1137](#).

Kirkuk

[2402](#).

Kirkuk oil fields

[3884](#).

Kirman

[816](#).

Kirov, Sergey, Russian leader

[2074](#).

Kisangani

[4411](#), [4425](#), [4431](#), [4431](#), [4452](#), [4453](#).

Kisan movement, India

[2435](#).

Kish

[84](#), [84](#), [84](#), [85](#).

Kishinev

[2597](#).

Kishi Nobusuke, Japanese leader  
[4150](#), [4232](#), [4233](#), [4233](#).

Kiska  
[2627](#).

Kisselev, Paul  
[1311](#).

Kissingen  
[1135](#).

Kissinger, Henry, U.S. diplomat  
[2671](#), [2673](#), [3775](#), [4160](#).

Kistna River  
[132](#), [132](#), [133](#), [133](#), [326](#), [337](#), [337](#).

KiszczaK, Polish leader  
[3109](#), [3110](#).

Kitabatake Chikafusa, Japanese leader  
[395](#), [396](#), [396](#).

Kitabatake clan  
[395](#).

Kita Ikki, scholar  
[2520](#).

Kitasato, Shibusaburo, bacteriologist  
[1153](#).

Kitawala movement  
[2567](#), [4432](#).

Kitayama  
[396](#).

Kitchener, Horatio Herbert  
[1123](#), [1374](#), [1498](#), [1524](#), [1526](#), [1526](#), [1558](#).

Kiten-Hutran, king of Elam  
[122](#).

Kition  
[110](#).

Kitty Hawk, North Carolina  
[990](#).

Kivu, Congo  
[2571](#).

Kiwewa, ruler of Buganda  
[1536](#).

Kiyochika, Kobayashi, artist  
[1471](#).

Kiyoka cult, Angola



[2568](#).  
Kiyomasa, Kat , Japanese commander  
[858](#).  
Kiyomori clan  
[387](#).  
Kiyotaka, Kuroda, Japanese leader  
[1430](#), [1454](#).  
Kiyoura Keigo, Japanese leader  
[2503](#), [2504](#).  
Kiyowara clan  
[387](#).  
Kizzuwatna, Cilicia  
[87](#), [111](#), [113](#), [113](#).  
Klagenfurt, Austria-Yugoslavian dispute over  
[1999](#).  
Klaip da, Memel  
[482](#).  
Klaipeda  
[550](#).  
Klasies River Caves, South Africa  
[24](#).  
Klaus, Josef, Austrian leader  
[3034](#), [3035](#), [3036](#), [3037](#), [3037](#).  
Klausener, Erich, German leader  
[1988](#).  
Klébelsberg, Kunó, Hungarian educator  
[2027](#).  
Klebér, Jean Baptiste, French soldier  
[1010](#).  
Kleinfontein  
[1559](#).  
Klestil, Thomas, Austrian leader  
[3038](#).  
Klima, Viktor, Austrian leader  
[3039](#).  
Kliment of Okhrid  
[440](#).  
Klipdrift  
[1553](#).  
Klokotnitsa, battle of  
[497](#), [509](#).

Kloster-Zeven, battle of  
[662](#).

Cluck, Alexander von, German commander  
[1738](#), [1789](#), [1789](#).

Knatchbull's Act, England  
[686](#).

Knesset  
[3857](#).

Knights' League  
[541](#).

Knights of Labor  
[1594](#), [1598](#), [1602](#), [1639](#).

Knights of Malta  
[507](#), [1018](#).

Knights of Rhodes  
[507](#).

Knights of St. John  
[314](#), [507](#), [826](#).

Knights of the Hospital of St. Mary of the Teutons  
*See* [Teutonic Knights](#).

Knights Templar  
[453](#), [453](#), [453](#), [460](#), [460](#), [470](#), [476](#), [507](#), [507](#), [1003](#).

Knights' War  
[614](#).



Knossos  
[66](#), [169](#), [169](#), [170](#), [171](#), [171](#).

Know-Nothing Party, U.S.  
[1582](#).

Knox, John, religious reformer  
[588](#), [615](#).

Knox, Philander C., U.S. official  
[1468](#), [1617](#).

Knudsen, William A., U.S. leader  
[2599](#).

K  b , Abe, writer  
[4246](#).

Koc, Adam, Polish political leader  
[2123](#), [2123](#).

Koch, Robert, scientist  
[1153](#).

Kochanowski, Jan, Polish poet

633.

Kocharyan, Robert, Armenian leader

3309, 3309, 3309, 3310.

Kch'ilbu, historian

377.

Kochubei, Victor G.

1256.

Koenig, Friedrich, developer of power-driven press

985.

Koerner, Theodore, Austrian leader

3030.

Koffka, Kurt, psychologist

1145.

Kofi Karikari, Asante leader

1516.

Kofun era

167, 167.

Kogalniceanu, Mikhail, Romanian leader

1314, 1315.

Kgisho, Japan

1448.

Kogugwn

161.

Kogury

160, 160, 160, 160, 160, 161, 161, 161, 161, 161, 161, 161, 161, 367, 377, 377, 377, 377,  
377, 377, 377, 377, 377, 378, 383, 384.

Kohanga Reo, New Zealand

4316.

Kohl, Helmut, German leader

2876, 2982, 3008, 3010, 3010, 3010, 3021, 3023, 3025, 3026, 3027, 3027.

Köhler, Wolfgang, psychologist

1145.

Koht, Halvdan, Norwegian leader

2047.

Kohng, historian

377.

Kin, Kido, Japanese leader

1448, 1449, 1450.

Koiso Kuniaki, Japanese leader

[2523](#), [2523](#).  
Koivista, Mauno, Finnish leader  
[3079](#).  
Kojong, king of Korea  
[1429](#), [1430](#), [1430](#), [1432](#), [1433](#), [1433](#), [1434](#), [1436](#), [2489](#).  
Kok, Adam, African leader  
[1551](#).  
Kok, Wim, Dutch leader  
[2833](#), [2833](#).  
Koka Dam, Sudan  
[4404](#).  
Kokand  
[1259](#).  
K<sup>!</sup>ken, empress of Japan  
[385](#), [385](#).  
K<sup>!</sup>ken, Japanese crown prince  
[383](#), [383](#), [383](#), [383](#).  
Kokoda Track  
[2550](#).  
Kokovtsev, Vladimir, Russian leader  
[1266](#).  
Kola Peninsula  
[993](#).  
Kolarov, Vassil, Bulgarian leader  
[3236](#), [3237](#).  
Kolberg  
[665](#).  
Kolchak, Aleksandr V., Russian counterrevolutionary  
[1784](#), [2067](#).  
Kold, Christian, Danish educator  
[1077](#).  
Kolelas, Bernard, Congolese leader  
[4448](#).  
Kolin, battle of  
[662](#).  
Kolingba, Andre, leader of Central African Republic  
[4334](#), [4334](#), [4334](#), [4335](#).  
Köln, Cologne  
[459](#), [1764](#), [2621](#).  
Kolokotronis, Theodoros, Greek leader  
[1274](#), [1274](#).

Kololo people

[1546](#), [1546](#).

Kolowrat, Franz Anton

[1073](#).

Kolstad, Peter, Norwegian leader

[2046](#), [2047](#).

Kolubara, battle of

[1792](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 41

Komagatu Maru, ship

[1640.](#)

Kmei, Japanese emperor

[1446.](#)

Kommenda

[875.](#)

Kmun Island

[1431, 1454.](#)

Konarak

[337.](#)

Konare, Alpha, Malian leader

[4362, 4362.](#)

Konarski, Stanislaw, Polish educator

[781.](#)

Konbaung dynasty

[846, 1402, 1403.](#)

Kondane

[129.](#)

Kondouriottis, Lazaros, Greek leader

[1274, 2150, 2151.](#)

Kondouriottis, Paul, Greek leader

[2148.](#)

Kondylis, George, Greek leader

[2150, 2154, 2154, 2154, 2154.](#)


Kong kingdom

[1511.](#)

Kong Le, Laotian leader

[4095, 4095.](#)

Kongmin, Korean king

[380](#), [380](#).  
Kongo, kingdom of  
[358](#), [363](#), [363](#), [363](#), [869](#), [869](#), [885](#), [885](#), [885](#), [885](#), [885](#), [885](#), [885](#), [885](#), [885](#), [885](#), [886](#), [886](#), [886](#),  
[887](#), [887](#), [887](#).  
Kong  buji, monastery  
[385](#).  
Kongsandang  
[2490](#).  
Konia, railroad line to  
[970](#).  
Koniev, Ivan S., Russian leader  
[2716](#), [2717](#), [3261](#).  
Königgrätz, battle of  
[1102](#).  
Königsberg  
[460](#), [550](#), [754](#), [777](#).  
Königshofen, battle of  
[614](#).  
Königsmark  
[624](#).  
Konkan River  
[334](#).  
Konoe Fumimaro, prince, Japanese leader  
[2517](#), [2519](#), [2520](#), [2521](#).  
Kontic, Radoje, Yugoslavian leader  
[3179](#), [3179](#).  
Kon-tiki  
[2647](#).  
Konya  
[301](#), [303](#), [305](#), [306](#), [795](#), [1331](#), [1752](#).  
Konya Plain  
[111](#), [112](#), [113](#).  
Koobi Fora  
[7](#), [19](#), [19](#), [19](#), [19](#).  
Kopavog  
[774](#).  
Kopelev, Lev, historian  
[3301](#).  
Kopolleh, William Gabriel, Liberian leader  
[4356](#).  
Kopp, Elisabeth, Swiss leader

2974.  
Koppam  
336.  
Köprülü, Fuat, Turkish leader  
3788.  
Koprulu dynasty  
803, 805.  
Koprulu Library, Istanbul  
803.  
Kopruluzade Fazil Ahmed Pasha, grand vezir  
803, 804.  
Kopruluzade Fazil Mustafa Pasha, grand vezir  
804.  
Kora  
890.  
Koraltan, Refik, Turkish leader  
3788.  
Körber, Ernst von, Austrian leader  
1242, 1996.  
Korchnoi, Viktor, chess player  
3301.  
Kordofan  
1366.  
Korea  
153, 155, 160, 160, 160, 160, 160, 160, 160, 160, 160, 161, 162, 163, 163, 164, 166,  
167, 167, 167, 167, 167, 167, 167, 167, 279, 281, 367, 368, 370, 375, 377, 377, 377, 377,  
377, 378, 378, 378, 378, 378, 378, 379, 380, 380, 381, 382, 382, 383, 383, 384, 390, 395,  
395, 397, 576, 850, 851, 855, 855, 855, 856, 856, 856, 856, 856, 856, 856, 856, 861, 955,  
965, 967, 969, 969, 971, 972, 973, 975, 1262, 1419, 1419, 1420, 1421, 1429, 1429,  
1429, 1429, 1429, 1429, 1429, 1429, 1429, 1430, 1430, 1430, 1430, 1431, 1431,  
1431, 1432, 1432, 1432, 1433, 1433, 1434, 1435, 1436, 1436, 1436, 1436, 1436,  
1436, 1436, 1436, 1436, 1456, 1456, 1457, 1458, 1459, 1462, 1463, 1467, 1469,  
1471, 1473, 1706, 2480, 2488, 2488, 2490, 2491, 2492, 2500, 2503, 2524, 2632,  
2636, 2637, 2643, 2644, 2645, 3445, 4189, 4189, 4190, 4190, 4191, 4191, 4194,  
4194, 4194, 4195, 4195, 4195, 4195, 4195, 4195, 4196, 4196, 4196, 4197, 4197, 4198,  
4198, 4198, 4198, 4198, 4198, 4198, 4198, 4199, 4200, 4201, 4203, 4256, 4279;  
postclassical society, 382; and China, 855, 2472, 4194, 4194, 4195, 4195, 4195, 4195,  
4195, 4195, 4195, 4196, 4196, 4197, 4197, 4198, 4199, 4199, 4201, 4205, 4216;  
invasion by Japan, 855, 856, 856, 857, 858, 858; relations with Japan, 856, 1450,  
1451, 1453, 1454, 1458, 1462, 1463, 1465, 2459, 2488, 2488, 2488, 2488,  
2488, 2488, 2488, 2488, 2489, 2489, 2489, 2489, 2489, 2490, 2490, 2490, 2490,



[2490](#), [2491](#), [2491](#), [2491](#), [2491](#), [2492](#), [2492](#), [2493](#), [2493](#), [2493](#), [2493](#), [2493](#), [2493](#), [2493](#), [2493](#), [2493](#), [2499](#), [4189](#), [4189](#), [4204](#), [4204](#), [4212](#), [4236](#); and U.S., [1430](#), [2493](#), [4189](#), [4190](#), [4190](#), [4192](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#), [4197](#), [4198](#), [4198](#), [4199](#), [4199](#), [4203](#), [4203](#), [4205](#), [4205](#), [4205](#), [4206](#), [4207](#), [4208](#), [4209](#), [4209](#), [4211](#), [4212](#), [4216](#), [4216](#), [4217](#), [4217](#), [4218](#), [4218](#), [4218](#), [4221](#); coup d'état of 1884, [1431](#); annexation by Japan, [1436](#), [1436](#), [1467](#), [1468](#); Provisional Government, [2489](#); student unrest, [2493](#); economy, [2493](#); WWII, [2493](#), [2493](#), [2493](#); and Russia, [2493](#), [4189](#), [4190](#), [4195](#), [4198](#), [4205](#), [4214](#), [4222](#); 38th parallel, [2493](#), [4193](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#); WWII settlement, [2634](#); Korean People's Republic (KPR), [4189](#), [4189](#), [4189](#); division, [4189](#); Representative Democratic Council, [4190](#); Republic of Korea (ROK), [4192](#), [4192](#); Democratic People's Republic of Korea (DPRK), [4192](#); and India, [4198](#); reunification, [4213](#), [4214](#), [4214](#), [4215](#), [4215](#), [4215](#), [4218](#), [4219](#), [4222](#), [4222](#), [4222](#). *See* [Korean War](#); [North Korea](#); [South Korea](#).

Korean-American Treaty of Amity and Commerce  
[1430](#).

Korean Democratic Party  
[4189](#).

Korean Independence Army  
[2490](#).

Korean Language Research Society  
[2488](#).

Korean National Association  
[2488](#), [2489](#).

Korean peace conference  
[4198](#).

Korean Peninsula  
[377](#), [377](#), [377](#), [383](#).

Korean production movement  
[2491](#).

Korean War  
[2637](#), [2650](#), [2651](#), [2652](#), [2709](#), [2763](#), [2766](#), [3167](#), [3390](#), [3394](#), [3394](#), [3394](#), [3394](#), [3395](#), [3445](#), [3790](#), [3791](#), [3990](#), [4065](#), [4145](#), [4146](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4196](#), [4196](#), [4196](#), [4196](#), [4197](#), [4197](#), [4197](#), [4197](#), [4197](#), [4198](#), [4198](#), [4198](#), [4198](#), [4199](#), [4199](#), [4199](#), [4200](#), [4200](#), [4201](#), [4214](#), [4225](#), [4255](#), [4299](#), [4315](#); armistice, [4196](#), [4196](#), [4197](#), [4197](#), [4198](#), [4198](#), [4198](#), [4198](#), [4198](#), [4199](#), [4199](#), [4200](#); end, [4215](#).

Korean Young Independence Corps  
[2489](#).

Korean Youth League  
[2490](#).

Korematsu v. U.S., U.S. Supreme Court decision  
[2210](#).

Korfanty, Adalbert, Polish leader  
[1817](#), [2116](#).

Kormisosh, Bulgarian ruler  
[439](#), [439](#).

Korneuburg Oath  
[2004](#).

Kornilov, Lavr, Russian commander  
[1756](#), [1756](#), [2064](#), [2064](#), [2064](#), [2066](#), [2067](#).


Koromah, Johnny Paul, Sierra Leone leader  
[2694](#), [4326](#), [4383](#), [4383](#), [4383](#), [4384](#).



Kororareka  
[1502](#).

Korror Island, Palau group  
[2530](#).

Korsakov, Alexander M., Russian commander  
[1011](#).

Korvald, Lars, Norwegian leader  
[3057](#), [3058](#).


Kory , Korean aristocracy  
[379](#), [379](#), [379](#), [379](#), [379](#), [380](#), [380](#), [380](#), [380](#), [380](#), [380](#), [380](#), [380](#), [381](#), [382](#), [382](#), [382](#), [382](#), [382](#),  
[382](#), [855](#), [855](#), [855](#).

K saka Zentar , Japanese leader  
[4234](#).

Kosala  
[129](#).

Kosambi  
[129](#).

Kosciuszko, Thaddeus, Polish leader  
[782](#).

Kösed g, battle of  
[510](#).

Köse Dagh, battle of  
[303](#).

Kosem Sultan, wife of Ahmed I  
[802](#).

Koskotas affair  
[3226](#).

Kosovo

[1326](#), [1348](#), [2754](#), [2756](#), [2757](#), [2802](#), [2885](#), [2951](#), [3026](#), [3163](#), [3174](#), [3175](#), [3178](#), [3180](#), [3180](#), [3181](#), [3181](#), [3181](#), [3182](#), [3182](#), [3197](#), [3206](#), [3232](#), [3370](#); and Albania, [2142](#); independence, [3176](#); sovereignty, [3177](#).

Kosovo Force, KFOR

[2756](#).

Kosovo Liberation Army

[3180](#).

Kosrae, Micronesia

[4284](#).

Kossuth, Louis (or Lajos), Hungarian leader

[1074](#), [1087](#), [1087](#), [1087](#), [1088](#), [1088](#), [1089](#), [1099](#), [1246](#).

Kostolac

[428](#).

Kostov, Traicho, Bulgarian leader

[3236](#), [3237](#).

Kostunica, Vojislav, Serbian leader

[2757](#), [3182](#), [3182](#).

Kosurim, Korean king

[161](#).

Kosygin, Aleksei N., Russian leader

[2668](#), [2728](#), [2778](#), [3278](#), [3279](#), [3283](#), [3290](#), [3967](#), [3968](#), [4158](#), [4266](#), [4269](#).

Koszyce, charter of

[555](#).

Kotahitanga, Maori parliament

[1504](#).

Kot Diji

[48](#).

Kotzebue, August von, writer

[1071](#).

Kountche, Seyni, Niger leader

[4365](#), [4365](#), [4365](#), [4365](#).

Kouyou

[4446](#).

Kovac, Michal, Slovakian leader

[3137](#), [3137](#), [3138](#).

Kovács, Béla, Hungarian leader

[3142](#).

Kovács, Imre, scholar

[2029](#).

Kovel, objective of Brusilov offensive

[1756](#), [1802](#).

Kovno  
[1794](#), [2086](#).

Kowloon  
[1423](#).

Koxinga  
*See* [Zheng Chenggong](#), Taiwanese leader.

Kozlov, Frol R., Russian official  
[3272](#).

Kraag, Johan, Surinamese leader  
[3634](#).

Kraft durch Freude, Nazi Germany  
[1986](#).

Krag, Jens Otto, Danish leader  
[2725](#), [3047](#), [3047](#), [3047](#).

Kragujevac  
[1284](#).

Krajina  
[3186](#).

Kraków  
[483](#), [483](#), [484](#), [486](#), [486](#), [487](#), [555](#), [555](#), [555](#), [667](#), [667](#), [776](#), [2110](#), [2113](#), [2118](#), [2125](#),  
[2126](#), [2621](#), [2675](#), [2960](#). *See* [Cracow](#).

Krasicki, Ignatius, Polish writer  
[782](#).

Krasinski, Zygmunt, writer  
[1267](#).

Krasnov, Peter, hetman of the Don Cossacks  
[2067](#).

Krasts, Guntar, Latvian leader  
[3350](#).

Krat  
[1407](#), [1407](#).

Kravchuk, Leonid, Ukrainian leader  
[3381](#), [3382](#), [3383](#).

Kreisky, Bruno, Austrian leader  
[3034](#), [3037](#), [3037](#).

Kreisordnung, Germany  
[1235](#).

Kremlin, Moscow  
[558](#).

Kremsier  
[1090](#).

Krenz, Egon, German leader  
[3020](#).

Kreuger, Ivar, Swedish financier  
[2049](#).

Kriangsak Chomanand, Thai leader  
[4070](#), [4071](#).

Krishnaraja I, ruler of India  
[327](#).

Krishna River  
[326](#).

Kristallnacht  
[1986](#).

Kristensen, Knud, Danish leader  
[3041](#).

Kristopanis, Vilis, Latvian leader  
[3350](#), [3350](#).

Krofta, Kamil, Czech historian and leader  
[2018](#).

Krog, Gina, Norwegian reformer  
[1248](#).

Kronstadt  
[1806](#), [1806](#), [2065](#), [2068](#).

Kropotkin, Peter  
[1143](#).

Kroya  
[312](#).

Kruger, Paul, South African leader  
[1121](#), [1555](#), [1555](#), [1558](#).

Kruger Telegram  
[1121](#).

Krum, Bulgarian ruler  
[433](#), [433](#), [433](#), [440](#), [440](#).





Krupp, Alfred, German industrialist  
[1071](#), [2991](#).

Krupp family, armament manufacturers  
[985](#), [1142](#).

Krupp Industrial Works  
[2991](#).

Krustev, Krustiu, literary editor  
[1304](#).

Krzaklewski, Marian, Polish leader

[3113](#).  
Kshatriyas  
[830](#).  
Kshitigarbha  
[130](#).  
Kuala Lumpur  
[4111](#).  
Kuban  
[1334](#).  
Kubitschek, Juscelino, Brazilian leader  
[3611](#), [3611](#).  
Kubrat, Kurt  
[429](#).  
Kubrawiyya, Sufi order  
[306](#).  
Kuchma, Leonid D., Ukrainian leader  
[3382](#), [3383](#), [3385](#), [3385](#), [3385](#).  
Kuchuk Alio  lu chiefs  
[1328](#).  
Kuchuk Kainarji, treaty of  
[789](#), [808](#), [1311](#).  
Küçük, Fazıl, Cypriot leader  
[3808](#).  
Kufa  
[287](#), [289](#), [289](#), [289](#), [290](#), [291](#), [291](#), [292](#), [296](#), [300](#).  
Kühlmann, Richard von, German leader  
[1772](#), [1773](#).  
Kuhn, Gottlieb Jakob, Swiss writer  
[751](#).  
Kuibyshev  
[2593](#).  
Kujula Kadphises of Bactria  
[130](#).  
K  kai, K  b  Daishi  
[385](#).  
Ku Klux Klan  
[1563](#), [1592](#), [2187](#), [3411](#); Canada, [2217](#), [2226](#).  
Kukulcán, cult of  
[570](#).  
Kulikovo, battle of  
[558](#).

Kulin, ruler of Bosnia

494.

Kulm

458, 460, 550, 1030.

Kulmerland

460.

Kulpa River

798.

Kulthum, Umm, singer

3911.

Kulturkampf, Germany

1235.

Kulturkampf, Prussia

1104.

Kumanovo, battle of

1137.

Kumaragupta I, Indian king

130.

Kumarajiva, Chinese Buddhist translator

158.

Kumaralabdha, Hindu philosopher

131.

Kumaralata, Indian author

130.

Kumarapala, ruler of India

331, 331.

Kumarasambhava

131.

Kumaratunga, Chandrika Bandaranaike, Sri Lankan leader

4038, 4039, 4039, 4039.

Kumasi, Ghana

1516, 2559, 4324.

Kumaun Division

1394.

Kumba Yala, Guinea-Bissau leader

4352.

Kumbi-Saleh

344, 344, 351.

Kumchangri

4221.

Kun, Béla, Hungarian leader

[1703](#), [1787](#), [2023](#), [2023](#).

 n Ch'ogo, Korean king

[161](#).

Kunersdorf, battle of

[664](#).

Kunigunde, saint

[417](#).

Kunming

[2480](#).

Kuntala

[133](#).

Kunuhoe, Korea

[2493](#).

Kupres

[3185](#).

Kural

[133](#).

Kura River

[116](#).

Kurbski, Andrei

[629](#).

Kurdish Democratic Party, KDP

[3881](#).

Kurdish Mountains

[794](#).

Kurdish Republic of Mahabad

[3814](#).

Kurdistan

[116](#), [807](#), [2335](#), [2400](#), [3814](#), [3881](#), [3884](#); and Ottoman Empire, [1331](#).

Kurdistan Workers Party, PKK

[3785](#), [3804](#), [3804](#), [3805](#), [3885](#).

Kurds

[300](#), [799](#), [815](#), [965](#), [1331](#), [1346](#), [2327](#), [2341](#), [2377](#), [2399](#), [2400](#), [2403](#), [2404](#), [2636](#), [2644](#), [3435](#), [3768](#), [3775](#), [3783](#), [3785](#), [3789](#), [3795](#), [3801](#), [3803](#), [3804](#), [3805](#), [3814](#), [3843](#), [3881](#), [3884](#), [3884](#), [3885](#), [3886](#).

Kuria Muria Islands

[1360](#).

Kurigalzu I, king of Babylonia

[86](#), [122](#).

Kuril (or Kurile) Islands

[1260](#), [1451](#), [2634](#), [2645](#), [4226](#), [4231](#), [4231](#), [4244](#).



Kurkuas, John, Byzantine general  
[436](#).

Kurosawa, Akira, film director  
[1707](#), [2650](#), [4246](#).

Kursk  
[2595](#), [2596](#), [2757](#), [3371](#).

Kurt, Kubrat  
[439](#), [439](#).

Kurus  
[129](#).

Kurusu Saburo, Japanese diplomat  
[2625](#), [2625](#).

Kush  
[43](#), [95](#), [96](#), [97](#), [98](#), [98](#), [98](#), [98](#), [99](#), [99](#), [124](#), [272](#), [346](#).

Kusha Buddhism  
[385](#).

Kushana dynasty  
[73](#), [74](#), [130](#), [130](#), [130](#).

Kussara  
[113](#).

Kussel, Gottfried, neo-Nazi  
[3038](#).

Küstendil  
[562](#).

Kusunoki Masashige, Japanese leader  
[395](#), [396](#).

Kut  
[1750](#).

Kutahya  
[305](#), [1331](#).

Kutama Berbers  
[297](#).

Kutbar, Burma  
[4058](#).

Kutb Minar  
[331](#).

Kutb-ud-din Aibak, viceroy in India  
[331](#).

Kutik-Inshushinak, king of Elam  
[122](#).

Kutur-Nahhunte I, king of Elam

[122](#), [122](#).

Kutuzov, Mikhail I., Russian marshal

[1029](#), [1029](#).

Kutzo-Vlachs

[1318](#).

Kuwait

[271](#), [820](#), [820](#), [820](#), [821](#), [970](#), [1358](#), [1361](#), [1362](#), [1362](#), [1362](#), [1362](#), [1362](#), [1364](#), [2409](#), [2410](#), [2636](#), [2638](#), [2638](#), [2643](#), [2686](#), [2687](#), [3772](#), [3776](#), [3780](#), [3782](#), [3782](#), [3783](#), [3875](#), [3885](#), [3896](#), [3896](#), [3896](#), [3898](#), [3898](#), [3898](#), [3899](#), [3899](#), [4118](#); and Great Britain, [2408](#), [3896](#); and U.S., [3428](#), [3432](#); makeup, [3896](#); invasion by Iraq, [3899](#).

Kuwaiti Fund for Arab Economic Development

[3771](#).

Kuwait Petroleum Corp

[3900](#).

K  ya, monk

[386](#).

Kuzbass

[3297](#).

Kuznetsk

[2072](#).

Kuznetsov, Russian leader

[3129](#).

Kviesis, Albert, Latvian leader

[2100](#), [2101](#).

Kwajalein

[2630](#).

Kwakiutl Indians

[3](#).

Kwanggaet'o, Korean king

[161](#), [161](#).

Kwanghaegun, king of Korea

[856](#).

Kwangjong, Korean king

[379](#), [379](#).

Kwangju

[161](#), [4210](#), [4211](#).

Kwangju student movement, Korea

[2493](#).

Kwango River

[887](#).

Kwasniewski, Aleksander

[3117](#), [3119](#).

KwaZulu

[4477](#).

Kyakhta, Mongolia

[2487](#).

Kyanzittha, ruler of Burma

[341](#).

Kymi River

[766](#).

kymograph

[1044](#).

Kyokuk, Burma

[4058](#).

Ky<sup>!</sup>ngbok Palace, Korea

[1432](#).

Ky<sup>!</sup>ngju

[377](#), [378](#), [378](#).

Kyongsang Province

[4195](#).

Ky<sup>!</sup>ng-s<sup>!</sup>k, Korean scholar

[1429](#).

Kyoto

[163](#), [385](#), [385](#), [386](#), [387](#), [388](#), [389](#), [391](#), [394](#), [394](#), [395](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [396](#), [857](#), [857](#), [861](#), [862](#), [1439](#), [1440](#), [1442](#), [1443](#), [1443](#), [1443](#), [1444](#), [1447](#), [1447](#), [2693](#).

Kyoto Protocol

[2695](#), [2699](#), [2756](#), [2757](#), [3477](#), [3505](#), [4472](#), [4489](#).

Ky<sup>!</sup>sh<sup>!</sup>

[163](#), [166](#), [167](#), [167](#), [167](#), [167](#), [167](#), [395](#), [395](#), [857](#), [858](#), [860](#), [1441](#), [2485](#), [2630](#).

## L

Laar, Mart, Estonian leader

[3324](#).

Laba River

[567](#).

Labarnas I, king of Hatti

[113](#).

La Bassée

[1738](#).

Labastida Ochoa, Francisco

[3712](#), [3713](#).

Labonne, Erik, French leader

[3919](#).

labor

[1372](#), [1816](#), [1839](#), [1839](#), [1841](#), [1844](#), [1882](#), [1917](#), [1956](#), [2187](#), [2203](#), [2273](#), [2297](#), [2691](#), [2697](#), [2822](#), [3569](#); England, [513](#); 1500–1800, [584](#); France, [1015](#), [1061](#), [1061](#), [1061](#), [1081](#), [1081](#), [1081](#), [1081](#), [1081](#), [1081](#), [1081](#), [1081](#), [1178](#), [1179](#), [1182](#), [1183](#), [1191](#), [1195](#), [1195](#), [1198](#), [1901](#), [1906](#), [2859](#), [2873](#); 1800–1914, [1034](#), [1034](#), [1034](#), [1037](#), [1037](#), [1142](#), [1142](#), [1142](#), [1142](#), [1143](#), [1146](#); Great Britain, [1046](#), [1047](#), [1049](#), [1155](#), [1155](#), [1160](#), [1161](#), [1162](#), [1162](#), [1162](#), [1852](#), [2759](#), [2788](#), [2790](#), [2793](#), [2796](#); Belgium, [1053](#), [1882](#); Spain, [1062](#), [1204](#), [2710](#), [2894](#), [2897](#), [2903](#); Italy, [1066](#), [1219](#), [1220](#), [1223](#), [1223](#), [1223](#), [1225](#), [1943](#), [1948](#), [2939](#), [2944](#); Switzerland, [1070](#), [1226](#), [1229](#), [1963](#), [1963](#), [1967](#), [1968](#), [1969](#); Germany, [1071](#), [1096](#), [1096](#), [1097](#), [1231](#), [1231](#), [1234](#), [1235](#), [1236](#), [1237](#), [1986](#), [3024](#), [3024](#); Austria, [1089](#), [1090](#), [1090](#), [1242](#); Portugal, [1209](#), [2919](#), [2920](#); and papal encyclical, [1220](#); Hungary, [1246](#); Scandinavia, [1247](#), [1247](#), [1247](#), [1248](#), [1250](#); Finland, [1255](#); Russia, [1261](#), [1262](#), [1263](#), [1263](#), [1263](#), [2066](#); Poland, [1269](#), [2677](#), [3096](#), [3100](#), [3102](#), [3102](#), [3102](#), [3104](#), [3105](#), [3106](#), [3109](#), [3113](#); Bulgaria, [1306](#); Romania, [1318](#), [2183](#), [3254](#), [3258](#); Egypt, [1372](#), [1372](#), [2364](#), [2368](#), [3909](#), [3910](#); India, [1397](#); the Pacific Islands, [1477](#), [1477](#); Hawaii, [1478](#); Australia, [1494](#), [1494](#), [1495](#), [1495](#), [1497](#), [1497](#), [1498](#), [2537](#), [2540](#); New Zealand, [1504](#), [1504](#), [1505](#), [2551](#), [2551](#), [2552](#), [4315](#); Africa, [1506](#), [1539](#), [1542](#), [1543](#), [1543](#), [1548](#), [1551](#), [1552](#), [1553](#), [1553](#), [1558](#), [1558](#), [1559](#), [1559](#), [2554](#), [2554](#), [2556](#), [2559](#), [2560](#), [2565](#), [2570](#), [4323](#); U.S., [1563](#), [1572](#), [1575](#), [1578](#), [1589](#), [1592](#), [1594](#), [1594](#), [1597](#), [1598](#), [1600](#), [1601](#), [1602](#), [1603](#), [1605](#), [1605](#), [1605](#), [1608](#), [1609](#), [1612](#), [1613](#), [1613](#), [1615](#), [1616](#), [1618](#), [1618](#), [1619](#), [1620](#), [1620](#), [1621](#), [2187](#), [2188](#), [2189](#), [2189](#), [2193](#), [2200](#), [2201](#), [2207](#), [2210](#), [2212](#), [3390](#), [3390](#), [3391](#), [3392](#), [3400](#), [3401](#), [3404](#), [3411](#), [3427](#), [3435](#); and workmen's compensation, [1612](#); Canada, [1625](#), [1630](#), [1639](#), [2217](#), [2231](#), [2232](#), [2232](#), [3446](#), [3459](#); Latin America, [1657](#), [1657](#), [1660](#), [1662](#), [1663](#), [1664](#), [1667](#), [1670](#), [1671](#), [1671](#), [1674](#), [1677](#), [1678](#), [1679](#), [1685](#); between Wars, [1814](#); child, [1839](#), [1998](#); demonstrations, [1841](#); first comprehensive wages agreement, [1851](#); Ireland, [1880](#); Netherlands, [1894](#), [1895](#), [1895](#); Norway, [2044](#); Argentina, [2242](#), [3484](#), [3486](#), [3488](#), [3494](#), [3499](#), [3501](#); Chile, [2245](#); Bolivia, [2255](#); Brazil, [2273](#), [2273](#), [3610](#), [3622](#); Central America, [2274](#); Guatemala, [2279](#), [3654](#); Mexico, [2293](#), [2294](#), [2297](#), [2299](#), [3703](#), [3710](#); Cuba, [2302](#); Puerto Rico, [2308](#); Turkey, [2330](#), [3789](#); Syria, [2375](#), [2375](#); Jews, [2386](#); China, [2465](#), [2467](#), [2469](#); Japan, [2504](#), [2509](#), [2509](#); postwar Europe, [2700](#); unemployment, [2752](#); EC, [2734](#); Luxembourg, [2836](#); Roman Catholic Church, [2955](#), [2961](#); West Germany, [2989](#), [3008](#), [3009](#); Denmark, [3048](#), [3048](#); Sweden, [3062](#); Albania, [3202](#); Kazakhstan, [3333](#); Panama, [3642](#); El Salvador, [3662](#), [3664](#); Nicaragua, [3683](#); South Yemen, [3891](#); Morocco, [3919](#); Tunisia, [3940](#); Korea, [4207](#); Nigeria, [4370](#); Rhodesia, [4455](#); South Africa, [4477](#), [4480](#). *See* [New Deal](#); [insurance](#); [labor movements](#); [strikes](#); [social](#)

[reforms](#).

Laborde, Jean, French colonial administrator  
[1562](#).

Labor Defense Militia, Belgium  
[1888](#).

Labor Disputes Joint Resolution, U.S.  
[2203](#).

Labor-Management Reporting and Disclosure Act, U.S.  
[3404](#).

labor movements  
[959](#), [959](#), [1161](#); 1800–1914, [1026](#), [1142](#); Great Britain, [1047](#), [1047](#), [1048](#), [1048](#), [1049](#), [1049](#), [1049](#), [1155](#), [1155](#); Wales, [1049](#); France, [1061](#), [1081](#), [1081](#); Spain, [1062](#); Portugal, [1207](#), [1207](#); Italy, [1223](#); Germany, [1231](#); Scandinavia, [1247](#).

Labor Party, Argentina  
[3480](#).

Labor Party, Israel  
[3859](#).

Labor Party, Jamaica  
[3757](#).

Labor Party, Norway  
[1248](#).

Labor Party, Switzerland  
[2970](#).

Labor Relations Act, Italy  
[2939](#).

Labour Party, Australia  
[1497](#), [1497](#), [1497](#), [1498](#), [1498](#), [1499](#), [1499](#), [1558](#), [2537](#), [2544](#), [2545](#), [2546](#).

Labour Party, Great Britain  
[1162](#), [1162](#), [1703](#), [1839](#), [1839](#), [1839](#), [1841](#), [1841](#), [1842](#), [1846](#), [1846](#), [1847](#), [1849](#), [2634](#), [2758](#), [2758](#), [2794](#).

Labour Party, Ireland  
[1872](#), [1880](#).

Labour Party, New Zealand  
[2551](#), [2551](#), [2551](#), [2553](#), [4314](#).

Labour Party, South Africa  
[2578](#).

Labour-Progressive Party, Canada  
[3443](#).

Labour Representation Committee, England  
[1162](#), [1162](#).

Labrador

[33](#), [571](#), [571](#), [920](#), [923](#), [1625](#).  
Labuan Island  
[1412](#).  
Labyrinth, Egypt  
[92](#).  
Lacalle, Luis Alberto, Uruguayan leader  
[3534](#), [3534](#).  
Lacedaemon  
[168](#), [174](#).  
Lacerda, Francisco de, Portuguese explorer  
[1507](#).  
La Chaise, François d'Aix de, in Popish Plot  
[676](#).  
Lachine Canal  
[1625](#).  
La Chine Rapids  
[920](#), [920](#).  
Lachlan River  
[1488](#).  
Lac Lords, Keepers of the Drums  
[51](#).  
Laconia  
[168](#), [176](#), [178](#), [196](#), [197](#), [211](#).  
La Convención valley  
[3552](#).  
Lacoste, Pierre, French leader  
[2874](#).  
Lactatius, Christian scholar  
[268](#).  
Ladakh  
[3962](#).  
Ladd, William, U.S. pacifist  
[1574](#).  
Ladies' Land League, Ireland  
[1169](#).  
Ladislas, king of Naples  
[531](#), [533](#), [533](#).  
Ladislas I, king of Hungary  
[492](#).  
Ladislas II, king of Hungary and Bohemia  
[494](#), [556](#), [634](#), [634](#), [635](#), [635](#).

Ladislav III, king of Hungary

[493](#).

Ladislav IV, king of Hungary

[493](#).

Ladislav V Posthumus, king of Hungary and Bohemia

[542](#), [542](#), [544](#), [544](#), [544](#), [561](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 42

Ladislás of Transylvania

[560](#).

Ladrones

*See* [Mariana Islands \(Ladrones\)](#).

Lae

[2629](#).

Laenas, Caius Popilius, Roman ambassador

[233](#).

Laënnec, René, inventor

[1042](#).

Lafayette, marquis de, Marie Joseph, French leader and officer

[949](#), [951](#), [1001](#), [1001](#), [1001](#), [1071](#).

La Follette, Robert M., U.S. leader

[1618](#), [2194](#).

Lafontaine, Oskar, German leader

[3026](#).

La Francophonie

[2683](#).

Lagash

[84](#), [84](#), [122](#).

Lagid dynasty

[218](#).

Lagos

[654](#), [1515](#), [1515](#), [1516](#), [1516](#), [1517](#), [1520](#), [1521](#), [1521](#), [2559](#), [2559](#), [2559](#), [2915](#), [4325](#),  
[4368](#).

Lagos Escobar, Ricardo, Chilean leader

[3521](#), [3521](#), [3521](#).

La Goulette

[828](#), [1390](#).

Lagrange, Joseph-Louis, French astronomer



[131](#).  
Lagting, Norway  
[1075](#).  
la Guardia, Ernesto de, Panamanian leader  
[3638](#).  
La Guma, Alex, writer  
[4320](#).  
Lagus, father of Ptolemy I  
[218](#).  
La Harpe, Frédéric-César de, leader of the Helvetic Committee  
[750](#).  
Lahaut, Julien, Belgian leader  
[2820](#).  
La Hogue  
[653](#).  
Lahore  
[325](#), [819](#), [830](#), [2671](#), [3966](#), [4006](#), [4006](#).  
Lahoud, Emile, Lebanese leader  
[3853](#), [3853](#).  
Laibach, congress of  
[1045](#).  
Laidoner, John, Estonian leader  
[2106](#), [2109](#).  
Laing, Alexander G., explorer  
[1507](#).  
Laing's Nek, battle of  
[1555](#).  
Laino, Domingo, Paraguayan leader  
[3523](#).  
laissez-faire  
[1045](#), [1097](#), [1199](#).  
Lakanal, Joseph, French leader  
[1005](#).  
LAKAS Party, Philippines  
[4294](#).  
Lake Albert  
[1509](#).  
Lake Albert Edward  
[1119](#).  
Lake Albert Nyanza  
[1508](#).

Lake Baikal  
[26](#), [26](#), [28](#).

Lake Biwa  
[857](#).

Lake Chad  
[343](#), [344](#), [352](#), [360](#), [1507](#), [1508](#), [1511](#).

Lake Champlain  
[947](#), [948](#), [1623](#), [1625](#).

Lake Constance  
[546](#).

Lake Copais  
[171](#).

Lake Erie  
[922](#), [940](#), [1580](#), [1623](#), [1625](#).

Lake Huron  
[922](#), [1583](#).

Lake Lucerne  
[546](#).

Lake Malawi  
[888](#), [1529](#).

Lake Michigan  
[921](#).

Lake Moeris  
[89](#).

Lake Mweru  
[1507](#).

Lake Naroche, battle of  
[1802](#).

Lake Ngami  
[1507](#), [1508](#).

Lake Nicaragua  
[895](#).

Lake Nipissing  
[921](#).

Lake Nyasa  
[1508](#), [1509](#), [1768](#).

Lake Nyos, Cameroon  
[4332](#).

Lake of the Woods  
[1574](#), [1623](#), [1625](#).

Lake Okhrid

1806.  
Lake Ontario  
1625, 1625.  
Lake Peipus, battle of  
490.  
Lake Presba, battle of  
1808.  
Lake Sevan  
116.  
Lake Superior  
921, 921, 1583.  
Lake Tanganyika  
1119, 1508, 1509, 1509, 1509, 1529, 1529, 1534, 1768.  
Lake Titicaca  
59, 898.  
Lake Torrens  
1489.  
Lake Trasimene  
231.  
Lake Urmia  
87, 116.  
Lake Vadimon  
227.  
Lake Van  
87, 87, 116, 118, 301, 307, 500, 2327.  
Lake Victoria  
347, 362, 1506, 1537.  
Lake Winnipeg  
1623.  
Lakhmids  
286.  
Laksamana, Malay family  
837, 837.  
Lakshmanasena, patron of Jayadeva  
324.  
Lal, Devi, Indian leader  
3982.  
Lal, Sundar  
2432.  
Lala Lajput Rai, Indian leader  
1398.

La Liga Filipina  
[1481](#).

La Linea  
[2777](#), [2922](#).

Lalitavistara  
[130](#).

Lamachus, Athenian general  
[197](#).

Lamaist Buddhism  
[375](#).

Lamarck, Jean-Baptiste, scientist  
[1042](#).

Lamartine, Alphonse de, French poet and leader  
[1037](#), [1081](#), [1081](#), [1092](#).

Lamas, Carlos Saavedra, Argentine leader  
[2242](#).

La Matanza, El Salvador  
[2281](#).

Lamb, Charles, English essayist  
[600](#).

Lambaesis  
[253](#).

Lamba people  
[1539](#).

Lambarène  
[1545](#).

Lamberg, count, military leader  
[1087](#).

Lambert, king of Italy  
[409](#), [409](#).

Lambertini, Prospero  
*See* [Benedict XIV, pope](#).

Lambing Flat  
[1493](#).

Lambros, Spyridon, Greek prime minister  
[1758](#).

Lamennais, Félicité de, philosopher  
[1035](#).

Lamizana, Sangoule, Upper Voltan leader  
[4330](#), [4330](#), [4330](#).

Lampedusa, Giuseppe di, writer

[2935](#).  
Lamphun  
[342](#).  
Lampson, Miles  
[2368](#).  
Lamu  
[362](#), [362](#), [1528](#), [1528](#).  
Lancaster, Pennsylvania  
[1599](#).  
Lancaster dynasty  
[514](#), [514](#), [515](#), [515](#).  
Lancaster House conference and accords  
[4467](#), [4467](#).  
Land, Edwin H., inventor  
[1736](#).  
Land Act, England  
[1168](#).  
Land and Liberty, Russian secret society  
[1260](#).  
Land Apportionment Act, Rhodesia  
[2572](#).  
Landau  
[622](#), [659](#), [659](#), [1102](#).  
Land Decree, Russia  
[2066](#).  
Lander, John, explorer  
[1507](#).  
Lander, Richard, explorer  
[1507](#), [1507](#).  
Land Freedom Army, Anyanya  
[4404](#).  
Landhaus, Vienna  
[1089](#).  
land laws  
[2066](#), [2068](#); Baltic states, [2084](#); Poland, [2119](#); Syria, [2375](#); Iraq, [2404](#); Morocco,  
[2417](#), [2417](#); Libya, [2430](#), [2430](#).  
Land League, Ireland  
[1169](#).  
Landless Movement, MSTA  
[3627](#), [3627](#), [3627](#).  
Landlord and Tenant Act, England

1168.

Landon, Alfred M., U.S. leader

2206.

land reform

397, 3880, 3904; Korea, 381, 382, 4190, 4190; Japan, 384, 384, 4223; Vietnam, 399, 399, 4259, 4276; Byzantium, 438; Czechoslovakia, 2014; Hungary, 2024; Finland, 2053; Lithuania, 2088; Latvia, 2098; Estonia, 2103; Poland, 2114, 3090; Yugoslavia, 2127; Greece, 2147; Bulgaria, 2161; Romania, 2174; Mexico, 2294, 2297, 2298, 2298, 3703; Syria, 2375, 3771; Mongolia, 2487; Tajikistan, 3374; Argentina, 3483; Chile, 3510, 3511; Bolivia, 3538; Peru, 3553, 3554, 3555, 3557; Ecuador, 3568; Colombia, 3577; Brazil, 3613, 3620, 3620, 3627; Panama, 3641; Guatemala, 3648, 3649; El Salvador, 3664; Nicaragua, 3678, 3683; Honduras, 3694, 3694; Cuba, 3715; Egypt, 3771, 3904; Turkey, 3787; Iran, 3817; Iraq, 3880, 3880; South Yemen, 3893; Algeria, 3931, 3931; Tunisia, 3943; Indonesia, 4124; China, 4142, 4145; Taiwan, 4183; Philippines, 4289, 4291, 4292; Africa, 4324; Zimbabwe, 4456, 4457, 4468, 4468, 4469, 4469, 4469. *See* agriculture.

Landrum-Griffith Act

*See* Labor-Management Reporting and Disclosure Act, U.S..

Landsbergis, Vytautas, Lithuanian leader

3353, 3355.

Landshut, battle of

664.

Landsorganization, LO

1248, 1250.

Landsting, Denmark

1078, 1251, 1251, 2038.

Landstuhl

614.

Landtag, Germany

1231, 1232, 1232, 1232, 1232.

Landtag, Prussia

635, 1096, 1096, 1270.

Land War, Ireland

1169.

Lane, Allen, publisher

1850.

Lane, John, developer of steel-blade plowshare

987.

Lanfranc, archbishop of Canterbury

444, 444, 466.

Lang, John Thomas, Australian leader

[2546](#).  
Lang, William, British commander in China  
[1420](#).  
Lange, David, New Zealand leader  
[4317](#), [4317](#), [4317](#).  
Lange, Halvard, Norwegian leader  
[2717](#).  
Langensalza  
[1102](#).  
Langerud García, Kjell, Guatemalan leader  
[3654](#).  
Langland, William, religious leader  
[513](#).  
Langley, Samuel P., aviation pioneer  
[990](#).  
Lango  
[2565](#).  
Langside, battle of  
[588](#).  
Lang Son, Vietnam  
[1419](#), [1474](#), [2527](#).  
Langton, Stephen, archbishop of Canterbury  
[445](#), [445](#).  
language  
[67](#), [83](#), [85](#), [86](#), [87](#), [88](#), [93](#), [95](#), [97](#), [102](#), [106](#), [106](#), [113](#), [113](#), [114](#), [117](#), [119](#), [124](#), [126](#),  
[127](#), [129](#), [129](#), [129](#), [129](#), [129](#), [130](#), [130](#), [130](#), [131](#), [131](#), [132](#), [132](#), [132](#), [133](#), [133](#), [133](#),  
[138](#), [156](#), [169](#), [170](#), [170](#), [175](#), [182](#), [222](#), [222](#), [222](#), [246](#), [246](#), [2554](#); Old Persian, [83](#),  
[124](#); Meroitic, [97](#); Proto-Elamite, [121](#); Sanskrit, [129](#), [129](#), [130](#), [130](#), [131](#), [131](#), [132](#),  
[133](#), [133](#), [294](#), [324](#), [324](#), [325](#), [325](#), [331](#), [370](#), [830](#); Prakrit, [129](#), [130](#), [132](#), [132](#), [133](#),  
[324](#); Syriac, [131](#), [294](#); Messapian, [222](#); Persian, [285](#), [292](#), [292](#), [296](#), [299](#), [300](#), [303](#),  
[305](#), [305](#), [307](#), [308](#), [332](#), [795](#), [813](#), [816](#), [1352](#), [1357](#), [1395](#); Arabic, [285](#), [286](#), [290](#), [290](#),  
[292](#), [292](#), [294](#), [296](#), [299](#), [300](#), [300](#), [301](#), [315](#), [317](#), [317](#), [319](#), [319](#), [321](#), [343](#), [343](#), [344](#),  
[347](#), [362](#), [444](#), [476](#), [479](#), [791](#), [796](#), [839](#), [1335](#), [1348](#), [1367](#), [1367](#), [1367](#), [1368](#), [1376](#),  
[1384](#), [1384](#), [1389](#), [1390](#), [1393](#), [1510](#); Pahlavi, [292](#); Greek, [294](#), [296](#), [401](#), [402](#), [410](#),  
[416](#), [429](#), [440](#); Latin, [295](#), [401](#), [402](#), [403](#), [407](#), [408](#), [410](#), [411](#), [416](#), [429](#), [479](#); Turkish,  
[299](#), [306](#), [308](#), [315](#), [319](#), [368](#), [795](#), [807](#), [1330](#), [1332](#), [1337](#), [1348](#), [1348](#), [1368](#), [1392](#),  
[1393](#); Chaghatay, [308](#); Hebrew, [315](#), [1336](#), [1346](#), [1376](#); Berber, [321](#); Telugu, [328](#);  
Malay, [329](#), [839](#); Burmese, [341](#); Pali, [341](#); Siamese, [342](#); Swahili, [343](#), [343](#), [347](#), [362](#),  
[1534](#); Bantu, [343](#), [343](#), [343](#), [347](#), [348](#), [362](#), [365](#), [365](#); African, [343](#), [347](#), [2554](#), [2578](#);  
Niger-Congo family, [343](#); Khoisan, [347](#); Sudanic, [347](#); Mande, [351](#); Mongolian, [375](#);  
Chinese, [384](#), [386](#), [392](#), [396](#), [397](#), [398](#), [399](#), [855](#), [856](#), [1416](#); Japanese, [384](#), [386](#), [392](#);

Vietnamese, [399](#), [863](#), [863](#); Gothic, [403](#); Middle High German, [406](#); Romance, [411](#), [411](#), [411](#); Germanic, [411](#), [411](#); Celtic, [421](#); French, [422](#), [444](#), [598](#), [600](#), [1053](#), [1056](#), [1376](#), [1392](#), [1622](#); Gaelic, [425](#), [1170](#); Scandinavian, [426](#); Slavic, [430](#), [440](#), [1089](#), [1090](#), [1105](#), [1107](#); Cyrillic alphabet, [434](#); Slavonic, [434](#); English, [444](#), [448](#), [513](#), [513](#), [670](#), [1395](#), [1395](#), [1551](#), [1622](#); Anglo-Saxon, [444](#); Norman French, [444](#); Midland English, [513](#); Tupi-Guaraní, [570](#); Hindi, [580](#); Castillian, [604](#); Finnish, [766](#), [1080](#), [1254](#), [1254](#), [1254](#), [1254](#); Azeri Turkish, [813](#); Thai, [847](#); Korean, [855](#), [856](#), [1436](#); Tagalog, [867](#), [867](#), [2535](#); Dutch, [1053](#), [1053](#), [1053](#), [1414](#), [1551](#), [1555](#); Flemish, [1053](#); Hungarian, [1074](#), [1074](#); Danish, [1077](#); Icelandic, [1078](#); German, [1243](#), [1243](#), [1246](#); Magyar, [1246](#), [1246](#), [1246](#); Swedish, [1254](#), [1254](#), [1254](#); Polish, [1263](#), [1267](#), [1268](#), [1269](#); Russian, [1268](#); Bulgarian, [1298](#), [1299](#); Albanian, [1325](#); Bengali, [1394](#); Maori, [1500](#), [1503](#); Nguni, [1506](#); Mandingo, [1514](#); Amharic, [1522](#); Kiswahili, [1528](#); Xhosa, [1556](#); Quechua, [1668](#), [1670](#); Aymara, [1668](#), [1670](#); Romansch, [1969](#).

Languedoc

[415](#), [449](#), [452](#), [479](#), [521](#).

Langue d'Oil

[520](#), [521](#), [521](#).

Laniel, Joseph, French leader

[2712](#), [2846](#), [2847](#), [4256](#).

Lan Na

[342](#).

Lanquedoc Canal

[713](#).

Lan Sang

[844](#), [845](#).

Lansdowne, marquis of, Henry Petty-Fitzmaurice, colonial administrator

[974](#), [1398](#), [1635](#).

L'Anse aux Meadows

[571](#).

Lansing, Robert, U.S. secretary of state

[1741](#), [1778](#), [1784](#).

Lansing-Ishii Agreement, U.S.-Japan

[2188](#), [2497](#).

Lanusse, Alejandro, Argentine leader

[3490](#), [3490](#).

Laodicaea, Denizli

[302](#).

Laodice I, wife of Antiochus II

[213](#).

Lao monarchy

[4100](#).



Laon

[413](#), [413](#), [414](#), [449](#), [524](#), [1754](#), [1789](#).

Lao people

[1409](#), [1409](#).

Lao People's Liberation Army

[4099](#), [4099](#).

Laos

[339](#), [845](#), [1402](#), [1409](#), [1409](#), [1475](#), [1475](#), [2453](#), [2453](#), [2453](#), [2453](#), [2625](#), [2644](#), [4047](#), [4047](#), [4069](#), [4069](#), [4082](#), [4088](#), [4093](#), [4093](#), [4093](#), [4093](#), [4093](#), [4094](#), [4094](#), [4094](#), [4096](#), [4096](#), [4096](#), [4097](#), [4097](#), [4098](#), [4099](#), [4099](#), [4099](#), [4100](#), [4100](#), [4101](#), [4101](#), [4101](#), [4101](#), [4101](#), [4101](#), [4102](#), [4102](#), [4102](#), [4103](#), [4183](#), [4255](#), [4256](#), [4256](#), [4264](#), [4264](#), [4269](#); and France, [2453](#), [4093](#), [4093](#), [4093](#); WWII, [2454](#); economy, [4047](#); struggle as nation, [4093](#); and U.S., [4094](#), [4096](#), [4097](#), [4098](#), [4099](#), [4099](#), [4099](#), [4101](#), [4102](#), [4273](#); and Russia, [4096](#), [4101](#), [4101](#), [4102](#); and China, [4099](#), [4101](#), [4102](#), [4102](#); Lao People's Democratic Republic (LPDR), [4100](#).

Lao She, writer

[2478](#).

Laotian war

[4099](#).

Laozi, Chinese philosopher

[68](#), [145](#), [158](#), [370](#).

La Paz

[913](#), [1649](#), [1668](#), [1669](#), [2255](#), [2257](#), [3538](#).

La Pérouse, Jean-François de, French navigator

[866](#), [866](#).

Lapita people

[52](#).

Laplace, Pierre, astronomer

[1038](#).

Lapland

[3076](#).

La Plata

[898](#), [2242](#).

La Pointe, Ernest, Canadian diplomat

[2222](#).

Laporte, Pierre, Quebec official

[3455](#), [3455](#), [3455](#).

Laprairie

[1625](#).

Lapua, Finnish Fascist organization

[2056](#), [2056](#).

Lapua, battle of  
[767](#).

La Puerta  
[1650](#).

Lapulapu, Philippines leader  
[867](#).

Lara Bonilla, Rodrigo, Colombian leader  
[3581](#).

Laraki, Azzedine, Moroccan leader  
[3924](#).

La Raza Unida, U.S.  
[3417](#).

La Reforma  
[2242](#).

La-Révellière-Lépeaux, Louis, French leader  
[1009](#).

Largo Caballero  
[1929](#), [1930](#).

La Rioja  
[1658](#), [1660](#), [1660](#), [2899](#).

Larissa  
[441](#), [500](#).

Larkin, James, Irish union leader  
[1170](#).

La Roche, marquis de, French colonizer in North America  
[920](#).

La Rochelle  
[525](#), [599](#), [600](#).

La Rosca  
[2255](#).

La Rothière, battle of  
[1031](#).


Larrain, Emiliano Figueroa, Chilean leader  
[2246](#).

Larrazabal, Wolfgang, Venezuelan leader  
[3598](#).

Larsa  
[84](#), [85](#), [85](#), [85](#).

La Salle, sieur de, Robert Cavalier, French explorer  
[921](#), [921](#).

Lasalleans, socialist group

[1234](#).  
La Scala, Milan  
[743](#).  
Las Casas, Bartolomé de, Spanish historian and missionary  
[604](#), [897](#).  
Lashio  
[2627](#).  
Las Navas de Tolosa  
[475](#), [476](#), [479](#).  
Lasso, Jose Ayala, UN leader  
[2690](#).  
Lasso, Orlando di, composer  
[596](#), [607](#).  
Lastiri, Raúl, Argentine leader  
[3490](#).  
Las Vegas  
[3430](#), [3434](#).  
Las Villas  
[3715](#).  
Latakia  
[2371](#), [2376](#).  
La Tene technology  
[46](#).  
Lateran, synod of 1059  
[467](#).  
Lateran Councils  
[446](#), [468](#), [469](#), [469](#), [507](#), [609](#), [609](#).  
Lateran Palace, Rome  
[609](#).  
Lateran Treaties  
[1950](#), [1950](#).  
Later Han dynasty  
[155](#), [155](#), [156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [158](#), [369](#), [397](#).  
Later Jin dynasty  
[369](#), [369](#), [852](#).  
Later Koguryū   
[379](#).  
Later Liang dynasty  
[159](#), [369](#).  
Later Paekche  
[379](#).

Later Qin dynasty

[158](#).

Later Tang dynasty

[369](#), [370](#).

Later Three Kingdoms period

[378](#), [379](#), [379](#), [382](#).

Later Three Years War, Japan

[387](#).

Later Zhou dynasty

[369](#), [371](#).

Lathyrus

[218](#).

Latimer, Hugh, English Protestant martyr

[588](#).

Latimer, 4th baron, William, impeachment of

[513](#).

Latin

[222](#), [222](#), [235](#), [318](#), [403](#), [440](#), [534](#), [2330](#).

Latin America

[894](#), [894](#), [898](#), [908](#), [953](#), [954](#), [957](#), [957](#), [958](#), [961](#), [961](#), [961](#), [961](#), [1100](#), [1335](#), [1480](#), [1642](#), [1643](#), [1703](#), [1706](#), [2210](#), [2238](#), [2241](#), [2242](#), [2259](#), [2260](#), [2264](#), [2268](#), [2637](#), [2637](#), [2640](#), [2641](#), [2641](#), [2643](#), [2644](#), [2644](#), [2676](#), [2678](#), [2694](#), [2698](#), [2890](#), [3465](#), [3465](#), [3471](#), [3475](#), [3476](#), [3477](#), [3479](#), [3564](#), [3574](#), [3597](#), [3676](#), [3717](#), [3727](#); and Philippines, [867](#), [868](#); wars of independence, [1642](#), [1643](#); 1820–1914, [1657](#); WWI, [1770](#), [2238](#); and U.S., [2198](#), [2238](#), [2238](#), [2240](#), [2240](#), [2240](#), [2240](#), [2274](#), [3465](#), [3466](#), [3467](#), [3467](#), [3469](#), [3469](#), [3474](#), [3474](#); economy, [2238](#); between Wars, [2238](#), [2238](#); WWII, [2238](#), [2599](#); and Mexico, [2293](#); post-WWII economic and social change, [3465](#), [3465](#); post-WWII population growth, [3465](#); post-WWII political change, [3465](#); 1980s and 1990s politics, [3465](#); social change, [3465](#); native, mestizo, and black movements, [3465](#); regional diplomacy, [3466](#); late 1960s period of crisis, [3471](#); free trade, [3471](#); Andean common market, [3473](#), [3579](#); and globalization, [3475](#). *See* [culture](#).

Latin Empire of the East

[507](#).

Latin League

[222](#), [225](#), [226](#), [226](#), [227](#).

Latin War

[222](#), [226](#), [227](#).

Latium

[221](#), [222](#), [222](#), [222](#), [225](#), [225](#), [229](#).

Latorre, Lorenzo, Latin American leader

[1667](#).

La Trémoille, Georges

[522](#).

Lattre de Tassigny, Jean De, French commander

[4255](#).

Latvia

[482](#), [1821](#), [1822](#), [1828](#), [1837](#), [1837](#), [1992](#), [2080](#), [2084](#), [2088](#), [2096](#), [2096](#), [2096](#), [2097](#), [2098](#), [2098](#), [2098](#), [2098](#), [2099](#), [2100](#), [2100](#), [2101](#), [2109](#), [2116](#), [2640](#), [2754](#), [2755](#), [2756](#), [3118](#), [3139](#), [3244](#), [3259](#), [3298](#), [3298](#), [3298](#), [3298](#), [3303](#), [3303](#), [3304](#), [3321](#), [3345](#), [3345](#), [3347](#), [3349](#), [3350](#), [3354](#), [3357](#); independence, [1774](#), [3300](#), [3345](#), [3346](#); WWI, [1803](#); and Russia, [2084](#), [3345](#), [3346](#), [3349](#); Republic of, [2096](#); occupation by Russia, [2101](#); WWII, [2593](#); Republic of Latvia, [3345](#); Russian recognition, [3346](#); citizenship, [3350](#).

Latvian National Council

[2096](#).

Latvian Popular Front

[3298](#).

Lauca River

[3538](#).

Laud, William, archbishop of Canterbury

[591](#), [591](#), [593](#), [927](#).

Lauderdale, duke of, John Maitland, Scottish leader and Cabal member

[675](#), [676](#).

Laudon, Gideon von

[664](#).

Laudonnière, René Goulaine de, French colonizer in America

[905](#), [920](#).

Laue, Max von, physicist

[1150](#).

Lauenburg

[1078](#), [1100](#), [1251](#).

Launay, Bernard René Jordan de, Bastille commander

[1001](#).

Launceston

[1487](#).

Laupen, battle of

[750](#).

Laurent, François, Belgian scholar

[1171](#).

Laurier, Wilfrid

[1637](#), [2219](#), [2221](#).

Lausanne

[411](#), [531](#), [625](#), [749](#); treaty of, [979](#), [1137](#), [1225](#), [1348](#), [1393](#), [1712](#), [1788](#), [2147](#), [2325](#);  
conference, [1711](#), [1712](#), [1721](#), [1830](#), [1966](#), [2193](#).

Lautaro, leader of Mapuche Indians  
[899](#), [899](#).

Lautrec, vicomte de, Odet de Foix, French general  
[614](#).

Lautulae  
[227](#).

Laval, Carl Gustav de, inventor  
[982](#), [987](#), [1251](#).

Laval, Pierre, French leader  
[1901](#), [1911](#), [1912](#), [1912](#), [1916](#), [1917](#), [1917](#), [2590](#); collaboration, [2839](#).

Lavalas Family Party, Haiti  
[3755](#), [3755](#).

Lavalle, Juan, Latin American leader  
[1658](#), [1658](#).

Lavalleja, Antonio, Latin American leader  
[1647](#), [1647](#).

Lavater, Johannes C., Swiss writer  
[749](#).

La Venta  
[54](#).

Lavig erie, Charles, cardinal in Africa  
[1195](#), [1516](#), [1517](#).

Lavin, Joaquin, Chilean leader  
[3521](#).

Lavinium  
[223](#).

Lavoisier, Antoine, chemist  
[647](#), [1041](#).

Lavrov, Peter, Russian leader  
[1260](#).

law  
[85](#), [95](#), [105](#), [131](#), [239](#), [260](#), [266](#); Ottoman Empire, [794](#), [797](#); Montenegro, [1296](#), [1297](#);  
Korea, [1429](#); Japan, [1455](#).

Law, Andrew Bonar, British prime minister  
[1839](#).

Law, John, financier  
[715](#), [715](#), [715](#).

Lawes, J. B., manufacturer of superphosphates  
[987](#).

Law for the Encouragement of Industry  
[2329](#).

Law of Association  
[8](#), [8](#).

Law of Guaranties, Italy  
[1219](#).

Law of Liquidation, Egypt  
[1372](#).

Law of 28 Pluviôse, France  
[1014](#).

Law of 22 Prairial, France  
[1007](#).

Law of Return, Israel  
[3858](#).

Law of Social Defense, Argentina  
[1661](#).

Law of Succession, Russia  
[786](#).

Law of Superposition, principle of stratigraphic geology  
[4](#).

Law of the Double Vote, France  
[1059](#).

Law of the Good Reason, Portugal  
[730](#).

Law of the Sea Treaty  
[2679](#).

Law of the Septennate, France  
[1190](#).

Lawrence, Kansas  
[1583](#).

Lawrence, D. H., writer  
[1839](#).

Lawrence, Ernest O., American physicist  
[1730](#).

Lawrence, baron, John Mair, viceroy of India  
[1397](#).

Lawrence, Thomas E., Lawrence of Arabia  
[1752](#).

Law Rivet-Vitet, France  
[1189](#).

Lawson, William, English explorer

[1488](#).  
Law to Reduce Unemployment, Nazi Germany  
[1986](#).  
Laxman, Adam, envoy to Japan  
[1437](#).  
Lay, Horatio N., inspector general in China  
[1417](#).  
Laye, Camara, writer  
[4320](#).  
Layne, Tamisrat, Ethiopian leader  
[4397](#).  
Layton, Walter  
[2588](#).  
Layton-Wiggin report, and international finance  
[1720](#).  
Lazar I, prince of Serbia  
[563](#), [563](#).  
Lazar III, prince of Serbia  
[563](#), [563](#).  
Lázár, György, Hungarian leader  
[3152](#), [3154](#).  
Lazarites  
[1522](#); in Africa, [892](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 43

Lazica, Colchis

[274](#), [275](#).

Lazistan

[427](#).

League for the Rights of Man, Africa

[2555](#).

League of Albanian Writers and Artists

[3202](#).

League of Armed Neutrality

[770](#), [771](#), [789](#).

League of Augsburg

[653](#), [653](#), [704](#), [713](#), [719](#), [738](#), [752](#).

League of Cambrai

[597](#), [607](#), [611](#), [613](#).

League of Cognac

[586](#), [607](#).

League of German Students

[1235](#).

League of Heilbronn

[620](#).

League of Nations

[1698](#), [1698](#), [1698](#), [1699](#), [1702](#), [1706](#), [1708](#), [1708](#), [1713](#), [1714](#), [1717](#), [1717](#), [1719](#),  
[1721](#), [1721](#), [1722](#), [1722](#), [1723](#), [1724](#), [1724](#), [1725](#), [1784](#), [1784](#), [1784](#), [1784](#), [1814](#),  
[1817](#), [1817](#), [1817](#), [1822](#), [1824](#), [1825](#), [1825](#), [1825](#), [1826](#), [1828](#), [1830](#), [1830](#), [1831](#),  
[1832](#), [1832](#), [1833](#), [1849](#), [1866](#), [1882](#), [1912](#), [1922](#), [1935](#), [1953](#), [1953](#), [1954](#), [1955](#),  
[1964](#), [1964](#), [1965](#), [1965](#), [1965](#), [1968](#), [1970](#), [1981](#), [1987](#), [1987](#), [2001](#), [2002](#), [2003](#),  
[2006](#), [2015](#), [2026](#), [2027](#), [2028](#), [2032](#), [2039](#), [2044](#), [2048](#), [2048](#), [2055](#), [2055](#), [2057](#),  
[2074](#), [2087](#), [2088](#), [2099](#), [2105](#), [2114](#), [2116](#), [2134](#), [2136](#), [2147](#), [2149](#), [2161](#), [2164](#),  
[2176](#), [2181](#), [2190](#), [2225](#), [2242](#), [2242](#), [2245](#), [2248](#), [2248](#), [2248](#), [2248](#), [2252](#), [2254](#),  
[2254](#), [2259](#), [2261](#), [2264](#), [2264](#), [2267](#), [2268](#), [2269](#), [2270](#), [2271](#), [2274](#), [2276](#), [2281](#),

[2287](#), [2298](#), [2301](#), [2314](#), [2316](#), [2328](#), [2331](#), [2335](#), [2350](#), [2366](#), [2371](#), [2372](#), [2376](#),  
[2379](#), [2386](#), [2388](#), [2399](#), [2403](#), [2404](#), [2405](#), [2450](#), [2473](#), [2474](#), [2479](#), [2499](#), [2500](#),  
[2513](#), [2530](#), [2531](#), [2538](#), [2539](#), [2540](#), [2551](#), [2554](#), [2558](#), [2559](#), [2562](#), [2576](#), [2582](#),  
[2632](#), [2636](#), [2636](#), [2638](#), [2638](#), [2645](#); Covenant, [1698](#); Class A Mandates, [1708](#); and  
Germany, [1715](#).

League of Pavia

[468](#).

League of Sarnen

[1070](#).

League of Schmalkalden

[615](#).

League of Sixteen, Paris

[599](#).

League of the German Princes

[753](#), [759](#).

League of the Public Weal, France

[523](#).

League of the Rhineland

[458](#).

League of the Russian Nobility

[1266](#).

League of the Three Forest Cantons

[546](#).

League of Veterans, Estonia

[2106](#), [2107](#).

Leakey, Louis, anthropologist

[19](#), [19](#), [19](#).

Leakey, Mary, archaeologist

[19](#), [19](#), [19](#), [4409](#).

Leandro de Viana, Francisco, in the Philippines

[868](#).

Lea River

[422](#).

Lease, Mary Elizabeth, U.S. reformer

[1605](#).

Lebanese Army

[3845](#).

Lebanese Forces

[3847](#).

Lebanese War

[2679](#).

## Lebanon

[107](#), [800](#), [800](#), [801](#), [802](#), [805](#), [805](#), [806](#), [808](#), [812](#), [1327](#), [1331](#), [1331](#), [1333](#), [1333](#), [1335](#), [1371](#), [1374](#), [1706](#), [2318](#), [2319](#), [2378](#), [2379](#), [2405](#), [2636](#), [2638](#), [2638](#), [2639](#), [2673](#), [2679](#), [2679](#), [2698](#), [2839](#), [3769](#), [3769](#), [3769](#), [3769](#), [3771](#), [3778](#), [3778](#), [3778](#), [3783](#), [3786](#), [3842](#), [3844](#), [3845](#), [3845](#), [3845](#), [3845](#), [3846](#), [3847](#), [3847](#), [3847](#), [3849](#), [3850](#), [3850](#), [3850](#), [3851](#), [3853](#), [3853](#), [3853](#), [3853](#), [3866](#), [3869](#); civil war, [1335](#), [3768](#); emigration to the Americas, [1335](#); and Egypt, [1367](#); WWI, [1751](#), [2378](#), [2378](#); and France, [2371](#), [2379](#), [2379](#), [2380](#), [2382](#), [2383](#), [2384](#), [2384](#), [3845](#); between Wars, [2379](#), [2379](#), [2380](#), [2380](#); Republic, [2379](#); makeup, [2379](#), [2379](#); WWII, [2381](#), [2382](#), [2592](#), [2612](#); and U.S., [3403](#), [3428](#), [3845](#), [3853](#); independence, [3845](#).

Lebed, Aleksandr, Russian official

[3367](#).

LeBel, Achille, chemist

[1152](#).

Lebensraum

[2021](#).

Lebesgue, Henri, mathematician

[1149](#).

Le Bon, Gustave, psychologist

[1144](#).

Lebon, Joseph, French leader

[1005](#).

Lebrun, Albert, French president

[1901](#).

Leburnion, battle of

[501](#).

Le Cateau, battle of

[1789](#).

Le Chapelier Law, France

[1002](#), [1015](#).

Lechfeld, battle of

[416](#), [491](#).

Lech River

[416](#).

Leclerc, Free French commander

[2611](#).

Lecompton constitution, Kansas

[1583](#).

Lecomte, Claude, French general

[1188](#).

Le Corbusier, Charles Jeanneret

[1816](#).  
Ledru-Rollin, Alexandre, French leader  
[1083](#).  
Lê Duan, Vietnamese leader  
[4261](#), [4271](#), [4276](#).  
Lê dynasty  
[279](#), [397](#), [399](#), [863](#), [863](#), [863](#), [863](#).  
Lee, Bill Lann, blocked appointee  
[3436](#).  
Lee, Richard Henry, American leader  
[947](#).  
Lee, Robert E., Confederate commander  
[1587](#), [1587](#), [1587](#), [1587](#), [1588](#), [1588](#), [1589](#), [1590](#); capitulation of, [1590](#).  
Leeds  
[1159](#).  
Lee Kuan Yew, Singaporean leader  
[4108](#), [4117](#), [4117](#), [4117](#), [4117](#).  
Leeson, Nicholas, British financier  
[2691](#).  
Lee Teng-hui, Taiwanese leader  
[2696](#), [4173](#), [4174](#), [4177](#), [4184](#), [4185](#), [4185](#).  
Leeuwenhoek, Antony van  
[640](#).  
Leeward Islands  
[3756](#).  
Lefebvre, Marcel, Church leader  
[2962](#).  
Lefevre, Theo, Belgian leader  
[2822](#), [2822](#), [2822](#).  
Legalists  
[68](#), [140](#), [147](#), [147](#), [153](#), [153](#), [154](#), [156](#), [156](#), [382](#).  
Legality Organization, Albania  
[2143](#).  
Legazpi, Augustin de, Philippines leader  
[867](#).  
Legazpi, Miguel de, explorer  
[867](#), [867](#).  
Legge Fascistissime, Italian Fascists  
[1948](#).  
Legion of Honor, France  
[1014](#), [1194](#).

Legislative Assembly, Egypt  
[1374](#).

Legislative Assembly, France  
[999](#), [1003](#).

Legislative Council, Burma  
[2448](#).

Legislative Council, Canada  
[1623](#), [1625](#), [1625](#), [1628](#), [1630](#).

Legislative Council, Cape Colony  
[1552](#).

Legislative Council, New Zealand  
[1502](#).

Legislative Council, Newfoundland  
[1633](#).

Legitimists, France  
[1081](#), [1083](#), [1181](#), [1189](#).

Legitimists, Hungary  
[2030](#).

Legnano, battle of  
[456](#), [469](#).

Legnica  
[487](#), [3096](#).

Leguía, Augusto B., Latin American leader  
[1670](#).

Le Havre, Belgium  
[1738](#), [1882](#).

Lehmann, Johann, geologist  
[647](#).

Lê Hoan, king of Vietnam  
[397](#).

Lehto, Reino R., Finnish leader  
[3078](#).

Lehwald, Hans von, Prussian general  
[662](#).

Leibniz, Gottfried Wilhelm von, scientist and philosopher  
[639](#), [641](#), [647](#).

Leicester, 1st earl of, Robert Sidney, English commander  
[588](#).

Leichhardt, Ludwig, German explorer  
[1489](#).

Leignitz

[487](#).  
Leiningen, Karl von  
[1296](#).  
Leinster  
[425](#).  
Leipzig  
[548](#), [613](#), [620](#), [1030](#), [1976](#); battles of, [620](#), [622](#), [622](#), [751](#).  
Leiva, Ponciano, Latin American leader  
[1686](#).  
Lekhanya, Justin, Lesotho leader  
[4473](#), [4473](#), [4473](#).  
Lelantine War  
[182](#).  
Lê Loi, Le Thai-tô  
[399](#), [399](#), [399](#).  
Lemaître, George, Belgian astrophysicist  
[1729](#).  
Lemanic Republic  
[750](#).  
Le Mans  
[1005](#), [2877](#).  
Lemass, Sean, Irish leader  
[2807](#), [2808](#).  
Lemberg  
[555](#), [667](#), [779](#), [1739](#), [1739](#), [1756](#), [1792](#), [1794](#), [1802](#), [2113](#).  
Lemebede, Anton, South African leader  
[4320](#).  
Le Mistral  
[2844](#).  
Lemnitzer, Lyman L., U.S. commander  
[2723](#), [2730](#).  
Lemnos  
[168](#), [199](#), [203](#), [436](#), [509](#), [538](#).  
Le Moustier, cave in southwest France  
[23](#).  
Lemus, José María, Salvadoran leader  
[3662](#).  
Lena  
[1266](#), [3292](#).  
Lenczyca, assembly of  
[487](#).

lend-lease

[2593](#), [2632](#), [2758](#), [3266](#), [3274](#).

Lend-Lease Act, U.S.

[1855](#), [2210](#), [2210](#), [2211](#), [2589](#), [2599](#), [2600](#), [2602](#).

Lenihan, Brian, Irish leader

[2811](#).

Lenin, Nikolai, Vladimir I. Ulianov

[1144](#), [1262](#), [1703](#), [1708](#), [1772](#), [1774](#), [2064](#), [2064](#), [2064](#), [2065](#), [2067](#), [2067](#), [2068](#),  
[2068](#), [2070](#), [2463](#), [2466](#), [3303](#).

Leningrad

[2596](#), [3300](#), [3303](#); battle of, [2080](#). *See* [St. Petersburg](#).

Lenin Shipyard, Gdansk

[3109](#).

Leninsk

[3333](#).

Lenin's Tomb

[3267](#), [3275](#).

Lenoir, Étienne, inventor

[981](#), [990](#).

Lens

[1738](#), [1791](#), [1812](#).

Lenthall, William, English parliamentarian

[673](#).

Lenz River

[620](#).

Leo Africanus

*See* [Hasan ibn Muhammad al-Wazzani, geographer](#).

Leo I, Roman emperor in the East

[269](#), [269](#), [269](#), [269](#).

Leo I, the Great

[401](#), [401](#), [402](#).

Leo II, Roman emperor in the East

[269](#), [269](#), [406](#).

Leo III, the Isaurican

[408](#), [431](#), [431](#), [431](#), [432](#).

Leo III, pope

[276](#), [411](#), [411](#).

Leo IV, Byzantine emperor

[432](#).

Leo IV, pope

[409](#).

Leo V, the Armenian  
[433](#), [434](#).

Leo VI, the Wise  
[435](#), [436](#).

Leo VIII, pope  
[465](#), [465](#).

Leo X, pope  
[535](#), [535](#), [586](#), [609](#).

Leo XIII, pope  
[1195](#), [1219](#), [1220](#), [1235](#), [1517](#), [1952](#).

Leo IX, pope  
[454](#), [466](#), [499](#).

Leoben  
[1009](#), [1009](#).

Leon  
[419](#), [419](#), [419](#), [419](#), [420](#), [420](#), [420](#), [420](#), [420](#), [420](#), [476](#), [478](#), [479](#), [480](#), [525](#).

León, Nicaragua  
[896](#).

Vinci, Leonardo da, Italian artist  
[536](#), [537](#), [597](#), [607](#), [643](#).

Leonardo of Pisa, mathematician  
[469](#).

León de Huánuco  
[898](#).

Leone, Giovanni, Italian leader  
[2925](#), [2938](#).

Leoni, Raúl, Venezuelan leader  
[3600](#), [3601](#).

Leonidas I, king of Sparta  
[187](#), [189](#).

Leonine Wall, Rome  
[409](#).

Leonora, queen of Portugal  
[528](#), [528](#).

Leonov, Aleksei A., astronaut  
[3279](#).

Leontini  
[184](#), [194](#), [196](#), [199](#), [204](#).

Leontius II, Byzantine emperor  
[431](#), [431](#).

Leontius of Preslav, Bulgarian patriarch



[441](#).  
Leontopolis  
[94](#).  
León Valencia, Guillermo, Colombian leader  
[3577](#).  
Leo of Tripoli, pirate  
[436](#), [436](#).  
Leopard, British ship  
[1569](#).  
Leopardi, Gaicomo, Italian writer  
[735](#).  
Leopard's Kopje  
[349](#), [364](#), [364](#).  
Leopold, duke of Austria  
[444](#), [456](#).  
Leopold, duke of Lorraine  
[656](#).  
Leopold, prince of Hohenzollern-Sigmaringen  
[1201](#), [1234](#).  
Leopold, prince of Saxe-Coburg and later king of Belgium  
[1055](#).  
Leopold I, Habsburg  
[546](#).  
Leopold I, grand duke of Tuscany (later Leopold II, Holy Roman emperor)  
[744](#).  
Leopold I, Holy Roman emperor  
[657](#), [657](#), [752](#).  
Leopold I, king of Belgium  
[1045](#), [1056](#), [1171](#), [1171](#), [1277](#).  
Leopold II, Holy Roman emperor  
[752](#), [753](#), [757](#), [1002](#).  
Leopold II, king of Belgium  
[954](#), [964](#), [1003](#), [1112](#), [1171](#), [1172](#), [1316](#), [1509](#), [1509](#), [1539](#), [1540](#), [1541](#), [1541](#), [1543](#).  
Leopold III, Habsburg  
[546](#).  
Leopold III, king of Belgium  
[1882](#), [1891](#), [1892](#), [2585](#), [2818](#), [2820](#), [2820](#), [2821](#).  
Leopoldville, Congo  
[4434](#). See [Kinshasa, Congo](#).  
Leosthenes, Athenian commander  
[192](#).

Leo the Deacon, historian  
[438](#).

Leotychides II, king of Sparta  
[187](#), [189](#).

Lepage, Octavio  
[3603](#).

Lepanto  
[315](#), [603](#), [609](#), [611](#), [797](#), [797](#), [802](#), [826](#).

Lepcis Magna  
[110](#).

Lepe, Diego de, explorer  
[573](#).

Le Pen, Jean-Marie  
[2876](#).

Lepidus, Marcus Aemilius, Roman consul  
[237](#), [241](#), [241](#), [241](#), [241](#), [242](#).

Lepini Mountains  
[222](#).

Leptis Magna  
[246](#), [255](#).

Le Quesnoy  
[659](#).

Herdo de Tejada, Miguel, Mexican leader  
[1691](#).

Herdo de Tejada, Sebastián, Mexican leader  
[1692](#), [1692](#).

Lerida  
[477](#), [477](#).

Lerma, Francisco Gómez de Sandoval y Rojas, duke of  
[603](#).

Lerna  
[170](#).

Lerroux, Alejandro, Spanish leader  
[1928](#), [1929](#).

Lesage, Jean, Quebec leader  
[3452](#).

Lesbos  
[168](#), [175](#), [189](#), [194](#), [196](#), [564](#), [566](#).

Lescot, Elie, Haitian leader  
[3745](#).

Leslie, David, English general

592.

Lesotho

4438, 4473, 4473, 4473, 4473, 4474; independence, 4473.

Lesotho Congress for Democracy

4474.

Lesotho Liberation Army, LLA

4473.

Lespinasse, Julie Jeanne Eléonore de, French Enlightenment patroness

707.

Lesseps, Ferdinand de, diplomat and engineer

989, 1195, 1370, 1678.

“Les Six”, French composers

1903.

Leszek I, the White

487.

Letelier, Orlando, Chilean leader

3514, 3519, 3519.

Le Tellier, Michel, French leader

712.

Le Thanh-tông, king of Vietnam

399, 399.

Leticia, dispute

2261, 2264, 2268.

Letsie David Mohato, king of Lesotho

4474.

Letsie III, king of Lesotho

4474, 4474, 4474.

Lettow-Vorbeck, Paul von, German commander

1768, 2565.

Leucippus, Greek philosopher

186.

Leuenberg, Nicholas, Swiss peasant leader

748.

Leuthen, battle of

662.

Lê Van Duyêt, Vietnamese leader

1473.

Levant

36, 36, 42, 42, 43, 473, 473, 520, 538, 611.

Levant Company, England

798.

Lê Van Trung, founder of Cai Dai  
[2525](#).

Levelers, English splinter group  
[589](#), [668](#), [668](#).

Lever Act, U.S.  
[2188](#), [2190](#).

Leverrier, Urbain, astronomer  
[1040](#).

Lévesque, René, Quebec leader  
[2867](#), [3452](#).

Levin, Eve, historian  
[563](#).

Levingston, Roberto Marcelo, Argentine leader  
[3489](#), [3490](#).

Levi-Strauss, Claude, anthropologist  
[2701](#), [2861](#).

Levni, Ressam, Ottoman artist  
[807](#).

Levski, Vasil, Bulgarian leader  
[1299](#).

Lewanika, African leader  
[1547](#).

Lewes, battle of  
[445](#).

Lewinsky, Monica  
[3438](#), [3439](#).

Lewis, C. S., religious writer  
[1815](#).

Lewis, David, Canadian leader  
[864](#), [3456](#).

Lewis, John L., U.S. labor leader  
[2210](#).

Lewis, Meriwether, U.S. explorer  
[1568](#).

Lewis, Sinclair, writer  
[2191](#).

Lewis and Clark expedition  
[1568](#).

Lewis Ltd.  
[1851](#).

Lewis Ponds Creek

1490.  
lex Aebutia  
239.  
lex Aelia Sentia  
243.  
lex Calpurnia  
233.  
lex Canuleia  
225.  
lex de maiestate imminuta  
247.  
lex Fufia Caninia  
243.  
lex Gabinia  
240.  
lex Hortensia  
227.  
Lexington, battle of  
946.  
lex Iulia  
237.  
lex Iulia de adulteriis coercendis  
243.  
lex Iulia de maritandis ordinibus  
243.  
lex Manilia  
240.  
lex Papia Poppaea  
243.  
lex Poetelia  
227.  
lex Romana Visigothorum  
260.  
lex Titia  
241.  
lex Vatinia  
240.  
lex Villia annalis  
233.  
lex Voconia  
229.

Leyden  
[926](#).

Leyden jar  
[1148](#).

Leyte  
[867](#), [2630](#).

Lhasa  
[852](#), [4151](#).

L'hôpital, Guillaume de, mathematician  
[642](#).

Liang, Chinese empress  
[156](#), [156](#), [158](#).

Liang dynasty  
[158](#).

Liang Hongzhi, Japanese puppet ruler of China  
[2480](#).

Liang Qichao, Chinese leader  
[1423](#), [1426](#), [2524](#).

Liaodong  
[852](#), [1421](#), [1421](#), [1423](#), [1424](#), [1457](#), [1457](#), [1463](#).

Liao dynasty  
[369](#), [371](#), [372](#), [374](#), [378](#).

Liao River  
[160](#), [377](#).

Liaoyang, battle of  
[1262](#), [1462](#).

Liao Zhongkai, Chinese leader  
[2467](#).

Liapchev, Andrey, Bulgarian leader  
[2165](#), [2166](#).

Libby, Willard F., American chemist  
[6](#).

Liberal Alliance Party, Brazil  
[2271](#), [2271](#).

Liberal Alliance Party, Chile  
[2245](#).

Liberal Alliance Party, Nicaragua  
[3684](#).

Liberal Constitutional Party, Egypt  
[2354](#), [2359](#).

Liberal Democratic Party, LDP

[4230](#).  
Liberal Democratic Party, Great Britain  
[2794](#).  
Liberal Democratic Party, Japan  
[4230](#).  
Liberal Democratic Party, Netherlands  
[1897](#).  
Liberal Democratic Party, Russian Federation  
[3364](#).  
Liberal Democratic Party, Slovenia  
[3193](#).  
liberalism  
[1725](#); 1800–1914, [999](#), [1035](#), [1035](#), [1035](#), [1035](#), [1045](#), [1081](#); France, [1059](#), [1060](#),  
[1060](#), [1179](#); Spain, [1062](#), [1062](#), [1062](#), [1062](#), [1653](#); Portugal, [1065](#); Italy, [1066](#), [1091](#),  
[1091](#), [1091](#), [1092](#), [1092](#), [1093](#); Switzerland, [1070](#), [1070](#), [1070](#), [1070](#); Central Europe,  
[1071](#); Germany, [1071](#), [1096](#), [1232](#), [1232](#), [1232](#), [1232](#), [1232](#); Austria, [1073](#), [1242](#);  
Scandinavia, [1076](#), [1076](#), [1076](#); Belgium, [1171](#); Russia, [1257](#), [1258](#), [1260](#), [1262](#),  
[1263](#), [1263](#); Poland, [1268](#); democratic, [1702](#), [1702](#); parliamentary, [1702](#).  
Liberal-Labour Party, New Zealand  
[1504](#).  
Liberal Party, Australia  
[1499](#), [4295](#), [4298](#).  
Liberal Party, Canada  
[1631](#), [1635](#), [1637](#), [1639](#), [3444](#), [3461](#).  
Liberal Party, Great Britain  
[1839](#), [1839](#), [1847](#), [1848](#), [2794](#).  
Liberal Party, Honduras  
[3699](#).  
Liberal Party, Israel  
[3858](#).  
Liberal Party, Italy  
[1225](#), [1942](#), [1944](#), [1945](#), [1948](#).  
Liberal Party, New Zealand  
[1504](#), [1505](#), [2551](#).  
Liberal Party, Romania  
[1314](#), [1316](#), [2174](#), [2178](#).  
Liberal Party, South Korea  
[4196](#).  
Liberal Reform Party, Puerto Rico  
[1694](#).  
Liberal Republicans, U.S.

[1595](#).  
Liberals, Austria  
[1243](#).  
Liberals, Belgium  
[1053](#), [1056](#), [1057](#), [1057](#), [1171](#), [1171](#), [1171](#), [1171](#).  
Liberals, Denmark  
[1251](#).  
Liberals, England  
[965](#), [1130](#), [1155](#), [1157](#), [1159](#), [1162](#), [1162](#), [1162](#), [1162](#), [1162](#), [1170](#).  
Liberals, Finland  
[1254](#).  
Liberals, France  
[1081](#), [1081](#).  
Liberals, Germany  
[1235](#), [1237](#), [1237](#), [1237](#).  
Liberals, Hungary  
[1246](#), [1246](#).  
Liberals, Japan  
[1452](#), [1453](#).  
Liberals, Ottoman Empire  
[1347](#).  
Liberals, Prussia  
[1230](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 44

Liberals, Spain

[1204](#).

Liberal Union, Spain

[1199](#).

Liberation of Palestine

[3917](#).

Liberation Rally, Egypt

[3905](#).

liberation theology

[2644](#), [2963](#).

Liberation Tigers of Tamil Eelam, LTTE

[3984](#), [4032](#), [4036](#).

Liberation War

[4019](#).

Liberia

[954](#), [1506](#), [1514](#), [1514](#), [1514](#), [1515](#), [1515](#), [1573](#), [1738](#), [2555](#), [2559](#), [2559](#), [4320](#), [4327](#),  
[4355](#), [4355](#), [4355](#), [4355](#), [4356](#), [4357](#), [4357](#), [4358](#), [4358](#), [4359](#), [4359](#), [4360](#), [4383](#),  
[4384](#), [4385](#).

Liberia Unification Party

[4356](#).

Liberty Party, U.S.

[1577](#).

Liberum Veto, Poland

[776](#).

Li Bo, poet

[370](#).

libraries

[699](#); Portugal, [731](#); Innsbruck, [758](#); China, [1425](#).

Libreville, founded by French in Africa

[1539](#).

## Libya

[91](#), [91](#), [92](#), [93](#), [93](#), [93](#), [93](#), [94](#), [95](#), [95](#), [95](#), [108](#), [110](#), [124](#), [344](#), [826](#), [827](#), [954](#), [1387](#), [1392](#), [1392](#), [1392](#), [1392](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#), [2317](#), [2426](#), [2429](#), [2429](#), [2429](#), [2430](#), [2611](#), [2636](#), [2638](#), [2639](#), [2682](#), [2696](#), [2756](#), [2834](#), [3606](#), [3771](#), [3772](#), [3776](#), [3781](#), [3785](#), [3841](#), [3848](#), [3943](#), [3947](#), [3947](#), [3947](#), [3947](#), [3947](#), [3947](#), [3948](#), [3948](#), [3948](#), [3948](#), [3949](#), [3949](#), [3949](#), [4333](#), [4336](#), [4336](#), [4343](#), [4429](#); and Ottoman Empire, [1331](#); and Italy, [1348](#), [2429](#), [2429](#), [2430](#), [2431](#), [2431](#), [2431](#), [2431](#), [2431](#), [3947](#), [3947](#); and Tunisia, [1391](#); war with U.S., [1392](#); occupation by Italy, [1393](#), [1393](#); WWI, [1746](#), [1750](#); and Great Britain, [2431](#), [2431](#), [3947](#), [3947](#), [3947](#); WWII, [2611](#), [2612](#), [2612](#), [2613](#); and France, [3947](#); independence, [3947](#); and U.S., [3947](#), [3947](#), [3948](#), [3948](#), [3948](#); Libyan Arab Republic, [3947](#).

## Libyan Liberation Committee

[3947](#).

## Licensing Acts, England

[674](#), [1163](#).

## Lichchavi, tribe of ancient India

[130](#).

## Licinianus, Lucius Piso, Roman leader

[251](#), [251](#).

## Licinio-Sextian Laws

[226](#).

## Licinius, Roman emperor

[262](#), [262](#), [262](#), [262](#), [262](#).

## Licinius, C., Roman tribune

[226](#).

## Licosa, battle of

[409](#).

## Li Dazhao, writer

[2463](#), [2464](#), [2464](#), [2465](#), [2465](#), [2465](#), [2469](#).

## Lidice

[2021](#).

## Lie, Trygve, UN leader

[2646](#).

## Liebig, Justus von, chemist

[1042](#), [1043](#), [1151](#).

## Liebknecht, Karl, German revolutionary

[1971](#), [1973](#).

## Liebknecht, Wilhelm, German socialist

[1233](#).

## Liechtenstein, principality of

[1966](#), [2636](#), [2738](#), [2749](#).

Liège

[1053](#), [1172](#), [1739](#), [1789](#), [2821](#).

Liegnitz" ID="A000484, battle of  
[664](#).

Lien Viêt, popular front party  
[4253](#).

Liepāja, Latvia  
[3349](#).

Ligny, battle of  
[1033](#).

Ligor  
[338](#).

Ligue Populaire Africaine pour l'Indépendance, LPAI  
[4393](#).

Liguria  
[228](#), [233](#), [403](#), [408](#), [1017](#), [1068](#).

Li Hongzhang, Chinese leader  
[1417](#), [1417](#), [1417](#), [1418](#), [1419](#), [1419](#), [1419](#), [1420](#), [1422](#), [1424](#), [1430](#), [1430](#), [1431](#),  
[1454](#), [1457](#).

Li Hung-chang, Chinese diplomat  
[967](#).

Li-It  Convention, and Korea  
[1419](#).

Likasi, Congo  
[4434](#).

Likud, Israel  
[3858](#).

Lilic, Zoran, Yugoslavian leader  
[3179](#).

Lilienthal, Otto, aviation pioneer  
[990](#).

Li Lisan, Chinese leader  
[2465](#), [2470](#).

Liliuokalani, queen of Hawaii  
[1478](#).

Lille  
[659](#), [659](#), [1015](#), [1813](#); battles of, [1789](#), [1812](#).

Lilybaeum  
[230](#).

Lima  
[898](#), [909](#), [910](#), [911](#), [912](#), [912](#), [913](#), [1418](#), [1649](#), [1649](#), [1663](#), [1670](#), [1670](#), [1670](#), [2240](#),

[2259](#), [2599](#), [3555](#), [3557](#), [3557](#), [3562](#), [3563](#), [3566](#).  
Lima, Rodrigo de, Portuguese missionary in Africa  
[879](#).  
Limanova, battle of  
[1739](#), [1793](#).  
Liman von Sanders, Otto, German general  
[980](#).  
Limburg  
[454](#), [595](#), [595](#), [653](#), [1057](#), [1882](#).  
Limerick  
[425](#), [426](#), [1861](#), [1864](#); treaty of, [697](#).  
Limitation of Hours of Work Act, Canada  
[2231](#).  
limited liability  
[1034](#), [1156](#).  
Limited Nuclear Test Ban Treaty  
[2854](#), [3277](#).  
Limoges, sack of  
[513](#).  
Limousin  
[451](#), [451](#).  
Limpopo River  
[38](#), [364](#), [888](#), [890](#), [1546](#), [1549](#).  
Linares, José María, Latin American leader  
[1668](#).  
Linares Alcántara, Francisco, Latin American leader  
[1675](#).  
Lin Biao, Chinese leader  
[2475](#), [4143](#), [4151](#), [4156](#), [4156](#), [4156](#), [4156](#), [4158](#), [4160](#), [4161](#), [4161](#), [4161](#), [4164](#),  
[4169](#).  
Lincoln  
[248](#), [421](#); cathedral, [446](#).  
Lincoln, Abraham, U.S. president  
[1583](#), [1584](#), [1584](#), [1585](#), [1586](#), [1586](#), [1587](#), [1589](#); assassination of, [1590](#).  
Lincoln-Douglas debates  
[1583](#).  
Lincoln's Inn Chapel, London  
[594](#).  
Lindbergh, Charles A., aviation pioneer  
[991](#), [2195](#).  
Linde, Carl, developer of refrigerating devices

[986](#), [987](#).  
Lindi, battle of  
[1768](#).  
Lindisfarne  
[425](#).  
Lindo, Juan, Latin American leader  
[1686](#).  
Linear A  
[169](#).  
Linear B  
[169](#), [171](#).  
Line Islands  
[4284](#).  
Line of Demarcation  
[572](#), [572](#), [916](#).  
Lingayat sect  
[337](#), [3977](#).  
Lingga Archipelago  
[837](#), [837](#).  
Linggi River  
[837](#).  
Lingones  
[251](#).  
Linhares, José, Brazilian leader  
[3607](#).  
Lini, Walter, Vanuatu leader  
[4287](#).  
Liniers, Santiago de, Spanish colonial commander  
[1644](#).  
Linlithgow, marquess of, Victor, British leader  
[2443](#).  
Linnaeus, Carl, Swedish botanist  
[647](#), [761](#).  
Linsingen, Alexander von, German general  
[1740](#).  
Lintin Island  
[1415](#).  
Lintun  
[160](#), [160](#).  
Linz  
[660](#).

Lin Zexu, Chinese official

[1416](#).

Lin Zhao'en, Chinese philosopher

[851](#).

Linz Program, Austria

[1243](#).

Lion Gate

[171](#).

Lipara

[196](#).

Lipari Islands

[1948](#).

Li Peng, Chinese leader

[4166](#), [4167](#), [4170](#).

Lipit-Ishtar, king of Isin

[85](#).

Lippe-Biesterfeld, Bernhard of, prince-consort of Juliana of the Netherlands

[1897](#).

Lipponen, Paavo, Finnish leader

[3082](#), [3082](#).

Lircay, battle of

[1662](#).

Liris River

[227](#).

Li Ruzhen, writer

[1415](#).

Lisboa, Antônio Francisco, Brazilian artist

[918](#).

Lisbon, Portugal

[480](#), [528](#), [572](#), [603](#), [605](#), [605](#), [605](#), [606](#), [727](#), [728](#), [729](#), [732](#), [840](#), [914](#), [918](#), [918](#), [1064](#), [1065](#), [1208](#), [1208](#), [1209](#), [1548](#), [1656](#), [1656](#), [1934](#), [1935](#), [1935](#), [1937](#), [2711](#), [2890](#).

Lisbon, University of

[528](#).

Li Shuchang, Chinese envoy

[1425](#).

Li Shuxian, dissident

[4168](#).

Li Si, adviser

[140](#), [150](#), [153](#).

Li Sixun, painter

[370](#).

Lissouba, Pascal, Congolese leader  
[4447](#), [4448](#).

List, Friedrich, political economist  
[1036](#), [1072](#).

Lister, Joseph, surgeon  
[1152](#).

Litani River  
[3848](#).

literati purges, in Korea  
[855](#), [855](#), [856](#), [856](#).

literature

[83](#), [84](#), [87](#), [90](#), [90](#), [91](#), [92](#), [93](#), [95](#), [101](#), [104](#), [131](#), [133](#), [152](#), [153](#), [156](#), [156](#), [158](#), [173](#),  
[176](#), [186](#), [208](#), [229](#), [239](#), [246](#), [246](#), [260](#), [260](#), [757](#), [1896](#), [1921](#), [4320](#); China, [375](#), [851](#),  
[851](#), [854](#), [854](#), [854](#), [1415](#), [1416](#), [1416](#), [1425](#), [1425](#), [1425](#), [1425](#), [1425](#); Japan, [386](#), [386](#),  
[392](#), [859](#), [860](#), [861](#), [1454](#), [1471](#), [2520](#); Byzantium, [427](#); England, [444](#), [446](#), [513](#), [513](#),  
[594](#), [594](#), [594](#), [594](#), [594](#), [594](#); France, [452](#), [524](#), [600](#), [1060](#), [1903](#), [1903](#), [1903](#);  
Germany, [459](#), [616](#), [616](#); Scandinavia, [464](#), [761](#), [1247](#); Russia, [490](#), [1257](#), [1257](#), [1258](#),  
[1261](#); Spain, [525](#), [604](#), [604](#); Florence, [534](#), [536](#); Portugal, [605](#); Italy, [607](#), [735](#); Thirty  
Years' War, [624](#); Poland, [633](#), [782](#), [1267](#); Hungary, [636](#); 1600s–1700s, [645](#), [645](#), [646](#);  
Denmark, [768](#), [1077](#), [1252](#); Ottoman Empire, [795](#), [799](#), [801](#), [803](#), [805](#), [805](#), [806](#), [806](#),  
[807](#), [807](#), [807](#), [809](#), [810](#); Iran, [812](#), [813](#), [813](#), [816](#), [816](#), [1353](#); Morocco, [823](#); India,  
[834](#), [1394](#); Southeast Asia, [837](#); Korea, [855](#), [856](#), [856](#), [1429](#), [1429](#), [1436](#), [1436](#);  
Vietnam, [863](#), [863](#), [1474](#); Americas, [912](#); 1800–1914, [1037](#), [1037](#), [1146](#), [1146](#);  
Finland, [1080](#); Ireland, [1170](#), [1866](#), [1868](#), [1869](#); Bulgaria, [1304](#), [1308](#); Albania, [1326](#);  
Turkey, [1348](#); Philippines, [1481](#); U.S., [1563](#), [1566](#), [1575](#), [1582](#), [1600](#); Canada, [1625](#),  
[1625](#); Latin America, [1657](#); modern, [1816](#), [1839](#), [1839](#); paperback books, [1850](#);  
postwar Europe, [2702](#); magical realism, [3465](#), [3465](#); Africa, [4320](#), [4320](#), [4320](#), [4320](#).  
*See* [culture](#).

Lithuania

[482](#), [489](#), [544](#), [550](#), [550](#), [550](#), [550](#), [555](#), [555](#), [555](#), [557](#), [558](#), [558](#), [558](#), [558](#), [558](#), [559](#),  
[584](#), [629](#), [632](#), [632](#), [632](#), [632](#), [632](#), [632](#), [667](#), [667](#), [782](#), [1268](#), [1268](#), [1704](#), [1708](#), [1817](#),  
[1822](#), [1827](#), [1835](#), [2080](#), [2085](#), [2085](#), [2085](#), [2085](#), [2086](#), [2086](#), [2087](#), [2087](#), [2088](#),  
[2088](#), [2088](#), [2089](#), [2089](#), [2091](#), [2093](#), [2093](#), [2094](#), [2100](#), [2114](#), [2117](#), [2123](#), [2125](#),  
[2582](#), [2754](#), [2755](#), [2756](#), [3118](#), [3139](#), [3244](#), [3259](#), [3297](#), [3298](#), [3298](#), [3299](#), [3303](#),  
[3304](#), [3321](#), [3346](#), [3349](#), [3350](#), [3352](#), [3357](#); and Teutonic Knights, [460](#); union with  
Poland, [550](#); WWI, [1740](#), [1774](#), [1774](#); and Russia, [2084](#), [3353](#), [3353](#), [3353](#), [3354](#),  
[3354](#), [3354](#), [3354](#); declaration of independence, [2085](#); Great Depression, [2092](#);  
neutrality in WWII, [2094](#); occupation by Russia, [2095](#); independence, [3300](#), [3303](#),  
[3353](#); sovereignty, [3352](#); recognition of independence, [3354](#).

Lithuanian Democratic Labor Party  
[3353](#), [3355](#).

Little, Arthur D., chemical engineer  
[984](#).

Little America, Antarctica  
[998](#).

Little Big Horn, battle of the  
[1597](#).

Little Entente  
[1818](#), [1819](#), [1819](#), [1824](#), [1826](#), [1830](#), [1830](#), [1831](#), [1832](#), [1835](#), [1835](#), [2009](#), [2010](#),  
[2016](#), [2018](#), [2029](#).

Little Rock, Arkansas  
[3402](#).

Little Russia  
[482](#).

Little Steel Award, U.S.  
[2187](#), [2212](#).

Little Zab River  
[82](#), [86](#).

Litvinov, Maxim, Russian leader  
[1716](#), [1828](#), [2079](#).

Liu An, prince of Huainan  
[154](#).

Liu Bang, Chinese emperor  
[153](#), [153](#), [160](#).

Liu Bei, Chinese leader  
[156](#).

Liu Binyan, scholar  
[4166](#).

Liudolfingers  
[415](#).

Liu Fang, Chinese leader  
[367](#).

Liu Kunyi, Chinese leader  
[1424](#).

Liu Shaoqi, Chinese leader  
[2465](#), [4080](#), [4151](#), [4156](#), [4156](#), [4156](#), [4156](#), [4157](#).

Liu-Song dynasty  
[158](#).

Liutprand, Lombard king  
[408](#), [408](#), [473](#).

Liutprand of Cremona, historian  
[416](#).



Liu Xie, Chinese scholar  
[158](#).

Liu Yan, Chinese leader  
[370](#).

Liu Yiqing, Chinese author  
[158](#).

Liu Zhiji, historian  
[370](#).

Liuzhou  
[2485](#).

Liuzzo, Viola, civil rights activist  
[3411](#).

Live Aid concerts  
[2681](#), [4394](#), [4396](#).

Liverpool  
[961](#), [1159](#), [1159](#), [2774](#).

Liverpool, earl, Robert Jenkinson, British leader  
[1046](#), [1046](#).

Livia Drusilla, Roman empress  
[242](#), [243](#), [247](#).

Livingstone, David, explorer  
[1508](#), [1508](#), [1508](#), [1509](#), [1509](#).

Livingstonia  
[1547](#).

Livius Andronicus, Lucius, poet  
[223](#), [229](#).

Livius Salinator, Marcus, Roman leader  
[232](#).

Livonia  
[460](#), [460](#), [461](#), [620](#), [628](#), [629](#), [632](#), [633](#), [659](#).

Livonian Brothers of the Sword  
[458](#), [460](#), [460](#), [489](#), [489](#).

Livonian War  
[628](#), [629](#), [631](#), [632](#), [633](#).

Livorno  
[1944](#), [2618](#).

Livy, Roman historian  
[239](#).

Lixus  
[110](#).

Li Yuan, Chinese commander and emperor

[367](#), [367](#).  
Li Yuanhong, Chinese leader  
[1425](#), [1427](#), [2462](#), [2462](#).  
Li Zhi, Chinese philosopher  
[851](#).  
Li Zicheng, rebel leader in China  
[852](#), [852](#).  
Li Zongren, Chinese leader  
[2470](#), [2480](#), [4144](#).  
Lleras Camargo, Alberto, Colombian leader  
[3577](#), [3577](#).  
Lleras Restrepo, Carlos, Colombian leader  
[3577](#).  
Llewelyn, prince of Wales  
[446](#).  
Llosa, Mario Vargas, writer  
[3465](#).  
Lloyd, George  
[2356](#).  
Lloyd, Selwyn, British leader  
[2770](#), [2770](#), [2773](#).  
Lloyd, William F.  
[2235](#).  
Lloyd George, David, earl of Dwyfor  
[1135](#), [1163](#), [1755](#), [1757](#), [1763](#), [1771](#), [1780](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1839](#),  
[1839](#), [1839](#), [1841](#), [1863](#), [2321](#).  
Lloyd Steamship Company  
[1073](#).  
Loanda  
[1508](#).  
Loango  
[885](#), [886](#), [887](#).  
Lobachevskii, Nikolai, mathematician  
[1039](#).  
Lobanov-Yamagata Agreement  
[967](#), [1433](#), [1458](#).  
Lobengula, African leader  
[1547](#), [1548](#), [1553](#).  
Lobostiz, battle of  
[662](#).  
Local Government Act, Great Britain

[1846](#).  
Local Government Boards, England  
[1161](#).  
Locarno  
[625](#); treaties, [1698](#), [1725](#), [1824](#), [1833](#), [1833](#), [1981](#), [1990](#); powers, [1717](#); German-Czech treaty (1925), [1835](#).  
Lochleven Castle  
[588](#).  
Locke, Alain, writer  
[2191](#).  
Locke, John, English philosopher  
[645](#), [680](#), [761](#), [938](#).  
Lockerbie, Scotland  
[2696](#), [2756](#), [2834](#), [3781](#), [3785](#), [3949](#).  
Lockheed Martin, aircraft company  
[3900](#).  
Lockheed scandal  
[4241](#).  
Locri  
[168](#), [189](#), [193](#), [196](#), [205](#), [205](#), [564](#).  
Loda  
[1525](#).  
Lodge, Henry Cabot, U.S. diplomat  
[2959](#), [4198](#), [4271](#), [4271](#).  
Lodi  
[334](#), [537](#), [537](#), [538](#); treaty of, [538](#); battle of, [1009](#), [1009](#).  
Lodz, or Łódź  
[1268](#), [1269](#), [1269](#), [2126](#), [2621](#); battles of, [1739](#), [1792](#).  
Lofthus, Christian Jensen, Danish rebel  
[773](#).  
Logia Lautaro, Masonic lodge  
[1644](#), [1644](#).  
logical empiricism  
[1815](#).  
Loire River  
[403](#), [403](#), [407](#), [407](#), [412](#), [413](#), [413](#), [413](#), [418](#), [445](#), [445](#), [449](#), [449](#), [450](#), [451](#), [512](#), [522](#), [2877](#);  
chateaux, [600](#).  
Loisy, Alfred Firmin, French priest  
[1223](#).  
Lok Dal, B  
[3979](#).

Lok Sabha, India

[3971](#).

Lollards

[513](#), [514](#), [514](#), [514](#), [544](#), [586](#).

Lombard, Peter, bishop of Paris

[450](#), [469](#).

Lombard League

[456](#), [458](#), [458](#), [469](#), [469](#), [537](#).

Lombardo Toledano, Vicente, Mexican leader

[2298](#), [2298](#).

Lombards

[407](#), [407](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [410](#), [410](#), [410](#), [410](#), [411](#), [428](#), [430](#), [431](#), [432](#), [437](#), [438](#), [473](#); law, [408](#).

Lombardy

[412](#), [455](#), [456](#), [456](#), [458](#), [465](#), [466](#), [466](#), [468](#), [468](#), [469](#), [472](#), [472](#), [472](#), [537](#), [537](#), [537](#), [537](#), [538](#), [544](#), [607](#), [612](#), [658](#), [742](#), [742](#), [1009](#), [1066](#), [1066](#), [1067](#), [1073](#), [1092](#), [1092](#), [1092](#), [1093](#), [1211](#), [1211](#), [1211](#).

Lome

[4386](#).

Lonardi, Eduardo, Argentine leader

[3484](#), [3484](#), [3484](#).

London, England

[421](#), [422](#), [422](#), [444](#), [444](#), [444](#), [445](#), [445](#), [511](#), [512](#), [514](#), [515](#), [515](#), [548](#), [548](#), [548](#), [548](#), [549](#), [584](#), [589](#), [589](#), [592](#), [592](#), [593](#), [594](#), [673](#), [677](#), [677](#), [677](#), [682](#), [813](#), [959](#), [959](#), [972](#), [989](#), [1047](#), [1048](#), [1049](#), [1050](#), [1059](#), [1069](#), [1108](#), [1143](#), [1146](#), [1155](#), [1155](#), [1159](#), [1337](#), [1351](#), [1398](#), [1418](#), [1420](#), [1494](#), [1610](#), [1700](#), [1741](#), [1765](#), [1766](#), [1778](#), [1784](#), [1835](#), [1835](#), [1841](#), [1841](#), [1846](#), [1847](#), [1864](#), [2020](#), [2232](#), [2351](#), [2439](#), [2440](#), [2556](#), [2567](#), [2587](#), [2587](#), [2589](#), [2605](#), [2633](#), [2634](#), [2641](#), [2648](#), [2674](#), [2674](#), [2676](#), [2681](#), [2706](#), [2708](#), [2715](#), [2720](#), [2751](#), [2759](#), [2761](#), [2763](#), [2779](#), [2780](#), [2781](#), [2789](#), [2790](#), [2790](#), [2796](#), [2797](#), [2798](#), [2800](#), [2801](#), [2803](#), [2813](#), [2817](#), [2922](#), [2984](#), [3030](#), [3089](#), [3091](#), [3807](#), [3808](#), [3967](#), [4048](#), [4057](#), [4104](#), [4106](#), [4283](#), [4429](#), [4455](#), [4459](#); charter, [444](#); fire of 1666, [675](#); convention of 1841, [811](#), [1333](#); conference of 1871, [962](#), [1260](#); conference (1884), [963](#); naval conference of 1908, [978](#); treaty of 1913, [980](#), [1138](#), [1139](#), [1348](#); conference of 1830–1831, [1053](#), [1054](#), [1055](#), [1057](#); convention of 1861, [1100](#); conference of 1864, [1100](#); conference of 1867, [1103](#); treaty of 1867, [1103](#); financial conference of 1884, [1111](#); naval conference, [1132](#), [1698](#), [1719](#), [2198](#); peace conference of 1912–13, [1137](#), [1138](#), [1138](#); convention of 1884, [1162](#); treaty of 1827, [1275](#); protocol of 1829, [1277](#); conference of 1829, [1277](#); protocol of 1830, [1277](#); conference of 1913, [1326](#); convention of 1840, [1331](#); treaty of 1870, [1339](#); conference on Japan, [1442](#); conference of 1933, [1700](#); Olympics, [1706](#); conferences, [1710](#), [1711](#), [1713](#), [1722](#); naval agreement, [1725](#); declarations of, [1741](#), [1964](#), [1965](#); secret Treaty

of, [1746](#); treaties, [1749](#), [1771](#), [1941](#), [2136](#); conference on reparations, [1819](#), [1819](#); naval agreement (1936), [1833](#); air raids, [1854](#); and Belgium, [1892](#); and Netherlands, [1898](#), [1899](#); committee on Spain, [1929](#); and Czechoslovakia, [2021](#), [2021](#); and Poland, [2125](#), [3089](#); and Greece, [2158](#); Palestine Conference, [2393](#); pact of, [2495](#); Naval Treaty, [2510](#).

London, Ontario

[1629](#).

London, University of

[1048](#), [1159](#).

London Clean Air Act

[2768](#).

London Company, for Colonization in North America

[924](#), [924](#), [924](#), [926](#).

London Cooperative Society

[2761](#).

Londonderry

[696](#), [2780](#), [2781](#), [2781](#), [2781](#).

London Missionary Society, LMS

[878](#), [1476](#), [1546](#), [1549](#), [1550](#), [1561](#), [1561](#).

London Philharmonic Orchestra

[1848](#).

London Protocol

[1045](#), [1100](#).

London Statistical Society

[1040](#).

London Workingman's Association

[1048](#), [1049](#).

Long Beach

[2214](#).

Long Island

[932](#), [948](#), [2601](#).

Long March, China

[2475](#), [2476](#), [2476](#), [2481](#).

Longmen

[158](#).

Longowal, Sant, Punjab leader

[3978](#).

Long Parliament, England

[591](#), [673](#), [673](#), [674](#).

Longshan culture

[138](#), [138](#), [138](#).

Long Shang  
[153](#).

Longshanoid culture  
[39](#).

Long Tan, Vietnam  
[4303](#).

Longueville, duke of  
[709](#).

Long Walls, of Athens  
[191](#), [196](#), [198](#), [199](#).

Longwy, battle of  
[1789](#).

Lon Nol, Cambodian leader  
[4083](#), [4084](#), [4085](#), [4085](#), [4086](#), [4086](#), [4272](#), [4275](#).

Lönnrot, Elias, Finnish writer  
[1080](#).

Lonqueville, duchess of, Anne Geneviève  
[710](#).

Lookout Mountain, battle of  
[1588](#).

Loos, battle of  
[1791](#).

Lopadion, Ulubad  
[309](#).

Lopburi  
[330](#).

Lopes, Craveiro, Portuguese leader  
[4455](#).

Lopes, Francisco, Brazilian leader  
[3628](#).

Lopes, Isidoro, Brazilian leader  
[2270](#).

López, Alfonso, Colombian leader  
[2268](#).

López, Carlos Antonio, Latin American leader  
[1665](#), [1665](#), [1665](#), [1665](#), [1665](#).

López, Francisco Solano, Paraguayan leader  
[1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1667](#), [1677](#).

López, José Hilario, Latin American leader  
[1672](#).

López, Molás, Paraguayan leader

[3522](#).  
López Arellano, Osvaldo, Honduran leader  
[3694](#), [3694](#), [3694](#), [3694](#).  
López Contreras, Eleazar, Venezuelan leader  
[2269](#), [2269](#), [2269](#).  
López de la Romaña, Eduardo, Latin American leader  
[1670](#).  
López Michelsen, Alfonso, Colombian leader  
[3579](#).  
López Portillo, José, Mexican leader  
[3703](#), [3703](#), [3704](#), [3704](#), [3704](#).  
Lorraine, Percy  
[2360](#).  
Lord Dunmore's War  
[941](#).  
Lords Ordainers, England  
[512](#).  
Loredano, Venetian doge  
[538](#).  
Lorenzo the Magnificent  
*See* [Lorenzo de' \(the Magnificent\) ~Medici](#).  
Loris-Melikov, Mikhail, Russian official  
[1260](#), [1260](#), [1260](#).  
Lorne, marquess of, John Sutherland, governor-general of Canada  
[1634](#).  
Lorraine  
[411](#), [412](#), [413](#), [414](#), [414](#), [415](#), [415](#), [415](#), [415](#), [416](#), [416](#), [416](#), [416](#), [444](#), [450](#), [454](#), [455](#),  
[466](#), [505](#), [505](#), [513](#), [523](#), [524](#), [524](#), [651](#), [653](#), [656](#), [660](#), [660](#), [1188](#), [1234](#), [1738](#), [1738](#),  
[1789](#), [2993](#).  
Lorraine, duke of  
[648](#), [653](#), [657](#).  
Lorris, charter of  
[449](#).  
Losada, Diego de, Spanish explorer  
[897](#).  
Los Alamos Laboratory  
[3397](#).  
Los Angeles  
[904](#), [2680](#), [3413](#), [3415](#); Police Department, [3428](#), [3429](#); riots, [3429](#).  
Lost Generation  
[2191](#).

Lothair I, Holy Roman Emperor  
[411](#), [411](#), [411](#), [411](#).

Lothair I, Merovingian king  
[407](#).

Lothair II, Holy Roman emperor  
[455](#), [456](#), [456](#), [456](#), [468](#), [472](#).

Lothair II, Merovingian king  
[407](#), [414](#), [414](#), [414](#), [416](#).

Lothair II, king of Lorraine  
[409](#), [411](#).

Lotharingia  
[411](#), [466](#), [524](#), [595](#).

Lothian  
[424](#).

Lotus Buddhism  
[395](#).

Loubet, Émile, French leader  
[1187](#).

Loucheur-Rathenau reparations agreement  
[1819](#).

Lough Swilly  
[1877](#).

Louis, St.  
[522](#).

Louis, African king  
[1538](#).

Louis, count of Chardonnet  
[984](#).

Louis, duke of Orléans  
[522](#), [522](#).

Louis, king of Saxony  
[415](#).

Louis I, duke of Anjou  
[533](#).

Louis I, the Pious  
[411](#), [411](#), [411](#), [411](#), [411](#), [465](#).

Louis I, the Great  
[550](#), [555](#), [560](#), [560](#), [562](#); as king of Poland, [555](#), [555](#).

Louis I, king of Portugal  
*See* [Luis I, king of Portugal](#).

Louis I, son of Philip V and Maria Louisa of Savoy



[723](#), [723](#).  
Louis II, count of Flanders and Artois  
[595](#).  
Louis II, Holy Roman Emperor  
[409](#), [411](#).  
Louis II, king of Bohemia and Hungary  
[614](#), [616](#), [634](#), [634](#), [635](#), [635](#), [635](#), [635](#).  
Louis II, the Stammerer  
[413](#), [413](#).  
Louis II, the German  
[411](#), [411](#), [411](#), [411](#), [411](#), [413](#), [413](#), [415](#), [415](#).  
Louis II of Lorraine, cardinal  
[599](#).  
Louis III, duke of Anjou  
[533](#).  
Louis III, king of France  
[413](#).  
Louis III, the Child  
[415](#), [415](#).  
Louis IV, Holy Roman emperor  
[530](#), [540](#), [540](#), [541](#), [546](#).  
Louis IV, king of France  
[413](#), [414](#).  
Louis V, king of France  
[414](#).  
Louis VI, the Fat  
[449](#), [449](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 45

- Louis VII, the Young  
[444](#), [449](#), [449](#), [449](#), [449](#), [450](#), [505](#).
- Louis VIII, king of France  
[445](#), [450](#), [451](#), [451](#).
- Louis IX, St. Louis  
[322](#), [374](#), [445](#), [445](#), [450](#), [451](#), [451](#), [451](#), [451](#), [451](#), [451](#), [451](#), [451](#), [451](#), [452](#), [452](#), [453](#), [459](#), [459](#), [459](#), [479](#), [507](#), [507](#), [507](#), [598](#), [599](#); in the Crusades, [451](#), [452](#); canonization of, [452](#).
- Louis X, the Quarrelsome  
[520](#), [520](#), [520](#), [521](#).
- Louis XI, the Spider  
[515](#), [523](#), [523](#), [523](#), [523](#), [523](#), [523](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [524](#), [533](#), [537](#), [546](#), [597](#).
- Louis XII, king of France  
[537](#), [537](#), [597](#), [597](#), [597](#), [597](#), [597](#), [597](#), [607](#), [607](#), [607](#), [613](#).
- Louis XIII, king of France  
[590](#), [590](#), [599](#), [599](#).
- Louis XIV, king of France  
[577](#), [578](#), [600](#), [604](#), [640](#), [648](#), [649](#), [649](#), [649](#), [649](#), [649](#), [650](#), [650](#), [652](#), [653](#), [653](#), [656](#), [656](#), [657](#), [657](#), [659](#), [659](#), [659](#), [659](#), [659](#), [675](#), [704](#), [707](#), [707](#), [707](#), [707](#), [708](#), [711](#), [711](#), [712](#), [712](#), [713](#), [713](#), [713](#), [714](#), [714](#), [714](#), [714](#), [715](#), [715](#), [719](#), [720](#), [736](#), [736](#), [738](#), [738](#), [748](#), [748](#), [752](#), [752](#), [802](#), [939](#).
- Louis XV, king of France  
[660](#), [707](#), [707](#), [715](#), [715](#), [716](#), [716](#), [717](#), [723](#), [723](#), [780](#); as dauphin, [657](#), [657](#).
- Louis XVI, king of France  
[707](#), [1001](#), [1001](#), [1002](#), [1002](#), [1003](#), [1004](#), [1005](#), [1005](#), [1032](#).
- Louis XVII, titular king of France  
[1005](#), [1008](#).
- Louis XVIII, king of France  
[1032](#), [1033](#), [1033](#), [1058](#).
- Louisa Ulrika, queen of Sweden  
[763](#).

Louisburg  
[939](#).

Louis de Male, count of Flanders  
[521](#).

Louise Elizabeth of Orléans, wife of Louis of Spain  
[723](#).

Louise of Savoy, duchess of Angoulême  
[614](#).

Louisiana  
[64](#), [715](#), [940](#), [1567](#), [1585](#), [1588](#).

Louisiana Purchase  
[1563](#), [1567](#), [1574](#), [1574](#).

Louisiana Territory  
[666](#), [724](#), [906](#), [907](#), [907](#), [909](#), [922](#), [922](#), [954](#), [1017](#), [1568](#), [1568](#).

Louis-Napoleon  
*See* [Napoleon III, emperor of France](#).

Louis of Brandenburg  
[550](#).

Louis of Nevers, count of Flanders  
[520](#).

Louis of Orléans  
*See* [Louis XII, king of France](#).

Louis-Philippe, king of France  
[1055](#), [1060](#), [1061](#), [1061](#), [1063](#), [1081](#), [1081](#).

Louterell Psalter  
[513](#).

Louvain, University of  
[2568](#), [2822](#), [2822](#), [2822](#), [2823](#).

Louvanium, University of  
[4432](#).

Louvois, marquis de, François Michel Le Tellier, French leader  
[712](#).

Louvre, Paris  
[450](#).

Love Canal, New York  
[3427](#).

Lovek, Khmer  
[849](#).

Lovett, William, British labor leader  
[1049](#), [1049](#).

Low, Frederic Ferdinand, U.S. envoy

[1430](#).  
Low Countries  
[46](#), [239](#), [426](#), [511](#), [524](#), [584](#), [584](#), [595](#), [595](#), [1018](#), [1053](#), [1171](#), [1882](#).  
Lowe, Thaddeus, developer of compression ice machine  
[987](#).  
Lowell, Francis Cabot, U.S. industrialist  
[1572](#).  
Löwen  
[415](#).  
Lower, Richard, scientist  
[640](#).  
Lower Bavaria  
[459](#).  
Lower Burma  
[844](#), [845](#), [1402](#). *See* [Burma](#).  
Lower California  
*See* [Baja California](#).  
Lower Canada  
[1623](#), [1623](#), [1625](#), [1627](#), [1628](#); rebellion in, [1625](#), [1625](#), [1625](#), [1629](#). *See* [Canada](#).  
Lower Egypt  
[43](#), [89](#), [90](#), [91](#), [91](#), [91](#), [92](#), [92](#), [92](#), [92](#), [95](#), [1366](#).  
Lower Estates, Denmark  
[768](#).  
Lower Lusatia  
[544](#).  
Lower Mesopotamia  
[82](#), [83](#), [84](#), [84](#), [85](#), [86](#), [88](#).  
Lower Moesia  
[403](#).  
Lower Nubia  
[43](#).  
Lower Rhine, division of Holy Roman Empire  
[613](#), [620](#).  
Lower Saxony  
[613](#).  
Lower Zab River  
[86](#).  
Lowestoft  
[648](#), [1809](#).  
Lowicz, battle of  
[1739](#), [1792](#).

loyalists

[952](#).

Loyalists, Japan

[1448](#).

Loyalists, Spain

[1929](#), [1929](#), [1930](#), [1930](#), [1930](#), [1931](#), [1931](#), [1932](#), [1932](#), [2076](#).

Lozano Días, Julio, Honduran leader

[3693](#), [3694](#).

Lozano Gracia, Antonio, Mexican leader

[3710](#).

Lozi people

[1546](#), [1546](#).

Lozoraitis, Stasys, Lithuanian leader

[3356](#).

Lu

[141](#), [142](#), [152](#).

Lü, Chinese empress

[154](#).

Lualaba River

[363](#), [885](#), [1509](#).

Luanda

[363](#), [885](#), [885](#), [886](#), [886](#), [886](#), [886](#), [1538](#), [4432](#), [4436](#), [4436](#).

Luang Phibun Songgram, Siamese leader

[2452](#), [2452](#).

Luang Prabang

[1407](#), [1409](#), [1409](#), [1409](#), [1409](#), [2453](#), [2453](#), [4099](#).

Luang Pradit, Siamese leader

[2452](#).

Luba

[348](#), [351](#), [363](#), [363](#).

Lubachivsky, Miroslav, cardinal

[3381](#).

Luba Empire

[885](#), [887](#).

Lübeck

[456](#), [456](#), [460](#), [460](#), [461](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [548](#), [628](#), [1781](#); code of, [548](#); treaty of, [619](#), [620](#); congress, [1237](#).

Lubecki, Ksawery, Russian official in Poland

[1267](#).

Lublin

[1739](#), [1794](#), [3089](#), [3089](#), [3095](#); union of, [632](#).

Lubomirski, Jerzy, Polish leader  
[777](#).

Lubumbashi, Congo  
[4434](#), [4452](#).

Lü Buwei, adviser  
[140](#), [140](#).

Lubys, Bronislovas, Lithuanian leader  
[3355](#).

Luca  
[240](#).

Lucan, Roman poet  
[246](#), [249](#).

Lucania  
[205](#), [206](#), [220](#), [222](#), [227](#), [227](#), [231](#).

Lucanus, Marcus Annaeus  
*See* [Lucan, Roman poet](#).

Lucas García, Romeo, Guatemalan leader  
[3654](#), [3654](#).

Lucca  
[411](#), [469](#), [534](#), [534](#), [535](#), [1066](#).

Lucera  
[458](#).

Lucerne  
[546](#), [626](#), [748](#), [1070](#).

Lucilius, Caius, Roman satirist  
[229](#).

Lucinschi, Petru, Moldovan leader  
[3362](#).

Lucius, adopted son of Augustus  
[243](#), [243](#).

Lucius II, pope  
[468](#).

Lucknow, India  
[1396](#), [2437](#); pact, [2432](#), [2437](#).

Luçon, battle of  
[1005](#).

Lucretius, Titus Lucretius Carus  
[239](#).

Lucullus, Lucius Licinius  
[215](#), [216](#), [240](#), [240](#).

Lucy, primate ancestor of human beings

19.  
Ludd, Captain, folk hero  
1046.  
Luddites  
1046.  
Ludendorff, Erich von, German commander  
1739, 1739, 1739, 1740, 1754, 1754, 1757, 1780, 1781, 1781, 1781, 1781, 1812,  
1812, 1971, 1978.  
Lüderitz, Franz A. E., German colonizer  
963, 1111.  
Lüderitz Bay, German Southwest Africa  
1768.  
Ludlow Massacre, of striking workers  
1620.  
Ludmilla, St., mother of St. Wenceslaus  
483.  
Ludolf, duke of Swabia  
416.  
Ludwig, archduke of Austria  
1073.  
Ludwig, Carl, physiologist  
1044.  
Luebke, Heinrich, German leader  
2996, 3000, 3000.  
Lufthansa 747  
3007.  
Luftwaffe, German air force  
2587, 2621.  
Lugalbanda of Uruk  
84.  
Lugal-zagesi of Uruk  
84, 84.  
Lugano  
625, 1229.  
Lugard, Frederick Dealtry  
1511, 1519, 1519, 1521, 1536, 1536, 1536, 2554, 2558, 2558.  
Lugdunum  
255, 262, 264.  
Lugenda valley  
4464.  
Luis, brother of John III of Portugal

[605](#).  
Luis I, king of Portugal  
[1207](#), [1207](#).  
Luisa Amanda Espinosa Association of Nicaraguan Women, AMNLAE  
[3678](#).  
Luisa Fernanda, sister of Isabella II of Spain  
[1063](#).  
Luis António, Portuguese priest and writer  
[727](#).  
Luis de Vittoria, Tomás, Spanish composer  
[604](#).  
Lu Ji, Chinese scholar  
[158](#).  
Lu Jiuyuan, scholar  
[373](#).  
Lukanov, Andrei, Bulgarian leader  
[3241](#).  
Lukashenko, Aleksander, Belarusian leader  
[3317](#), [3318](#), [3319](#), [3319](#), [3320](#).  
Luke, gospel  
[259](#).  
Lukka  
[111](#).  
Luku  
*See* [Lycia](#).  
Lule, Yusufu, Ugandan leader  
[4429](#).  
Lulé Burgas, battle of  
[1137](#).  
Luli, king of Tyre  
[109](#).  
Luli, Ded Gjo, Albanian leader  
[1326](#).  
Lull, Ramón, scholar  
[479](#).  
Lu'lu, general, Hamdanid successor  
[317](#).  
Luluabourg  
[2570](#).  
Lumière, Louis and Auguste, motion picture pioneers  
[990](#), [1399](#), [1707](#).



Lumumba, Patrice, Congolese leader

[4449](#), [4434](#), [4449](#), [4449](#), [4449](#).

Luna, Tristán de, Spanish explorer

[905](#).

Luna 2

[2657](#).

Luna 16

[2667](#).

Lunacharski, Anatoli, Russian leader

[2064](#).

Lunas

[2641](#).

Lund

[653](#), [3067](#).

Lunda

[348](#), [351](#), [363](#), [363](#), [363](#), [886](#), [2568](#).

Lunda Empire

[885](#), [887](#), [887](#), [1538](#), [1538](#), [1539](#), [1539](#).

Lunda Norte

[4435](#), [4445](#).

Lunda Sul

[4435](#), [4445](#).

Lundazi

[1546](#).

Lund University

[761](#).

Lüneburg

[548](#).

Lunéville

[781](#), [1017](#).

Lunik II, Russian space capsule

[3273](#).

Luns, Joseph, Dutch leader

[4131](#).

Luo

[362](#), [4417](#), [4417](#).

Luo Guanzhong, Chinese writer

[851](#).

Luoyang

[138](#), [138](#), [138](#), [155](#), [156](#), [156](#), [156](#), [156](#), [156](#), [156](#), [157](#), [158](#), [158](#), [160](#), [160](#), [160](#), [160](#), [160](#), [160](#), [367](#), [367](#), [368](#), [369](#), [370](#), [370](#), [370](#), [370](#), [370](#), [4143](#).

Luo Zhenyu, scholar  
[2478](#).

Luparcos, battle of  
[508](#).

Lupescu, Magda, mistress of Charles I of Romania  
[2178](#), [2180](#).

Luque, Hernando de, Spanish explorer  
[898](#), [898](#).

Luria, Isaac, rabbi and mystic  
[797](#).

Luristan  
[795](#).

Lusaka, Zambia  
[2667](#), [2697](#), [4320](#), [4454](#), [4457](#), [4465](#), [4465](#); Peace Accord, [4444](#).

Lusatia  
[416](#), [417](#), [454](#), [486](#), [541](#), [613](#), [617](#), [617](#), [663](#).

Lushan  
[4151](#).

Lushio, Burma  
[4058](#), [4058](#).

Lüshun (Port Arthur)  
[968](#), [969](#), [969](#), [1423](#), [1423](#), [1424](#), [1435](#), [1436](#), [1462](#), [1463](#), [2486](#), [4146](#); battle of, [1420](#);  
siege of, [1462](#).

Lusinchi, Jaime, Venezuelan leader  
[3601](#), [3601](#).

Lusitania, ship  
[1741](#), [1741](#), [1796](#).

Lusitanians  
[228](#), [233](#), [233](#).

Lutf Ali Khan, Zand ruler of Iran  
[818](#).

Lutfi Pasha, grand vezir  
[794](#), [796](#).

Luther, Hans, German leader  
[1978](#), [1980](#), [1981](#).

Luther, Martin, religious reformer  
[401](#), [530](#), [580](#), [584](#), [586](#), [595](#), [609](#), [613](#), [613](#), [613](#), [613](#), [613](#), [614](#), [614](#), [614](#), [614](#), [615](#),  
[625](#).

Lutheranism  
[595](#), [609](#), [613](#), [614](#), [614](#), [614](#), [615](#), [615](#), [615](#), [617](#), [621](#), [628](#), [634](#), [635](#), [644](#), [712](#), [754](#),  
[761](#), [765](#), [768](#), [776](#), [780](#), [1014](#), [1144](#), [1701](#); in Sweden, [762](#), [3069](#); in Denmark, [1077](#).

Lutheran World Federation

[1701](#), [2674](#).

Luthufi, Abdullah, businessman

[4042](#).

Lutkowski, Karol, Polish leader

[3115](#).

Lutsk

[1794](#), [1802](#).

Lutter am Barenberge, battle of

[618](#).

Lutterworth

[514](#).

Lützen, battle of

[620](#), [1030](#).

Luwians

[103](#), [112](#), [112](#), [113](#).

Luwum, Janine, Ugandan archbishop

[4429](#).

Luxembourg

[524](#), [541](#), [595](#), [595](#), [648](#), [653](#), [719](#), [722](#), [759](#), [1056](#), [1057](#), [1102](#), [1102](#), [1103](#), [1103](#), [1174](#), [1887](#), [1893](#), [1896](#), [1900](#), [2700](#), [2706](#), [2707](#), [2708](#), [2708](#), [2710](#), [2711](#), [2711](#), [2714](#), [2718](#), [2719](#), [2719](#), [2748](#), [2752](#), [2756](#), [2818](#), [2825](#), [2833](#), [2835](#), [2835](#), [2836](#), [2885](#), [2910](#), [2951](#), [2993](#), [3039](#), [3082](#); WWI, [1141](#), [1789](#); and Belgium, [1884](#); WWII, [2585](#), [2620](#); European currency, [2836](#).

Luxembourg, duke of, François Henri de Montmorency-Bouteville, French general

[653](#), [654](#), [655](#).

Luxembourg Commission, France

[1081](#).

Luxemburg, Rosa, German socialist

[1144](#), [1237](#), [1269](#), [1971](#), [1973](#).

Luxemburg dynasty

[459](#), [540](#), [541](#), [560](#).

Luxeuil

[425](#).

Lu Xinyuan, Chinese scholar

[1425](#).

Luxor

[93](#), [2354](#), [3917](#).

Lu Xun, Zhou Shuren

[2464](#), [2478](#), [4147](#).

Luynes, duke of, Charles d'Albert, favorite of Louis XIII

[599](#).  
Lu You, poet  
[373](#).  
Luyt, Richard  
[3758](#).  
Luzon  
[867](#), [867](#), [1610](#).  
Luzzara, battle of  
[657](#).  
Luzzatti, Luigi, Italian leader  
[1225](#).  
Lvov, George  
[2064](#), [2064](#).  
Lyautey, Louis Hubert Gonzalve, French leader  
[1379](#), [2417](#), [2418](#).  
Ly Can Duc, king of Vietnam  
[398](#), [398](#).  
Lycée Faidherbe, Senegal  
[2555](#).  
Lyceum of Athens  
[186](#).  
Lycia  
[93](#), [111](#), [114](#), [213](#), [218](#), [218](#), [240](#), [245](#), [248](#), [288](#), [430](#).  
Ly Công Uan, Ly Thai-tô  
[398](#), [398](#).  
Lycurgus, Spartan lawgiver  
[178](#), [180](#), [180](#), [207](#).  
Lydenburg, republic of  
[1553](#).  
Lydia  
[88](#), [95](#), [111](#), [112](#), [114](#), [114](#), [114](#), [114](#), [114](#), [114](#), [115](#), [123](#), [124](#), [176](#), [177](#), [177](#), [177](#), [177](#),  
[209](#).  
Ly dynasty  
[397](#), [398](#), [398](#), [398](#), [399](#).  
Lyell, Charles, geologist  
[1043](#).  
Lygdamis, tyrant of Naxos  
[180](#).  
Lyly, John, English writer  
[594](#).  
Lynch, B., steamship captain

1331.  
Lynch, John, Irish leader  
2809, 2809, 2811.  
lynching  
1605.  
Lyng, John, Norwegian leader  
3057.  
Ly Nhat Ton, Ly Thanh-tông  
398, 398, 398.  
Lynn  
548, 548, 926.  
Lyon, Mary, U.S. educator  
1576.  
Lyons, Lyon  
255, 405, 459, 459, 469, 564, 584, 597, 712, 746, 983, 1003, 1005, 1005, 1061, 1178,  
1188, 1195, 2704, 2872, 2875.  
Lyons, Joseph A., Australian leader  
2545, 2545, 2548, 2549, 2549.  
Lyons, Richard, impeachment of  
513.  
Lyons–St. Étienne railroad  
989.  
Ly Phât Ma, Ly Thai-tông  
398, 398.  
Lys, battles of the  
1781, 1812.  
Lysander, Spartan commander  
198, 198, 199, 199.  
Lysenko, Trofim, scientist  
2068, 3263.  
lysergic acid diethylamide, LSD  
3413.  
Lysias, Greek orator  
186.  
Lysias, regent of Syria  
214.  
Lysimachus, king of Thrace  
209, 209, 209, 209, 209, 213, 213.  
Lytton, 1st earl, Edward Robert Bulwer, British leader  
1398, 1721, 1722, 2473; as viceroy of India, 1397; and League of Nations commission  
on Manchukuo, 1721.

## M

Ma

*See* [Cybele](#).

Maalik Sy, Senegambian ruler

[871](#), [871](#).

Ma'an

[2395](#).

Maanen, Dutch official

[1057](#).

Ma'arra

[806](#).

Maastricht

[2689](#), [2749](#), [2751](#), [2751](#), [2751](#), [2754](#), [2797](#), [2797](#), [3051](#), [3051](#), [3052](#).

Mabini, Apolinario, Philippine leader

[1482](#).

Mabo case, Australia

[4310](#).

Mabuchi, Kamo, scholar

[1437](#).

Macao

[281](#), [376](#), [575](#), [852](#), [953](#), [1420](#), [1429](#), [1437](#), [2479](#), [2697](#), [2921](#), [4177](#).

Macapagal, Diosdado, Phillipine leader

[4131](#).

MacArthur, Douglas, U.S. commander

[2625](#), [2627](#), [2630](#), [3394](#), [3394](#), [3395](#), [4194](#), [4223](#).

Macarthur, John, British adventurer

[1487](#), [1487](#), [1487](#).

Macarthy, Charles

[1514](#).

Macartney, 1st earl, George, British envoy in China

[853](#).

Macassar Straits

[2627](#).

Macaulay, Thomas Babington

[1395](#).

Macbeth, king of Scotland

[447](#), [447](#).

Maccabeus, Judas, Jewish leader

[214](#).

Maccabeus, Simon, Jewish leader

[214](#).

Maccabiah Games

[2390](#).

Maccanico, Antonio, Italian leader

[2949](#).

Macchi, Luis Angel Gonzalez

[3526](#).

MacDonald, Jacques Étienne, duke of Tarente

[1011](#), [1016](#), [1030](#).

Macdonald, John A.

[1630](#), [1631](#), [1634](#), [1635](#).

MacDonald, J. Ramsay, British prime minister

[1839](#), [1842](#), [1847](#), [1849](#), [2441](#).

MacDonald, MacIan, Highland chief

[680](#).

Macdonough, Thomas, U.S. naval commander

[1623](#).

Mac dynasty

[863](#), [863](#).

Macedo, Duarter Ribeiro de, Portuguese writer

[728](#).

Macedon

[191](#), [210](#), [211](#), [231](#).

Macedonia

[124](#), [129](#), [168](#), [174](#), [176](#), [179](#), [182](#), [182](#), [183](#), [187](#), [189](#), [190](#), [193](#), [197](#), [203](#), [203](#), [204](#),  
[205](#), [205](#), [206](#), [206](#), [206](#), [206](#), [207](#), [207](#), [207](#), [207](#), [208](#), [208](#), [209](#), [209](#), [209](#), [209](#), [209](#),  
[209](#), [209](#), [210](#), [210](#), [210](#), [211](#), [211](#), [211](#), [212](#), [214](#), [233](#), [233](#), [234](#), [234](#), [310](#), [310](#),  
[312](#), [406](#), [430](#), [432](#), [438](#), [440](#), [441](#), [496](#), [496](#), [497](#), [497](#), [497](#), [498](#), [500](#), [508](#), [508](#), [510](#),  
[510](#), [562](#), [562](#), [564](#), [564](#), [565](#), [565](#), [566](#), [566](#), [568](#), [569](#), [795](#), [804](#), [1106](#), [1108](#), [1108](#),  
[1122](#), [1127](#), [1127](#), [1132](#), [1132](#), [1136](#), [1136](#), [1136](#), [1138](#), [1139](#), [1271](#), [1287](#), [1299](#),  
[1299](#), [1304](#), [1304](#), [1304](#), [1304](#), [1306](#), [1307](#), [1318](#), [1318](#), [1321](#), [1321](#), [1321](#), [1321](#),  
[1322](#), [1322](#), [1322](#), [1322](#), [1323](#), [1323](#), [1324](#), [1324](#), [1344](#), [1346](#), [1347](#), [1348](#), [1366](#),  
[2127](#), [2154](#), [2160](#), [2162](#), [2163](#), [2167](#), [3176](#), [3177](#), [3178](#), [3178](#), [3181](#), [3195](#), [3196](#),  
[3197](#), [3197](#), [3230](#), [3370](#); and Ottoman Empire, [1299](#); revolt in, [1347](#); WWI, [1743](#),  
[1743](#), [1743](#), [1743](#), [1758](#), [1758](#), [1806](#); independence, [3195](#).

Macedonian, British ship

[1572](#).

Macedonian committees

[2160](#).

Macedonian dynasty

[276](#), [435](#), [438](#).  
Macedonian Wars  
[211](#), [211](#), [211](#), [211](#), [232](#), [233](#), [233](#), [234](#).  
Macedonis  
[209](#).  
Maceo, Antonio, Cuban leader  
[1693](#).  
MacGhilleathain, Iain  
See [John ~MacLean, poet](#).  
Mach, Ernst, physicist and philosopher  
[1144](#).  
Machado, Bernardino, Portuguese leader  
[1934](#), [1935](#), [1936](#).  
Machado, Gerardo, Cuban leader  
[2302](#), [2302](#), [2303](#).  
Machaín-Yrigoyen Treaty  
[1666](#).  
Machanidas, regent of Sparta  
[211](#).  
Machek, Vladko, Croat leader  
[2133](#).  
Machel, Samora, Mozambiquan leader  
[4459](#), [4462](#), [4462](#).  
Machiavelli, Niccolò, Italian leader and scholar  
[536](#), [607](#), [609](#), [609](#).  
Macias, Francisco, leader of Equatorial Guinea  
[4338](#).  
Macintosh, Charles, chemist and inventor  
[983](#).  
Mack, Austrian general  
[1011](#).  
Mackay, Andrew, Scottish general  
[679](#).  
Mackensen, August von, German commander  
[1739](#), [1740](#), [1743](#), [1792](#), [1792](#), [1806](#), [1806](#).  
Mackenzie, Alexander, Canadian leader and explorer  
[1623](#), [1631](#).  
Mackenzie, William Lyon, Canadian leader  
[1625](#), [1625](#), [1625](#), [1625](#), [1626](#).  
MacKinnon, William  
[1541](#).



MacLean, John, poet  
[1625](#).

MacMahon, Marie Edmé Maurice de, French marshal and leader  
[1187](#), [1190](#), [1190](#), [1191](#), [1191](#).

MacMichael, Harold  
[2392](#).

Macmillan, Harold, British leader  
[2723](#), [2758](#), [2770](#), [2770](#), [2770](#), [2772](#), [2774](#), [2774](#), [2995](#), [3273](#).

Mâcon  
[405](#), [466](#).

Macon's Bill No. 2, U.S.  
[1571](#).

MacPherson, John  
[836](#).

Macquarie, Lachlan, British colonial administrator  
[1487](#), [1488](#).

Macquarie River  
[1488](#).

Macrinus, Roman emperor  
[255](#).

Macrinus, Marcus Opellius (Severus)  
*See* [Macrinus, Roman emperor](#).

Macrobius, Ambrosius Theodosius, Latin scholar  
[260](#).

Mactan  
[574](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 46

Macta River, Battle of the

[1382](#).

Madagascar

[350](#), [366](#), [366](#), [713](#), [890](#), [892](#), [892](#), [892](#), [892](#), [953](#), [954](#), [1128](#), [1561](#), [1561](#), [2581](#), [2627](#), [3919](#), [4492](#), [4492](#), [4492](#), [4492](#); annexation by France, [1562](#); WWI, [2581](#); Great Depression, [2581](#); WWII, [4492](#); independence, [4492](#).

Madariaga, Salvador de, writer

[2895](#).

Madeira

[572](#), [605](#).

Madeira Islands

[281](#), [281](#), [2025](#).

Madero, Francisco I., Mexican leader

[1619](#), [1692](#), [2290](#), [2290](#), [2291](#), [2291](#), [2292](#), [2292](#).

Madhava, theologian

[337](#).

Madhyamika Sutra

[130](#).

Madikizela-Mandela, Winnie, wife of Nelson Mandela

[4487](#).

Madioen, Java

[4121](#).

Madison, James, U.S. president

[1565](#), [1570](#), [1571](#), [1571](#).

Madjapahit

[339](#), [339](#), [339](#), [339](#).

Madl, Ferenc, Hungarian leader

[3163](#).

Madras, India

[133](#), [326](#), [326](#), [327](#), [833](#), [834](#), [835](#), [835](#), [836](#), [1394](#), [1396](#), [1396](#), [1398](#), [1399](#), [1795](#),

[2437](#).  
Madrasa al-Nizamiyya, Baghdad  
[301](#).  
Madras Mahajana Sabha, Indian association  
[1398](#).  
Madras University High School, India  
[1394](#).  
Madrid  
[601](#), [602](#), [602](#), [607](#), [658](#), [719](#), [719](#), [720](#), [720](#), [724](#), [726](#), [728](#), [1027](#), [1028](#), [1062](#), [1199](#),  
[1204](#), [1376](#), [1418](#), [1928](#), [1929](#), [1929](#), [1929](#), [1930](#), [1930](#), [1932](#), [1932](#), [1932](#), [2076](#),  
[2679](#), [2894](#), [2899](#), [2903](#), [2924](#); treaty of, [602](#), [607](#), [731](#), [906](#), [916](#); Peace of, [614](#);  
conference of International Telecommunication Union, [1698](#); peace conference, [3783](#).  
Madrid, University of  
[1923](#).  
Madsen-Mygdal, Thomas, Danish leader  
[2040](#).  
Ma Duanlin, encyclopedist  
[373](#).  
Madura  
[326](#), [332](#), [332](#), [338](#), [4119](#).  
Madurai  
[326](#), [831](#).  
Maecenas, Caius, Roman leader  
[239](#).  
Maesa, Julia, mother of Elagabalus  
[255](#).  
Maesolia  
[133](#).  
Maastricht  
[595](#).  
Mafia, Sicilian criminal organization  
[1948](#), [2945](#), [2945](#), [2946](#), [2946](#), [2947](#).  
Mafra Palace, Lisbon  
[728](#).  
Maga, Hubert, Dahomean leader  
[4329](#).  
Magadha, Bihar  
[129](#), [129](#), [129](#), [131](#), [324](#).  
Magalat, rebellion of  
[867](#).  
Magalhaes, Fernao de

*See [Ferdinand ~Magellan, Portuguese explorer](#).*

Magaña, Alvaro, Salvadoran leader

[3669](#).

Magdalena River

[573](#), [897](#).

Magdeburg

[416](#), [620](#), [752](#), [2112](#).

Magdeburg law

[484](#), [487](#).

Magee, Paul “Dingus”, IRA gunman

[2813](#).

Magellan, Ferdinand, Portuguese explorer

[281](#), [574](#), [605](#), [865](#), [867](#).

Magendie, François, anatomist

[1042](#).

Magenta, battle of

[1211](#).

Maghrib

[321](#), [323](#), [323](#), [323](#), [353](#), [2421](#).

Maghrib Unity Party, Spanish Morocco

[3919](#).

Magi

[121](#), [123](#).

Magindanao

[867](#), [867](#), [867](#), [1480](#).

Maginot Line

[1824](#), [1913](#).

Magliore, Paul, Haitian leader

[3745](#), [3745](#), [3745](#).

Magna Carta

[445](#), [445](#), [446](#).

Magna Graecia

[184](#), [184](#), [184](#), [200](#), [222](#), [223](#), [227](#).

Magnentius, Magnus, pretender to the Roman throne

[262](#), [262](#).

Magnesia

[190](#), [214](#), [217](#).

Magnesia River

[114](#).

magnetic compass

[281](#).

magnetism

[638](#).

Magnitogors

[2072](#).

Magnus I Ladulos, king of Sweden

[463](#), [463](#).

Magnus II, Smek

[552](#), [552](#).

Magnus VII, king of Norway (and Sweden as Magnus II)

[553](#).

Magnussaon, Skuli, Icelandic leader

[774](#).

Magnusson, Jarl Birger, Swedish leader

[463](#), [463](#), [489](#).

Stephensen, Magnus, Icelandic publisher

[775](#).

Magón, Ricardo Flores, Mexican leader

[1692](#).

Mago of Carthage

[110](#).

Magoon, Charles, governor of Cuba

[1693](#).

Magsaysay, Ramon, Philippine leader

[4291](#), [4291](#), [4291](#), [4291](#).

Maguire Seven

[2812](#).

Magyan, Ladislus, explorer

[1508](#).

Magyars

[412](#), [412](#), [415](#), [415](#), [415](#), [415](#), [415](#), [415](#), [416](#), [416](#), [440](#), [440](#), [441](#), [465](#), [491](#), [561](#), [635](#), [757](#),  
[1073](#), [1074](#), [1239](#), [1239](#), [1244](#), [1246](#), [2127](#).

Mahabharata

[129](#).

Mahabhashya, Great Commentary

[129](#).

Mahadaji Sindhia, Maratha leader

[836](#).

Mahakutesvara

[326](#).

Mahan

[160](#), [161](#).

Mahanaman, Buddhaghosha of Magadha  
[134](#).

Mahaniddesa  
[134](#).

Maharashtra  
[133](#), [133](#), [326](#), [331](#), [332](#), [1397](#), [3977](#).

Mahasanghikas  
[129](#).

Maha Thammarcha, king of Siam  
[847](#).

Mahathir bin Mohamad, Malaysian leader  
[4047](#), [4113](#), [4114](#), [4114](#).

Mahavihara, Great Monastery  
[134](#).

Mahavira, Vardhamana, the Jina  
[129](#).

Mahayana (Great Vehicle) Buddhism  
[78](#), [130](#), [131](#), [340](#).

Mahdavi heresy  
[832](#).

Mahdi, Islamic redeemer  
[289](#), [292](#), [296](#), [832](#), [1524](#), [1524](#).

Mahdi Muhammad Ahmad ibn Abdallah  
[963](#), [1372](#), [1506](#), [1524](#).

Mahdists  
[1524](#), [1524](#), [1524](#), [1524](#), [1525](#), [1526](#), [1527](#), [1527](#).

Mahd-i Ulya, wife of Muhammad Shah  
[813](#).

Mahdiyya  
[322](#), [322](#).

Mahé  
[835](#).

Mahendravarman I, ruler of India  
[326](#).

Maheswaran, Kadirikaman Uma, rebel leader  
[4042](#).

Mahfouz, Naguib, writer  
[2684](#).

Mahiva, Mahiwa  
[1768](#), [2565](#).

Mahmud I, Ottoman sultan

[807](#), [807](#).  
Mahmud I, Begarha  
[334](#).  
Mahmud II, Ottoman sultan  
[811](#), [1328](#), [1328](#), [1328](#), [1331](#), [1331](#), [1331](#).  
Mahmud al-Barzinji, Kurdish sheik  
[2400](#).  
Mahmud Bey, ruler of Tunisia  
[1385](#), [1385](#), [1385](#).  
Nuqrashi, Mahmud Fahmi al-, Egyptian leader  
[2354](#), [2367](#), [3902](#).  
Mahmud Gavan, Indian leader  
[334](#).  
Mahmud ibn Ayad, Tunisian official  
[1387](#).  
Mahmudiyya Canal  
[1366](#), [1367](#).  
Mahmud of Ghazni, Ghaznavid leader  
[296](#), [300](#), [300](#), [325](#), [331](#), [334](#), [819](#).  
Mahmud Salman, Iraqi leader  
[2406](#).  
Mahmud Sami al-Barudi, Egyptian official  
[1372](#).  
Mahmud Shah, ruler of Afghanistan  
[1354](#), [1354](#), [1354](#).  
Mahmud Syah, Malacca sultan  
[837](#), [837](#).  
Mahmud Tarzi, journalist  
[1357](#).  
Mahuad Witt, Jamil, Ecuadorian leader  
[3572](#), [3572](#), [3573](#), [3574](#), [3574](#).  
Maidalchini, Olympia  
[736](#).  
Maid of Orléans  
*See* [Joan of Arc](#).  
Maikop  
[2595](#).  
Maiman, Theodore N., physicist  
[1734](#).  
Maimonides, Moses ben Maimon  
[283](#), [318](#), [319](#), [479](#).

Ma'in

[125](#), [126](#), [128](#), [128](#).

Mainassara, Ibrahim Bare, Niger leader

[4327](#), [4365](#).

Maine, French region

[597](#).

Maine, U.S. state

[1572](#), [1574](#), [1580](#), [1609](#), [1624](#), [1693](#), [2206](#).

Main River

[251](#), [402](#), [404](#), [405](#), [1102](#).

Maintenon, marquise de, Françoise d'Aubigné, wife of Louis XIV

[714](#).

Mainz

[252](#), [407](#), [455](#), [459](#), [505](#), [541](#), [620](#), [622](#), [643](#), [753](#), [1005](#), [1096](#), [1102](#).

Maipú, battle of

[1648](#).

Maison, Nicolas J., French commander

[1276](#).

Maisonneuve, Paul de, French explorer

[921](#).

Maistre, Joseph de, philosopher

[1035](#), [1035](#).

Maitraka

[325](#).

Maitraka dynasty

[325](#).

Maitreya

[158](#).

Maiwandwal, Muhammad Hashim, Afghan leader

[3832](#).

Majano, Adolfo, Salvadoran leader

[3666](#).

Majapahit

*See* [Madjapahit](#).

Maji Maji

[1506](#), [1534](#).

Majko, Pandeli, Albanian leader

[3206](#), [3206](#).

Majlis, Iran

[1352](#), [1352](#), [1352](#), [1352](#), [1352](#), [2338](#), [2339](#), [3814](#), [3815](#).

Majlis, Tunisia



[1389](#).  
Major, John, British leader  
[2758](#), [2795](#), [2796](#), [2797](#), [2797](#), [2797](#), [2799](#), [2800](#), [2813](#).  
Majorca  
[477](#), [601](#), [605](#), [1930](#).  
Majorian, Roman emperor in the west  
[269](#).  
Majorianus  
*See* [Majorian, Roman emperor in the west](#).  
Majuba Hill  
[1162](#), [1555](#).  
Makah Indians  
[33](#).  
Makallé, Italian fortress in Ethiopia  
[1222](#).  
Makape cult  
[2572](#).  
Makarezos, colonel, Greek leader  
[3223](#).  
Makarios III, archbishop and leader of Cyprus  
[3806](#), [3807](#), [3808](#), [3809](#), [3809](#), [3809](#), [3809](#), [3810](#).  
Makassar  
[837](#), [837](#), [840](#).  
Makerere  
[2566](#).  
Makerere University  
[4408](#).  
Makhkamov, Kakhar, Tajik leader  
[3372](#), [3373](#).  
Makino, Nobuaki  
[1784](#).  
Makram Ubayd, Egyptian leader  
[2354](#), [2369](#).  
Maktum, Sheik, ruler of Dubayy  
[3899](#).  
Makwar (Senaar) Dam, Egypt  
[2357](#).  
Malabar  
[337](#), [2435](#).  
Malacca  
[281](#), [282](#), [339](#), [339](#), [376](#), [575](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [838](#), [840](#), [841](#), [867](#), [1410](#),

1410, 1410, 1410, 1410, 1411, 1412; straits of Malacca, 338, 339.

Malaga  
1930.

Malagasy people  
1561, 1562.

Malagasy Republic  
*See* Madagascar.

Malaguetta coast  
358.

Malaita  
2530.

Malaiyur, Malay Peninsula  
336.

Malak Hifni Nasif, writer on women's issues  
2351.

Malamir, Bulgarian ruler  
440.

Malan, D. F., South African leader  
2579, 4470.

malaria  
1515.

Malary, Guy, Haitian leader  
3752.

Malater, Pal, Hungarian leader  
3149.

Malatesta, Enrico, Italian anarchist  
1225.

Malatya  
311.

Malaviya, Madan, educator  
2432.

Malawi  
2661, 2697, 4438, 4457, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4459, 4460, 4460, 4461, 4465; independence, 4410, 4459.

Malawi Congress Party, MCP  
4456, 4459.

Malaya  
132, 329, 339, 596, 837, 837, 837, 837, 837, 838, 839, 840, 840, 840, 841, 1410, 1411, 2211, 2455, 2521, 2550, 2637, 4096, 4104, 4104, 4104, 4105, 4105, 4106, 4106, 4106, 4106; insurrections in, 1411; between Wars, 2455, 2455; makeup, 2455, 2455; and Great Britain, 2455, 2455, 2636, 4104, 4104, 4104, 4105; Great

Depression, [2455](#); WWII, [2455](#), [2455](#), [2455](#), [2523](#), [2606](#), [2609](#), [2626](#), [2627](#);  
Federation of Malaya, [4104](#). *See* [Malay Peninsula](#).

Malay Alliance

[4111](#).

Malay (Malayan) Archipelago

[135](#), [329](#), [339](#), [1412](#).

Malay Associations

[2455](#).

Malay Peninsula

[329](#), [339](#), [339](#), [342](#), [837](#), [837](#), [2626](#).

Malay peoples

[135](#), [135](#), [136](#), [329](#), [339](#).

Malaysia

[294](#), [837](#), [840](#), [840](#), [3409](#), [3413](#), [4047](#), [4047](#), [4070](#), [4104](#), [4106](#), [4106](#), [4106](#), [4106](#), [4107](#), [4107](#), [4107](#), [4107](#), [4108](#), [4108](#), [4109](#), [4109](#), [4110](#), [4110](#), [4111](#), [4111](#), [4112](#), [4114](#), [4114](#), [4130](#), [4131](#), [4133](#), [4291](#), [4302](#), [4320](#); and Africa, [890](#); between Wars, [2453](#); Great Depression, [2453](#); and Great Britain, [2636](#), [4104](#), [4114](#); economy, [4047](#), [4113](#), [4113](#), [4113](#); makeup, [4104](#), [4104](#); Federation of, [4106](#).

Malay states

[339](#), [339](#).

Malay States

[1408](#), [1411](#), [1411](#), [1411](#), [1411](#), [4104](#).

Malchus, Carthaginian leader

[110](#), [185](#).

Malcolm II, king of Scotland

[424](#).

Malcolm X, Black Muslim leader

[2662](#), [3411](#), [3413](#).

Maldives

[2636](#), [3950](#), [4040](#), [4040](#), [4040](#), [4042](#), [4042](#), [4042](#), [4043](#), [4043](#), [4044](#); and Great Britain, [4040](#), [4040](#); independence, [4040](#); Republic, [4041](#).

Malenkov, G. M., Russian leader

[3267](#), [3269](#), [3271](#), [3278](#).

Malgal

[378](#).

Mali

[44](#), [281](#), [344](#), [351](#), [351](#), [353](#), [353](#), [353](#), [353](#), [355](#), [356](#), [356](#), [356](#), [357](#), [358](#), [359](#), [823](#), [870](#), [870](#), [1511](#), [4325](#), [4325](#), [4325](#), [4327](#), [4330](#), [4360](#), [4361](#), [4361](#); Federation, [4325](#), [4361](#), [4377](#), [4377](#); independence, [4361](#); student unrest, [4361](#), [4362](#), [4362](#). *See* [French Sudan](#).

Malietoa Talavou, king of Samoa

[1477](#).  
Malik, Jacob A., Russian leader  
[4195](#).  
Malika Safiya, Cairo mosque  
[800](#).  
Malik Danishmend, Danishmendid leader  
[301](#).  
Maliki, school of Islamic law  
[293](#), [293](#), [300](#), [321](#), [321](#), [322](#), [323](#).  
Malik ibn Anas, legal scholar  
[293](#).  
Malik Sarvar, ruler of India  
[333](#).  
Malik Shah, Seljuk ruler  
[301](#), [301](#), [501](#), [505](#), [507](#).  
Malindi  
[882](#), [1529](#).  
Malinke  
[353](#), [358](#), [870](#), [1510](#).  
Malinke River  
[1511](#).  
Malinov, Alexander, Bulgarian leader  
[1306](#), [2166](#).  
Malinovsky, Rodion Y., Russian leader  
[3271](#).  
Malkhed  
[327](#).  
Mallia  
[169](#), [207](#).  
Malloum, Félix, Chadian leader  
[4336](#).  
Malmaison, battle of  
[1801](#).  
Malmédy  
[1882](#); ceded to Belgium, [1784](#); battle of, [1789](#).  
Malmö  
[1075](#), [1097](#), [2036](#), [3051](#), [3053](#), [3069](#).  
malnutrition  
[1142](#).  
Malofeyev, Antoly, Belorussian leader  
[3315](#).

Malolos Constitution, Philippines

[1483](#).

Malory, Thomas

[516](#).

Malpighi, Marcello, Italian anatomist

[640](#), [640](#).

Malplaquet, battle of

[659](#).

Malraux, André, writer

[1903](#).

Malta

[296](#), [796](#), [827](#), [1010](#), [1018](#), [1032](#), [1032](#), [1389](#), [1393](#), [2636](#), [2736](#), [2756](#), [2967](#), [2967](#), [2967](#), [2967](#), [2968](#), [2968](#), [2969](#), [2969](#), [3139](#), [3244](#), [3259](#), [3350](#), [3357](#);  
monarchical state, [2967](#); Republic, [2968](#); neutrality, [2968](#).

Malta Labour Party

[2967](#).

Malthus, Thomas, English economist

[645](#), [645](#), [692](#), [1035](#), [1046](#), [1048](#).

Malthusianism

[4165](#).

Maluku

[837](#), [843](#), [843](#), [843](#), [843](#), [843](#).

Malvinas Islands

*See* [Falkland Islands](#).

Malvy, Louis Jean, French leader

[1901](#).

Malwa

[129](#), [129](#), [130](#), [131](#), [132](#), [132](#), [132](#), [133](#), [327](#), [332](#), [333](#), [333](#), [830](#), [831](#).

Malyan

*See* [Anshan](#).

Mamadou, Tandja, Niger leader

[4366](#).

Mamaea, Julia, sister of Julia Maesa

[255](#), [255](#).

Mamalla

[326](#).

Mamallapuram

[326](#).

Mamane, Oumarou, Niger leader

[4365](#), [4365](#).

Mambanos



[898](#), [898](#), [899](#).  
Mandalay  
[1402](#), [1402](#), [1403](#), [2627](#).  
Mandal Commission Report, India  
[3977](#).  
Mandalization  
[3977](#), [3983](#).  
Mandasor  
[324](#).  
mandate of heaven  
[138](#).  
mandates  
[1706](#), [1818](#).  
Mande Bory, leader of Mali  
[353](#).  
Mandela, Nelson R., South African leader  
[2686](#), [2689](#), [2694](#), [2694](#), [2696](#), [2963](#), [4320](#), [4410](#), [4414](#), [4414](#), [4470](#), [4471](#), [4477](#),  
[4477](#), [4481](#), [4482](#), [4483](#), [4486](#), [4487](#), [4487](#), [4488](#).  
Mandinka  
[4343](#).  
Mandor  
[325](#).  
Mandu  
[333](#), [830](#), [831](#).  
Mandu Ladino, rebel leader  
[916](#).  
Mane, Ansumane, Guinea-Bissau leader  
[4351](#), [4351](#), [4352](#).  
Manekshaw, Sam, Indian leader  
[3971](#), [4003](#).  
Manet, Edouard, artist  
[1146](#).  
Manetho, Egyptian historian  
[90](#), [91](#).  
Manfred, king of Two Sicilies  
[459](#), [459](#), [459](#), [459](#), [534](#).  
Mangal tribe, Afghanistan  
[2347](#).  
Mangin, Charles, French commander  
[1800](#).  
Mangope, Lucas, South African leader

[4483](#).  
Mangrai, king of Siam  
[342](#).  
Manhattan Island  
[596](#), [932](#); Dutch post at, [932](#).  
Mani, founder of Manichaeism  
[271](#), [272](#), [272](#).  
Maniakes, Georgios, Byzantine general  
[498](#), [498](#), [499](#), [499](#).  
Manichaeism  
[271](#), [272](#), [273](#), [279](#), [368](#), [401](#), [401](#).  
Manicheans  
[368](#), [369](#).  
Maʿnid, Lebanese family  
[798](#), [801](#), [805](#).  
manifest destiny  
[1577](#).  
Manigat, Leslie  
[3749](#).  
Manikka Vasagar, poet  
[326](#).  
Manila  
[867](#), [867](#), [867](#), [867](#), [867](#), [868](#), [906](#), [1480](#), [1480](#), [1482](#), [1609](#), [2536](#), [2627](#), [2683](#), [2959](#),  
[3413](#), [4131](#), [4264](#), [4289](#), [4289](#).  
Manila Bay  
[1482](#), [2627](#).  
Manila Conference  
[4268](#).  
Manila Pact  
*See* [Southeast Asia Treaty Organization \(SEATO\)](#).  
Manin, Daniele, Italian leader  
[1092](#), [1093](#), [1211](#).  
Manipur  
[1402](#), [3976](#).  
Manisa, Magnesia  
[306](#).  
Manishtushu, son of Sargon I (the Great)  
[84](#).  
Manitoba  
[1623](#), [2226](#), [2227](#), [3456](#).  
Manitoba Act, Canada



[1630](#).  
Manitski, Jaan, Estonian leader  
[3321](#).  
Maniu, Julius, Romanian leader  
[2174](#), [2178](#), [2179](#), [2180](#), [2180](#), [2180](#), [2183](#), [3246](#).  
Manjusri, bodhisattva  
[130](#), [852](#).  
Manley, Michael, Jamaican leader  
[3762](#), [3763](#).  
Manlius Torquatus, Titus, Roman dictator  
[226](#).  
Mann, Thomas, writer  
[1146](#), [1974](#).  
Mann-Elkins Act, U.S.  
[1614](#).  
Mannerheim, Karl Gustav  
[2053](#), [2053](#), [2059](#), [3071](#).  
Mannerheim Line  
[2583](#).  
Mannes, Leopold, developer of color film  
[990](#).  
Mannheim  
[622](#).  
Mannock, Edward, British pilot  
[1766](#).  
Mano Blanca, Guatemala  
[3652](#).  
Manoel (Manuel) I, the Great  
[605](#), [605](#), [605](#), [914](#).  
Manoel (Manuel) II, king of Portugal  
[605](#), [1208](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 47

- Manolov, Emmanuil, composer  
[1306.](#)
- Mano River Union  
[4355.](#)
- Man people  
[138.](#)
- Mansabdari system, of the Mughal Empire  
[832.](#)
- Bonsu, Mansa, Asante leader  
[1516.](#)
- Mansa Mahmud, Mali ruler  
[870.](#)
- Mansa Musa, king of Mali  
[351, 353, 357.](#)
- Mansa Musa II  
[353.](#)
- Mansard, François, French architect  
[643.](#)
- Mansfeld, Peter Ernst II, German general  
[590, 617, 618.](#)
- Mansfield, Katherine, writer  
[1839.](#)
- Mantegna, Andrea, Italian artist  
[607.](#)
- Manteuffel, Otto von, Prussian leader  
[1230.](#)
- Manthimba  
[888.](#)
- Mantineia  
[190, 197, 200, 202, 211.](#)



[2483](#), [2486](#), [2637](#), [2649](#), [2668](#), [2718](#), [4140](#), [4144](#), [4144](#), [4145](#), [4146](#), [4147](#), [4148](#),  
[4149](#), [4149](#), [4149](#), [4150](#), [4150](#), [4151](#), [4151](#), [4151](#), [4156](#), [4156](#), [4156](#), [4156](#), [4156](#),  
[4156](#), [4156](#), [4157](#), [4157](#), [4157](#), [4158](#), [4160](#), [4161](#), [4161](#), [4161](#), [4161](#), [4161](#), [4161](#),  
[4165](#), [4165](#), [4169](#).

Map, Walter, historian  
[444](#).

Mapai Party, Israel  
[3857](#), [3859](#).

Mapiripan  
[3590](#).

Mapuche Indians  
[570](#), [899](#), [899](#), [1663](#), [1663](#), [1663](#).

Mar, José de la  
[1670](#).

Mara, Ratu Sir Kamisese  
[4284](#), [4286](#).

maraboutism, Morocco  
[823](#), [1375](#).

Maracaibo  
[911](#).

Marad  
[85](#).

Maragha  
[305](#), [305](#).

Maranhão  
[915](#), [915](#), [915](#), [916](#), [916](#), [918](#), [1677](#).

Maranhão Company  
[918](#).

Marat, Jean Paul, French leader  
[1001](#).

Marathas  
[578](#), [833](#), [833](#), [834](#), [834](#), [834](#), [834](#), [834](#), [835](#), [835](#), [835](#), [835](#), [835](#), [835](#), [836](#), [1394](#), [1394](#).

Marathon  
[188](#).

Marathus  
[107](#).

Maratta  
[871](#).

Maravcik, Jozef, Slovakian leader  
[3138](#).

Maravi

[888](#), [889](#).  
Marbeau, F., French philanthropist  
[1061](#).  
Marble Bar, Australia  
[4309](#).  
Marbury v. Madison, U.S. Supreme Court decision  
[1567](#).  
Marcel, Etienne, Parisian leader  
[521](#), [521](#), [521](#).  
Marcel, Gabriel, philosopher  
[1815](#).  
Marcellae  
[432](#), [440](#).  
Marcellus, Marcus Claudius, Roman general  
[231](#), [231](#), [232](#), [232](#), [232](#).  
Marchand, Jean Baptiste, French diplomat  
[967](#), [1121](#), [1123](#), [1524](#), [1525](#), [1526](#), [1526](#).  
Marches, the  
[1211](#), [1212](#).  
Marchfeld, battle of the  
[485](#), [540](#).  
March First Movement, Korea  
[2489](#), [2489](#), [2489](#), [2499](#).  
March Laws, Hungary  
[1087](#), [1087](#).  
Marchlewski, Julian, socialist  
[1269](#).  
March on Rome, Fascist  
[1945](#).  
March on Washington  
[2187](#), [2210](#).  
March Patent, Denmark  
[1251](#).  
Marcian, Roman emperor in the East  
[266](#), [269](#).  
Marcomanni  
[252](#), [252](#), [254](#), [254](#).  
Marcomannia  
[254](#).  
Marcomannic War  
[254](#), [254](#), [255](#).

Marconi, Guglielmo, inventor  
[990](#), [1262](#), [1816](#), [1840](#), [1850](#).

Marco Polo Bridge Incident, near Beijing  
[2479](#), [2517](#).

Marcos, Ferdinand, Philippine leader  
[2644](#), [4289](#), [4291](#), [4291](#), [4291](#), [4291](#), [4292](#), [4292](#), [4292](#), [4292](#), [4292](#), [4292](#), [4292](#),  
[4292](#), [4293](#), [4293](#), [4293](#), [4293](#).

Marcos, Imelda, wife of Ferdinand Marcos  
[4293](#), [4293](#), [4293](#).

Marcus, Siegfried, inventor  
[990](#).

Marcus Aurelius, Roman emperor  
[246](#), [246](#), [253](#), [253](#), [254](#), [254](#), [254](#), [254](#), [254](#), [254](#), [254](#), [254](#), [255](#), [255](#), [259](#).

Mardam, Jamil, Syrian leader  
[2376](#).

Mardawij ibn Ziyar, Ziyarid leader  
[297](#), [298](#).

Mardin  
[307](#).

Mardonius, Persian general  
[187](#), [189](#), [189](#).

Marduk  
[83](#), [85](#), [88](#).

Marduk-apal-iddina  
*See* [Merodach-Baladan II, king of Babylon and the Chaldeans](#).

Marduk-kabit-ahheshu dynasty  
[86](#).

Marduk-nadin-ahhe, king of Babylon  
[86](#).

Mardus  
[88](#).

Mare, Peter de la, English leader  
[513](#).

Mareinwerder  
[1974](#).

Marengo, battle of  
[746](#), [1016](#).

Maresuke, Nogi, Japanese commander  
[1462](#).

Mareth Line  
[2615](#).

Marey, E. J., motion picture pioneer  
[990](#).

Margai, Milton, Sierra Leonean leader  
[4382](#).

Margaret, countess of Salisbury  
[587](#).

Margaret, daughter of Charles II of Naples  
[533](#).

Margaret, Maid of Norway  
[447](#).

Margaret, queen of Denmark, Norway, and Sweden  
[551](#), [551](#), [552](#), [553](#), [553](#), [553](#), [554](#), [554](#), [554](#).

Margaret, Tudor  
[585](#).

Margaret, saint  
[447](#).

Margaret of Austria  
[614](#).

Margaret of Flanders, wife of Philip, duke of Burgundy  
[521](#), [595](#).

Margaret of Parma, ruler of the Netherlands  
[595](#), [595](#).

Margaret of Provence, wife of Louis IX of France  
[451](#), [479](#).

Margaret of Valois, wife of Henry IV of France  
[598](#).

Margaret of York, wife of Charles the Bold  
[524](#).

Margarita Island  
[572](#).

Margary, Augustus, British interpreter  
[1418](#).

Margrethe II, queen of Denmark  
[3047](#).

Margus River  
[258](#).

Mari  
[84](#), [84](#), [85](#), [85](#), [100](#), [101](#), [102](#), [102](#), [102](#), [102](#), [102](#).

Maria, daughter of Louis I of Hungary and Poland  
[555](#).

Maria, daughter of Stephen V of Hungary

[560](#).  
Maria, wife of Charles VII of France  
[533](#).  
Maria, wife of Honorius  
[265](#).  
Maria I, queen of Portugal  
[727](#), [730](#), [731](#), [917](#).  
Maria II, queen of Portugal  
[1064](#), [1064](#), [1064](#), [1064](#).  
Maria Anna, regent and wife of Joseph I  
[730](#).  
Maria Carolina, wife of Ferdinand I of Naples  
[741](#).  
Maria Christina, mother of Isabella II  
[1062](#), [1062](#).  
Maria da Gloria  
*See* [Maria II, queen of Portugal](#).  
Maria Galante  
[940](#).  
Maria Louisa of Bourbon-Parma, duchess of Lucca  
[1066](#).  
Maria Louisa of Parma, empress of France  
[1066](#).  
Maria Louisa of Savoy, wife of Philip V of Spain  
[723](#).  
Mariam, Mengistu Haile, Ethiopian leader  
[2637](#), [4395](#), [4396](#).  
Mariana, Juan de, Spanish historian  
[604](#).  
Mariana de Jesús, Saint  
[912](#).  
Mariana Islands (Ladrones)  
[1478](#), [1768](#), [2500](#), [2530](#), [2530](#), [2630](#), [2630](#), [4283](#).  
Mariana of Austria, mother of Charles II of Spain  
[718](#), [719](#).  
Marian Fathers, religious order  
[778](#).  
Marianhill Abbey  
[1547](#).  
Maria of Anjou, queen of Hungary  
[560](#).



Maria of Antioch, wife of Manuel I Comnenus  
[502](#), [503](#).

Mariátegui, José Carlos, Peruvian Marxist  
[2260](#), [2260](#), [2260](#).

Maria Teresa, wife of Louis XIV  
[604](#), [648](#).

Maria Theresa, Holy Roman empress  
[578](#), [659](#), [660](#), [660](#), [662](#), [662](#), [704](#), [741](#), [742](#), [743](#), [745](#), [757](#), [758](#), [758](#), [758](#), [758](#), [758](#), [758](#), [758](#), [759](#).

Marib  
[128](#).

Marie, queen of Romania  
[1318](#).

Marie, André, French leader  
[2842](#).

Marie de France, poet  
[444](#).

Mariel boatlift  
[3722](#), [3725](#).

Marie Louise, archduchess of Austria and wife of Napoleon  
[1021](#), [1031](#).

Marienburg  
[460](#), [460](#), [1739](#).

Marienwerder, fortress  
[458](#), [460](#), [550](#), [781](#).

Marignano, battle of  
[597](#), [607](#), [625](#).

marijuana  
[3413](#).

Mariner  
[2641](#).

Marines, U.S.  
[1430](#), [1619](#), [1697](#).

Maring, Hendricus Sneevliet  
[2465](#), [2465](#), [2465](#).

Marinid dynasty  
[322](#), [322](#), [323](#), [323](#), [323](#).

Marion, Francis, American commander  
[951](#), [951](#).

Mariotte, Edmé, scientist  
[641](#).

Maritain, Jacques, philosopher  
[1815](#).

Maritime Province, China  
[1417](#).

Maritime Province, Russia  
[2488](#).

Maritime Provinces, Canada  
[1630](#), [1632](#).

Maritza (Maritsa) River  
[562](#), [1139](#), [1139](#), [1743](#), [1750](#).

Marius, Gaius, Roman consul  
[235](#), [235](#), [235](#), [235](#), [236](#), [236](#), [237](#), [237](#).

Marj Dabiq, battle of  
[320](#), [792](#).

Marj Rahit  
[289](#).

Mark, Brandenburg county  
[754](#).

Mark, gospel  
[259](#).

Marketing Act, South Africa  
[2580](#).

Markham, Albert H., polar explorer  
[996](#).

Marko, Bela, writer  
[3258](#).

Marlborough, 1st duke of, John Churchill, English commander  
[657](#), [657](#), [658](#), [659](#).

Marlowe, Christopher, playwright  
[594](#).

Mármol, José, writer  
[1657](#).

Marmont, Auguste, duke of Ragusa  
[1028](#).

Marmousets  
[522](#).

Marne River  
[1738](#), [1738](#), [1781](#), [1781](#), [1781](#), [1789](#), [1812](#), [1812](#).

Marneulskiy  
[3308](#).

Marnix, Philip, leader of Dutch insurrection

[595](#).  
Ma Rong, Chinese scholar  
[156](#).  
Maronites, Syrian Christians  
[802](#), [805](#), [807](#), [808](#), [1333](#), [1335](#), [2379](#), [2382](#), [2383](#).  
Maroons  
[906](#).  
Marozia, daughter of Theophylact  
[465](#), [465](#), [465](#).  
Marquesas Islands  
[52](#), [864](#), [864](#), [865](#), [1476](#), [1476](#).  
Marquette, Jacques, French explorer  
[921](#).  
Márquez, Puente de  
[1658](#).  
Márquez, José Ignacio de, Latin American leader  
[1672](#).  
Marquez, Juan, Spanish political philosopher  
[604](#).  
Marr, William, writer  
[1235](#).  
Marrakah  
[476](#).  
Marrakesh  
[321](#), [322](#), [322](#), [822](#), [822](#), [823](#), [823](#), [1378](#).  
Marranos  
[525](#).  
marriage  
[469](#), [563](#), [563](#), [3880](#), [4145](#); Islam, [286](#); early Christianity, [401](#); Western Europe, [511](#);  
France, [1018](#); divorce, [1018](#), [1157](#), [1193](#), [1841](#), [1851](#), [1868](#), [1878](#), [2068](#), [2320](#), [2343](#),  
[2701](#), [2811](#), [2836](#), [2899](#), [2917](#), [2940](#), [3047](#), [3065](#), [3154](#), [3224](#), [3618](#); Portugal, [1207](#);  
Italy, [1211](#), [2933](#); U.S., [2214](#); polygamy, [2327](#), [2347](#); civil, [2328](#); China, [2464](#), [2470](#),  
[4164](#); divorce and childcare, [2702](#); same-sex, [2834](#), [3050](#), [3050](#), [3439](#), [3441](#), [3460](#);  
Switzerland, [2975](#); West Germany, [2994](#); Sweden, [3065](#); Israel, [3858](#); Iraq, [3880](#). *See*  
[women](#).  
Marriage of Mercury and Philosophy  
[260](#).  
Married Women's Property Act, England  
[1159](#).  
Marroquín, José Manuel, Latin American leader  
[1673](#), [1674](#).

Marrucini  
[222](#).

Mars  
[220](#), [1148](#).

Marsa al-Kabir  
[323](#).

Marsaglia, battle of  
[654](#).

Marsala  
[1212](#).

Marsa Matruh  
[1750](#), [2612](#).

Marsden, Samuel, British missionary  
[1500](#).

Marseilles, Marssalia  
[110](#), [177](#), [507](#), [602](#), [715](#), [813](#), [1006](#), [1068](#), [1188](#), [1387](#), [2134](#), [2619](#).

Marsh, archbishop of Dublin  
[699](#).

Marshal, William, 1st earl of Pembroke  
[445](#), [448](#).

Marshall, Donald, conviction overturned  
[3456](#).

Marshall, George, U.S. leader  
[2706](#), [3391](#), [3393](#).

Marshall, John, U.S. leader  
[1565](#), [1566](#), [1567](#), [1574](#).

Marshall, Thurgood, U.S. jurist  
[3414](#), [3417](#).

Marshall Field's, Chicago  
[1589](#).

Marshall Islands  
[864](#), [1477](#), [1477](#), [1768](#), [2500](#), [2530](#), [2533](#), [2630](#), [3398](#), [4283](#), [4283](#), [4284](#), [4287](#).

Marshall Plan  
[2637](#), [2640](#), [2647](#), [2700](#), [2700](#), [2706](#), [2710](#), [2761](#), [2763](#), [2890](#), [2927](#), [2987](#), [3092](#),  
[3122](#), [3262](#), [3391](#), [3392](#).

Marsh brothers, developers of chilled plow  
[987](#).

Marsi  
[222](#).

Marsiglio of Padua, scholar  
[531](#), [540](#).

Marston Moor, battle of  
[592](#).

Martaban  
[844](#), [844](#), [844](#), [846](#), [1402](#).

Martel, Damien de, French leader  
[2376](#).

Martens, Wilfried, Belgian leader  
[2823](#).

Martí, Agustín Farabundo, El Salvadorian Communist  
[2280](#), [2281](#).

Martí, José, Cuban leader  
[1693](#).

Martial, Marcus Valerius Martialis  
[246](#).

Martian Emperor  
*See* [Wudi, Chinese emperor](#).

Martianus Capella, Latin scholar  
[260](#), [408](#).

Martin I, king of Aragon  
[526](#), [526](#).

Martin I, pope  
[408](#).

Martin IV, pope  
[452](#).

Martin V, pope  
[531](#), [531](#).

Martin, Paul, Canadian leader  
[3458](#).

Martin, W. A. P., missionary in China  
[1417](#).

Martin brothers, developers of open-hearth process of steelmaking  
[984](#).

Martín de Porres, Saint  
[912](#).

Martin du Gard, Roger, writer  
[1913](#).

Martine, Simone, artist  
[533](#).

Martines, Lauro, historian  
[536](#).

Martinet, Jean, French soldier

[712](#).  
Martínez, Maximiliano Hernández, El Salvadorian leader  
[2280](#), [2281](#).  
Martínez, Tomás, Latin American leader  
[1683](#).  
Martínez, Vicente, Guatemalan leader  
[2274](#).  
Martínez de Rozas, Juan, Latin American leader  
[1648](#).  
Martinique  
[648](#), [940](#), [940](#).  
Martinitz, Jaroslav, governor of Prague  
[617](#).  
Martino, Gaetano, Italian leader  
[2717](#).  
Martin of Tours, St., monastic leader  
[268](#), [401](#).  
Martinuzzi, George, cardinal  
[635](#).  
Martyropolis  
[275](#).  
Ma‘ruf al-Rusafi, poet  
[2407](#).  
Marwan I, Umayyad caliph  
[290](#).  
Marwan II, Umayyad caliph  
[291](#), [291](#).  
Marwanid dynasty  
[290](#), [300](#).  
Marwar  
[834](#).  
Marx, Karl, political philosopher  
[959](#), [1035](#), [1050](#), [1095](#), [1143](#), [1143](#), [1143](#), [1144](#), [1144](#), [1424](#), [1703](#).  
Marx, Wilhelm, German leader  
[1980](#), [1980](#).  
Marxism  
[1143](#), [1143](#), [1143](#), [1703](#), [2201](#), [2644](#), [3301](#); in Italy, [1220](#); in Germany, [1234](#); in  
Russia, [1262](#); and historiography, [1415](#); Latin America, [2260](#); Mexico, [2297](#), [3701](#);  
Middle East, [2344](#); China, [2464](#); Japan, [2520](#); Portugal, [2919](#); and genetics, [3263](#);  
Africa, [4324](#).  
Marxist Reconstructed Communist Party, Italy

[2950](#).  
Marxist Research Society, China  
[2463](#).  
Mary, duchess of Suffolk  
[587](#).  
Mary, queen of Scots  
[588](#), [588](#), [588](#), [588](#), [589](#), [598](#), [603](#).  
Mary, wife of Louis II of Hungary  
[635](#).  
Mary I, the Catholic  
[585](#), [587](#), [587](#), [587](#), [587](#), [588](#), [589](#), [602](#).  
Mary II, queen of England  
[668](#), [676](#), [678](#), [678](#).  
Mar Yabalaha, patriarch  
[375](#).  
Maryland  
[929](#), [929](#), [930](#), [935](#), [937](#), [937](#), [937](#), [937](#), [940](#), [940](#), [952](#), [1612](#), [3415](#), [3424](#), [3437](#), [3876](#);  
in the Civil War, [1587](#).  
Mary McDowell, U.S. reformer  
[1613](#).  
Mary of Burgundy, daughter of Charles the Bold  
[524](#), [542](#), [595](#).  
Mary of France, wife of Louis XII of France  
[597](#).  
Mary of Portugal, wife of Philip II of Spain  
[602](#).  
Mary Stuart  
*See* [Mary, queen of Scots](#).  
Mary Tudor  
*See* [Mary of France, wife of Louis XII of France](#).  
Masaccio, artist  
[536](#).  
Masai people  
[38](#), [1533](#).  
Masamune, Date, Japanese daimyo  
[859](#).  
Masan  
[1435](#).  
Masaniello, Tommaso Aniello, leader of Neapolitan revolt  
[612](#).  
Masaryk, Thomas Garrigue, Czech leader

[2013](#), [2014](#), [2015](#), [2017](#), [2017](#), [2019](#), [2020](#).  
Masaryky, Jan, Czech leader  
[3123](#).  
Masatake, Terauchi, Japanese leader  
[1436](#), [2463](#), [2488](#), [2488](#), [2488](#), [2489](#), [2496](#), [2498](#).  
Masatoshi, Hotta, Japanese official  
[860](#), [860](#).  
Masayoshi, Matsukata  
[1456](#), [1458](#).  
Maseru, Lesotho  
[4473](#).  
Mashhad  
[307](#), [813](#), [816](#), [817](#), [817](#).  
Mashonaland  
[364](#), [1548](#).  
Masina  
[1506](#), [1510](#), [1510](#), [1510](#).  
Masire, Quett, Botswanan leader  
[4458](#), [4458](#).  
Masire, Ketumile  
[4453](#).  
Masjid-i Shah, Tehran  
[1349](#).  
Maskhadou, Aslan, Chechen leader  
[3368](#).  
Mason and Dixon Line, between Maryland and Pennsylvania  
[935](#).  
Masovia  
[486](#).  
Massachusetts, U.S. state  
[926](#), [933](#), [933](#), [933](#), [934](#), [940](#), [940](#), [941](#), [942](#), [943](#), [943](#), [944](#), [952](#), [985](#), [1594](#), [1619](#),  
[2197](#); dialect, [933](#).  
Massachusetts Bay Colony  
[926](#), [926](#), [927](#), [927](#), [933](#), [933](#), [933](#).  
Massachusetts Government Act, England  
[944](#).  
Massacre of Glencoe  
[680](#).  
Massacre of St. Bartholomew  
[598](#).  
Massalia, Marseilles



[177](#), [185](#).  
Massambe-Débat, Alphonse, Congolese leader  
[4446](#), [4446](#).  
Massasoit, chief of the Wampanoags  
[933](#).  
Massassi people  
[871](#).  
Massawa, Red Sea port  
[795](#), [879](#), [880](#), [1369](#), [1523](#).  
Massays, Quentin, Dutch artist  
[596](#).  
Masséna, André, French commander  
[1011](#), [1028](#).  
Massera, Emilio, Argentine leader  
[3496](#).  
Massey, Vincent, Canadian diplomat and leader  
[2224](#), [3445](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 48

- Massey, William F., New Zealand leader  
[1505](#).
- Massilia, Marseilles  
[110](#).
- Azeglio, Massimo d', Italian leader  
[1093](#), [1210](#), [1211](#).
- Massinissa, king of Numidia  
[232](#), [232](#), [234](#).
- Massoud, Ahmed Shah, Afghan leader  
[3837](#).
- Massoundi, Tradjidine Ben Said, Comoros leader  
[4410](#), [4411](#), [4416](#), [4416](#).
- Massowa  
[1219](#).
- mass production  
[986](#); and interchangeable parts, [985](#), [985](#).
- Massu, Jacques, French leader  
[2850](#), [3926](#), [3927](#).
- Master and Servant Act, England  
[1160](#).
- Master Sun  
*See* [Sun Wu, Chinese philosopher](#).
- Masts, battle of the  
[288](#).
- Mas'ud III, leader of Rum  
[301](#).
- Masuria, battle of  
[1794](#).
- Masurian Lakes, battle of the  
[1739](#), [1792](#).

Matabeleland

[889](#), [1546](#), [4467](#).

Matadi, Congo

[2571](#).

Matador missile

[4149](#).

Mataka, African leader

[1548](#).

Mataram

[339](#), [837](#).

Mateos, Adolfo López, Mexican leader

[3701](#), [3702](#).

materialism

[1143](#).

mathematics

[83](#), [131](#), [156](#), [302](#), [469](#), [570](#), [637](#), [638](#), [638](#), [639](#), [639](#), [639](#), [639](#), [639](#), [639](#), [639](#), [640](#), [641](#), [641](#), [642](#), [642](#), [1038](#), [1038](#), [1038](#), [1039](#), [1039](#), [1039](#), [1039](#), [1039](#), [1039](#), [1039](#), [1039](#), [1040](#), [1040](#), [1040](#), [1147](#), [1147](#), [1147](#), [1148](#), [1148](#), [1148](#), [1149](#), [1149](#), [1149](#), [1150](#), [1729](#), [1730](#), [1730](#), [1730](#).

Mather, Cotton, clergyman

[934](#).

Mathura

[129](#), [129](#), [129](#), [130](#), [130](#), [325](#).

Matiel, king of Arpad

[106](#).

Matignon Accord

[4285](#).

Matignon Agreements

[1912](#).

Matilda, countess of Tuscany

[455](#), [455](#), [456](#), [456](#), [456](#), [467](#), [468](#), [468](#), [468](#), [468](#), [468](#), [534](#), [534](#).

Matilda, daughter of Henry I of England

[449](#).

Matilda, daughter of Henry II of England

[444](#).

Matilda, wife of Holy Roman emperor Henry V

[444](#), [455](#).

Matin of Bruges

[453](#).

Matisse, Henri, artist

[1146](#), [1816](#).

Matitana  
[892](#).

Matiwaza, king of Mitanni  
[86](#).

Mato Grosso  
[916](#), [918](#).

Matos, Huber, Cuban leader  
[3715](#).

Matrimonial Causes Act, Great Britain  
[1841](#), [1851](#), [1878](#).

Matsu  
[4150](#), [4150](#), [4150](#), [4183](#).

Matsue Haruji, industrialist  
[2530](#).

Matteotti, Giacomo, Italian leader  
[1947](#), [1947](#).

Matteucci, Carlo, physiologist  
[1043](#).

Matthew, gospel  
[259](#).

Matthew, Father, temperance reformer  
[1168](#).

Matthew Commission  
[4408](#).

Matthews, Gabriel Baccus, Liberian leader  
[4355](#).

Matthias, Holy Roman emperor  
[616](#), [616](#), [635](#).

Matthias Corvinus, the Just  
[542](#), [542](#), [545](#), [561](#).

Matthias of Csak, king of Hungary  
[560](#).

Matz, battle of the  
[1781](#), [1812](#).

Maubeuge  
[653](#), [1789](#).

Mauch, Carl, explorer  
[1553](#).

Maudlin, Reginald, British leader  
[2785](#).

Maues, Indian ruler

[130](#).  
Maui Pomare, Maori leader  
[1504](#).  
Mau Mau rebellion  
[2636](#), [2651](#), [4320](#), [4408](#), [4417](#), [4418](#).  
Mau movement, Samoa  
[2530](#), [2530](#), [2551](#).  
Maupéou, René de, French leader  
[717](#).  
Maura Law, Philippines  
[1481](#).  
Mauretania  
[245](#), [248](#), [255](#), [257](#), [419](#).  
Mauriac, François, writer  
[1903](#).  
Maurice, Byzantine emperor  
[275](#), [275](#), [275](#), [406](#), [428](#), [428](#), [428](#).  
Maurice, duke of Saxony  
[615](#).  
Maurice, prince of Nassau-Siegen  
[915](#), [915](#).  
Maurice of Nassau, statholder and son of William of Orange  
[595](#).  
Maurice of Saxony  
*See* [Saxe, Hermann Maurice, count of, French marshal](#).  
Maurikios  
*See* [Maurice, Byzantine emperor](#).  
Mauritania  
[344](#), [869](#), [871](#), [1379](#), [3921](#), [4325](#), [4364](#), [4364](#), [4364](#), [4364](#), [4364](#), [4364](#); independence, [4364](#); drought, [4364](#).  
Mauritius  
[892](#), [893](#), [1032](#), [2636](#).  
Mauroy, Pierre, French leader  
[2870](#), [2873](#).  
Maurras, Charles, journalist  
[1195](#).  
Maurya dynasty  
[73](#), [73](#), [73](#), [78](#), [129](#), [129](#), [129](#), [129](#), [324](#).  
Mausoleum  
[186](#).  
Mausolus, ruler of Caria

[186](#), [201](#), [203](#).  
Mawlawi Ahmadjan Khan, Afghan official  
[1355](#).  
Mawlay Abd al-Aziz, ruler of Morocco  
[1377](#), [1378](#).  
Mawlay Abd al-Hafiz, ruler of Morocco  
[1378](#), [1378](#), [1378](#), [1378](#), [1379](#), [1379](#).  
Mawlay Abd al-Rahman, ruler of Morocco  
[1375](#).  
Mawlay al-Hasan I, ruler of Morocco  
[1376](#), [1376](#).  
Mawlay al-Rashid, ruler of Morocco  
[824](#).  
Mawlay Isma‘il, ruler of Morocco  
[824](#), [824](#), [824](#), [824](#), [824](#), [825](#).  
Mawlay Muhammad IV, ruler of Morocco  
[1376](#), [1376](#).  
Mawlay Rashid, Moroccan commander  
[823](#).  
Mawlay Sulayman, ruler of Morocco  
[1375](#), [1375](#), [1375](#).  
Mawlay Yusuf, ruler of Morocco  
[1379](#).  
Max, prince of Baden  
[1781](#), [1781](#), [1782](#), [1971](#).  
Maxentius, Roman emperor  
[260](#), [261](#), [262](#), [262](#).  
Maxentius, Marcus Aurelius Valerius  
See [Maxentius, Roman emperor](#).  
Maxim, Hiram Percy, inventor  
[985](#).  
Maximian, Roman emperor  
[261](#), [261](#), [261](#), [261](#), [261](#), [262](#).  
Maximianus, Caius Galerius Valerius  
See [Galerius, Roman emperor](#).  
Maximianus, Marcus Aurelius Valerius  
See [Maximian, Roman emperor](#).  
Maximilian, archduke of Austria and emperor of Mexico  
[957](#), [1100](#), [1182](#), [1691](#).  
Maximilian, elector of Bavaria  
[624](#).

Maximilian I, Holy Roman emperor  
[524](#), [542](#), [543](#), [585](#), [595](#), [597](#), [597](#), [607](#), [607](#), [607](#), [613](#), [613](#), [613](#), [613](#), [617](#), [617](#), [635](#).

Maximilian II, Holy Roman emperor  
[602](#), [616](#), [616](#), [1096](#), [1232](#).

Maximilian III Joseph, elector of Bavaria  
[616](#), [616](#), [660](#), [759](#).

Maximinus, Roman emperor  
[257](#).

Maximinus Daia, Roman emperor  
[261](#), [262](#), [262](#).

Maximinus Daia, Galerius Valerius  
*See* [Maximinus Daia, Roman emperor](#).

Maximinus Thrax, Gaius Julius Verus  
*See* [Maximinus, Roman emperor](#).

Maximum Freight Rate case, U.S. Supreme Court  
[1602](#).

Maximus, Roman emperor  
[264](#), [264](#).

Maximus, Magnus  
*See* [Maximus, Roman emperor](#).

Maxwell, James Clerk, physicist  
[990](#), [1148](#), [1148](#), [1148](#).

Maya civilization  
[55](#), [55](#), [61](#), [63](#), [280](#), [570](#), [570](#), [902](#), [913](#), [1689](#), [1690](#).

Mayahana  
[156](#).

Mayaki, Ibrahim, Niger leader  
[4365](#).

Mayapán, league of  
[570](#).

May Committee, British financial experts  
[1847](#).

Mayer, Julius von, scientist  
[1040](#).

Mayer, René, French leader  
[2843](#), [2846](#), [2846](#).

Mayflower, ship  
[926](#).

Mayflower Compact  
[926](#).

May Fourth Incident

[4167](#).  
May Fourth movement, China  
[2464](#).  
Mayhew, Henry, English journalist  
[1155](#).  
Mayi-Mayi  
[4434](#).  
May Laws, Germany  
[1235](#), [1235](#), [1235](#), [1242](#).  
Maymana  
[1355](#).  
Mayo, Irish county  
[702](#), [1169](#).  
Mayo, earl of, Richard Bourke, viceroy of India  
[1397](#), [1397](#).  
Mayorga, Silvio, Nicaraguan leader  
[3675](#).  
Mayorga Quiroz, Román, Salvadoran leader  
[3666](#), [3667](#).  
mayor of the palace  
[407](#), [407](#).  
Mayotte  
[4415](#).  
Mayow, John, scientist and physician  
[640](#).  
Mayr, Michael, Austrian leader  
[1999](#), [1999](#).  
Maysalun Pass  
[2371](#).  
Maysville Road Bill, U.S.  
[1575](#).  
May Thirtieth Movement, China  
[2467](#).  
Ma Yuan, Chinese leader  
[155](#).  
Ma Yuan, painter  
[373](#).  
Mazaca  
[115](#).  
Mazaces, satrap  
[95](#).



Mazagan

[825](#).

Mazaki Jinzabur 

[2511](#).

Mazar-e Sharif

[3784](#), [3835](#).

Mazari, Sherbaz Khan, Pakistani leader

[4005](#).

Mazarin, Jules, cardinal and French leader

[622](#), [707](#), [707](#), [710](#), [711](#), [711](#).

Mazdak, Iranian leader of Mazdakism

[271](#), [273](#), [273](#), [274](#), [293](#), [294](#).

Mazdakism

[271](#), [274](#).

Mazdeans

[368](#).

Mazeikiai (Mazheikiu) refinery

[3349](#), [3357](#).

Mazeppa, Ivan Stepanovich, Cossack leader

[657](#).

Mazovia

[667](#).

Mazowiecki, Tadeusz, Polish leader

[3110](#), [3111](#), [3112](#), [3113](#).

Mazruis

[1528](#).

Mazyadid dynasty

[300](#).

Mazzara

[2617](#).

Mazzini, Giuseppe, Italian leader

[1068](#), [1069](#), [1069](#), [1092](#), [1093](#).

Mba, Casimir Oye, Gabon leader

[4341](#).

M'Ba, Léon, Gabon leader

[4340](#), [4340](#), [4340](#), [4340](#), [4340](#).

Mbanza Kongo

[363](#), [885](#).

Mbayá

[570](#).

Mbeki, Thabo, South African leader

[4457](#), [4469](#), [4471](#), [4486](#), [4488](#), [4489](#).  
Mboya, Tom, Kenyan leader  
[4417](#), [4417](#).  
Mbundu  
[886](#).  
McAdam, John L., inventor  
[647](#).  
McAdoo, William G., U.S. leader  
[2188](#).  
McAuliffe, S. Christa, astronaut  
[2682](#).  
McCarran-Walter Immigration and Nationality Act, U.S.  
[3396](#).  
McCarthy, Joseph R., U.S. leader  
[3390](#), [3393](#), [3394](#), [3397](#), [3398](#), [3398](#).  
McClellan, George B., Union commander  
[1586](#), [1587](#), [1587](#), [1587](#).  
McCormick, Cyrus H., inventor  
[987](#), [1576](#).  
McCudden, J. T. B., British pilot  
[1766](#).  
McCulloch, John Ramsay, economist  
[1035](#).  
McCulloch v. Maryland, U.S. Supreme Court decision  
[1574](#).  
McDonald, J. Ramsay, British leader  
[1162](#).  
McDonald's restaurant  
[2640](#), [2640](#), [3390](#).  
McDowell, Ephraim, surgeon  
[1042](#).  
McGaffey, I. W., developer of vacuum cleaner  
[985](#).  
Mcgee, D'Arcy, Canadian leader  
[1630](#).  
McGill, James, Canadian merchant  
[1625](#).  
McGill College  
[1625](#).  
McGuinness, Martin, Irish leader  
[2816](#).



Mechanics Institutes, Canada and Great Britain

[1048](#), [1625](#).

Mechelin, Leo, Finnish leader

[1254](#), [1255](#).

Mechlin

[595](#), [595](#).

Mechnikov, Ilia I., scientist

[1153](#).

Meciar, Vladimir, Slovakian leader

[3138](#), [3138](#), [3139](#), [3140](#).

Mecklenburg

[456](#), [460](#), [461](#), [461](#), [551](#), [619](#), [620](#), [624](#), [753](#), [769](#), [1072](#).

Medellín, Colombia

[2644](#), [3472](#), [3474](#), [3584](#), [3585](#), [3586](#), [3588](#), [3588](#).

Medellín cartel

[3579](#).

Media

[87](#), [88](#), [114](#), [118](#), [119](#), [120](#), [121](#), [123](#), [123](#), [123](#), [123](#), [123](#), [123](#), [124](#), [206](#), [207](#), [216](#), [216](#), [272](#).

Medicare, U.S.

[3411](#), [3428](#).

Medici, Florentine family

[532](#), [535](#), [535](#), [535](#), [535](#), [535](#), [535](#), [536](#), [536](#), [536](#), [536](#), [536](#), [537](#), [537](#), [607](#), [607](#), [609](#), [612](#), [660](#), [744](#), [1066](#).

Medici, Alessandro de', duke of Florence

[612](#).

Medici, Catherine de', mother of Francis II and Charles IX of France

[598](#).

Medici, Cosimo de', Florentine leader

[532](#), [533](#), [535](#), [535](#), [535](#), [535](#), [535](#), [535](#), [536](#), [537](#), [612](#).

Medici, Giovanni

*See* [Pius IV, pope](#).

Medici, Giovanni de'

*See* [Leo X, pope](#).

Medici, Giuliano de', Medici leader

[532](#), [535](#), [536](#).

Medici, Giulio de'

*See* [Clement VII, pope](#).

Medici" ID="A000354, Lorenzo de' (the Magnificent)

[532](#), [535](#), [535](#), [535](#), [535](#), [536](#), [536](#), [536](#), [536](#), [536](#), [537](#), [607](#), [609](#).

Medici, Luigi de', Italian leader

[1066](#).

Medici, Marie de', mother and regent for Louis XIII of France

[599](#).

Medici, Piero de', Florentine leader

[535](#), [536](#), [536](#), [607](#).

Medici, Salvestro de', Florentine leader

[534](#).

medicine

[131](#), [637](#), [638](#), [641](#), [687](#), [1152](#), [1153](#), [1154](#), [1506](#); Ottoman Empire, [793](#); Iran, [815](#); 1800–1914, [1142](#); Great Britain, [1157](#); Egypt, [1367](#); Africa, [1548](#), [2567](#); Canada, [1635](#); antibiotics, [1845](#); CAT scanner, [2704](#); euthanasia, [2832](#), [2834](#), [2973](#); Sweden, [3063](#), [3065](#), [3065](#); U.S., [3430](#).

Medina

[125](#), [286](#), [286](#), [286](#), [286](#), [286](#), [287](#), [287](#), [287](#), [288](#), [288](#), [288](#), [292](#), [792](#), [810](#), [820](#), [1337](#), [1358](#), [1366](#), [1751](#), [1752](#); capture of, [1358](#).

Medina, Isaias, Venezuelan leader

[3594](#).

Medina, José María, Latin American leader

[1686](#).

Medina Sidonia

[419](#).

Medine

[1510](#).

Medinet Habu

[93](#).

Mediolanum, Milan

[257](#), [261](#).

Mediterranean

[276](#), [276](#), [282](#), [285](#), [285](#), [293](#), [299](#), [301](#), [315](#), [320](#), [339](#), [343](#), [346](#), [351](#), [352](#), [400](#), [400](#), [400](#), [401](#), [402](#), [412](#), [412](#), [421](#), [424](#), [426](#), [427](#), [427](#), [434](#), [435](#), [436](#), [438](#), [438](#), [443](#), [443](#), [474](#), [1726](#), [1930](#), [1954](#), [2011](#), [2330](#), [2590](#), [2591](#), [2615](#), [2619](#).

Mediterranean Action Plan

[2677](#).

Mediterranean Agreements

[1114](#), [1114](#), [1204](#).

Mediterranean Railway

[1223](#).

Mediterranean Sea

[36](#), [42](#), [45](#), [46](#), [47](#), [51](#), [66](#), [66](#), [67](#), [68](#), [68](#), [70](#), [71](#), [71](#), [71](#), [71](#), [74](#), [74](#), [77](#), [77](#), [80](#), [80](#), [84](#), [84](#), [86](#), [87](#), [89](#), [90](#), [93](#), [95](#), [99](#), [100](#), [101](#), [103](#), [104](#), [107](#), [108](#), [109](#), [109](#), [111](#), [112](#), [126](#), [175](#), [176](#), [180](#), [185](#), [228](#), [228](#), [232](#), [233](#), [239](#), [240](#), [243](#), [245](#), [245](#), [450](#), [452](#), [452](#), [457](#), [459](#),

[471](#), [471](#), [479](#), [479](#), [526](#), [532](#), [532](#), [533](#), [533](#), [581](#), [603](#), [644](#), [644](#), [653](#), [713](#), [735](#), [791](#), [791](#), [792](#), [795](#), [797](#), [797](#), [822](#), [823](#), [824](#), [826](#), [826](#), [827](#), [828](#), [869](#), [869](#), [871](#), [873](#), [953](#), [956](#), [965](#), [1005](#), [1045](#), [1100](#), [1110](#), [1114](#), [1131](#), [1136](#), [1195](#), [1243](#), [1329](#), [1329](#), [1335](#), [1347](#), [1366](#), [1367](#), [1381](#), [1748](#), [1834](#), [1835](#), [1835](#), [1838](#), [2720](#), [2730](#), [2754](#), [2855](#), [2892](#), [3219](#), [3281](#), [4150](#).

Medonidae, Athenian rulers

[180](#).

Medrano, José Alberto, Salvadoran leader

[3664](#).

Medway Disaster

[648](#).

Meech Lake Agreement, Canada

[3456](#), [3457](#).

Meerut

[334](#), [1396](#), [3980](#).

Meerut conspiracy case, India

[2438](#).

Megabyzus, Persian commandere

[192](#).

Megacles, Athenian leader

[180](#), [180](#), [180](#), [189](#).

megaliths

[37](#).

Megalopolis

[202](#), [206](#).

Megara

[178](#), [178](#), [178](#), [180](#), [182](#), [184](#), [191](#), [192](#), [193](#), [195](#), [196](#), [199](#).

Megara Hyblaea

[178](#), [184](#), [185](#).

Megarid

[192](#), [193](#).

Meghaduta

[131](#).

Meghalaya

[3976](#).

Meghavanna, king of Ceylon

[130](#).

Megiddo, battle of

[1753](#).

Mehemet Ali Agca, assassin

[2961](#).

Mehmed I, Ottoman sultan  
[312](#), [312](#).

Mehmed II, the Conqueror  
[313](#), [313](#), [313](#), [313](#), [314](#), [314](#), [314](#), [314](#), [315](#), [538](#), [568](#).

Mehmed III, Ottoman sultan  
[798](#), [799](#), [799](#), [808](#).

Mehmed IV, Ottoman sultan  
[801](#), [804](#), [804](#).

Mehmed V Reshad, Ottoman sultan  
[1348](#), [1348](#), [1748](#), [2320](#).

Mehmed VI, Ottoman sultan  
[1788](#), [2320](#), [2321](#), [2322](#), [2324](#).

Mehmed Bey, Turkoman leader  
[306](#).

Mehmed Fuzuli, Ottoman poet  
[795](#).

Mehmed Koprulu, grand vezir  
[801](#), [801](#), [803](#), [803](#), [803](#), [805](#).

Mehmed Ragib Pasha, grand vezir  
[808](#), [808](#).

Mehmed Sokullu, grand vezir  
[796](#), [797](#).

Mehmet Ali  
*See* [Muhammad Ali Pasha, Egyptian viceroy](#).

Mehmet Emin Yurdakul, poet  
[2333](#).

Mehrgarh people  
[39](#).

Mehta, Pherozeshah, Indian leader  
[2432](#).

Meighen, Arthur, Canadian leader  
[2222](#), [2224](#).

Meiji Mutsuhito  
*See* [Mutsuhito, Japanese emperor](#).

Meiji period, Japan  
[957](#), [957](#), [1430](#), [1432](#), [1446](#), [1446](#), [1447](#), [1447](#), [1447](#), [1447](#), [1448](#), [1450](#), [1452](#), [1469](#), [1470](#),  
[1471](#), [1471](#), [1706](#), [2494](#).

Mein, John G., U.S. diplomat  
[3653](#).

Mein Kampf, by Hitler  
[1978](#).

Meiring, Georg, South African leader

[4487](#).

Meirokusha, Meiji 6 Society

[1450](#).

Meissen

[416](#), [416](#), [486](#), [540](#).

Meitner, Lise, physicist

[1730](#).

Mei Wending, Chinese mathematician

[854](#).

Mejía, Hipolito, Dominican leader

[3744](#).

Mejía Victores, Oscar, Guatemalan leader

[3655](#).

Meknes

[292](#), [822](#), [823](#), [824](#).

Mekong River

[51](#), [135](#), [136](#), [863](#), [1406](#), [1406](#), [1407](#), [1409](#), [1473](#), [1473](#), [1475](#), [2453](#), [2526](#), [2625](#),  
[4069](#).

Meksi, Alexander, Albanian leader

[3205](#).

Mela, Pomponius, geographer

[426](#).

Melaka

[839](#), [839](#), [840](#), [840](#), [840](#).

Melanchthon, Philipp, Philipp Schwarzert

[614](#).

Melanesia

[52](#), [864](#), [864](#), [864](#), [864](#), [864](#), [1476](#).

Melas, Michael

[1011](#), [1016](#).

Melba, Nellie, singer

[1816](#).

Melbourne

[1489](#), [1493](#), [1494](#), [1495](#), [1495](#), [2543](#), [2546](#), [4301](#), [4303](#).

Melbourne, University of

[1491](#).

Melbourne, viscount, William Lamb, British leader

[1046](#), [1051](#).

Melbourne Cup

[1493](#).



MeléndeZ-Quiñones, El Salvadorian family

[2280](#).

Melfi

[458](#); synod of, [467](#).

Melgar Castro, Juan Alberto

[3694](#), [3694](#).

Melgarejo, Mariano, Latin American leader

[1668](#), [1668](#).

Melilla

[323](#), [1376](#), [1377](#), [1929](#), [2421](#).

Méline tariff

[1195](#).

Melitene

[87](#), [436](#).

Melito of Sardis, bishop

[259](#).

Mello, Custodio José, Brazilian admiral

[729](#).

Melo, José María, Latin American leader

[1672](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 49

Melos

[168](#), [174](#), [197](#).

Melqart

[108](#).

Melupré

[1407](#).

Melville, Herman, writer

[1563](#), [1582](#).

Melville Island

[1488](#).

Memel

[460](#), [460](#), [482](#), [550](#), [1784](#), [1794](#), [1827](#), [1837](#), [1992](#), [2089](#), [2089](#), [2091](#), [2092](#), [2093](#), [2094](#), [2124](#); Statute, [2089](#), [2091](#).

Memling, Hans, Dutch artist

[596](#).

Memnon of Rhodes, Persian commander

[206](#), [206](#).

Memphis, Egypt

[87](#), [89](#), [90](#), [91](#), [91](#), [92](#), [93](#), [93](#), [93](#), [95](#), [95](#), [95](#), [99](#), [110](#), [192](#), [192](#), [1594](#), [3415](#).

Memphis, Tennessee

[3390](#).

Menaenum

[191](#).

Menahem, king of Israel

[105](#).

Menam River

[1407](#).

Menam Valley

[330](#), [342](#).

Menander, Greek playwright

[186](#), [208](#).  
Menander, king of Bactria  
[217](#).  
Menander, warrior-philosopher  
[129](#), [129](#).  
Menchú, Rigoberta, writer  
[3655](#).  
Mencius, Chinese philosopher  
[142](#), [143](#), [144](#), [145](#), [854](#).  
Mendana de Neyra, Alvaro de, Spanish explorer  
[865](#), [865](#), [865](#).  
Mende  
[182](#).  
Mendel, Gregor, geneticist  
[1152](#), [1153](#), [1153](#), [3263](#).  
Mendeleev, Dmitri I., chemist  
[1152](#), [1260](#).  
Menderes, Adnan, Turkish leader  
[3788](#), [3790](#), [3792](#).  
Mendes  
[95](#).  
Mendes, Doña Gracia, aunt of Don Joseph Naxi  
[797](#).  
Mendès-France, Pierre, French leader  
[2714](#), [2847](#), [2847](#), [2848](#), [2992](#), [4256](#).  
Méndez, Aparicio, Uruguayan leader  
[3531](#).  
Méndez, Miguel Abadia, Colombian leader  
[2267](#).  
Méndez Montenegro, Julio César, Guatemalan leader  
[3652](#).  
Mendieta, Carlos, Cuban leader  
[2302](#), [2304](#), [2304](#), [2305](#).  
Mendoza, Chile  
[899](#), [1644](#), [1648](#).  
Mendoza, Antonio de, Spanish colonial administrator  
[899](#), [903](#), [903](#), [903](#).  
Mendoza, Pedro de, Spanish explorer  
[900](#), [900](#), [900](#), [900](#).  
Menelik I, emperor of Ethiopia  
[1220](#), [1222](#).

Menelik II, emperor of Ethiopia  
[1506](#), [1523](#), [1523](#), [1523](#), [1523](#), [1523](#), [1523](#), [2561](#).

Menem, Carlos Saúl, Argentine leader  
[3499](#), [3499](#), [3499](#), [3500](#), [3500](#), [3502](#), [3502](#), [3502](#), [3502](#), [3503](#), [3504](#), [3505](#).

Menéndez, Andrés I., El Salvadorian leader  
[2281](#), [2282](#).

Menéndez, Francisco, Latin American leader  
[1682](#).

Menéndez de Avilés, Pedro, Spanish colonial administrator  
[905](#), [905](#).

Menes, king of Egypt  
[43](#), [66](#), [91](#).

Mengli Girai, khan of the Crimea  
[558](#).

Mengzi, The Mencius  
[142](#).

Menkaure, king of Egypt  
[91](#).

Menocal, Mario García, Cuban leader  
[1693](#), [2303](#).

Menon, V. K. Krishna, Indian leader  
[3964](#).

Menou, Jacques François de, French soldier  
[1010](#).

Mensheviks, Russian moderates  
[1262](#), [2064](#).

Menshikov, Russian family  
[786](#).

Mentana, battle of  
[1217](#).

Menteshe Bey, Turkoman leader  
[305](#), [310](#), [312](#).

Mentuhotep II, king of Egypt  
[92](#).

Mentuhotep III, king of Egypt  
[92](#).

Mentuhotep IV, king of Egypt  
[92](#).

Menua, king of Urartu  
[118](#).

Menzies, Robert G.

[2549](#), [4295](#), [4298](#), [4299](#), [4300](#), [4301](#), [4303](#).  
Meos  
[4098](#), [4099](#).  
Mera, Martínez, Ecuadorian leader  
[2264](#).  
mercantilism  
[645](#), [711](#), [757](#), [761](#), [763](#), [939](#), [1053](#); France, [707](#); Switzerland, [748](#).  
Mercator, Isidorus  
[466](#).  
mercenaries  
[1226](#), [1417](#).  
Mercenary War  
[230](#).  
merchandising  
[1589](#), [1589](#), [1597](#), [1599](#), [1602](#).  
Merchant Marine Acts  
[2191](#), [3421](#).  
Mercia  
[421](#), [422](#), [422](#).  
Mercier, Honoré, Canadian leader  
[1635](#).  
Mercury  
[3408](#).  
Mercy, Franz von, Austrian general  
[622](#).  
Merenre I, king of Egypt  
[91](#).  
Merenre II, king of Egypt  
[91](#).  
Merezhkovsky, Dmitri, writer  
[1258](#).  
Mergenthaler, Ottmar, inventor of Linotype press  
[985](#).  
Mergentheim, battle of  
[622](#).  
Mergui  
[1402](#).  
Meri, Lennart, Estonian leader  
[3321](#), [3321](#), [3323](#).  
Merici of Brescia, Angela, founder of the Ursulines  
[609](#).

Merida  
[419](#), [823](#), [2293](#).

Merina, Madagascar  
[366](#), [893](#), [4492](#).

Merina people  
[1561](#), [1562](#), [1562](#).

Merkel, Angela, German leader  
[3027](#).

Mermnadae, Lydian dynasty  
[114](#).

Merneith, queen of Egypt  
[91](#).

Merneptah, king of Egypt  
[93](#).

Merneptah Stele  
[93](#), [104](#).

Merodach-Baladan II, king of Babylon and the Chaldeans  
[87](#), [87](#), [87](#), [122](#).

Meroë, Nubia  
[43](#), [43](#), [45](#), [74](#), [74](#), [96](#), [97](#), [99](#), [99](#), [99](#), [99](#), [124](#), [346](#).

Merovingians  
[405](#), [407](#), [407](#), [407](#), [407](#), [407](#), [407](#), [407](#).

Merowech, Merovingian leader  
[407](#).

Merrimac, Confederate ironclad  
[1587](#), [1587](#).

Merrimac River  
[1572](#).

Mersa Matruh  
[2611](#).

Merseburg  
[416](#).

Mers-el-Kebir, battle of  
[2586](#), [2605](#).

Mersen, treaty of  
[415](#), [595](#).

Mersin  
[1750](#).

Merton College, Oxford  
[446](#), [513](#).

Merv

[271](#), [272](#), [275](#), [289](#), [812](#), [1261](#).  
Mesa Verde  
[40](#).  
Mesembria  
[440](#), [440](#).  
Mesene  
[272](#).  
Meshal, Khaled, Palestinian leader  
[3867](#).  
Meshan, Kuwait  
[271](#).  
Meshech  
See [Mushki](#).  
Meshkov, Yuri A., Crimean leader  
[3383](#).  
Mesic, Stipe, Croatian leader  
[3192](#).  
Mesic, Stjepan, Balkan leader  
[3176](#), [3177](#).  
Mesilim of Lagash  
[84](#).  
Meskalamdug, Sumerian king  
[84](#).  
Mesoamerica  
[53](#), [54](#), [54](#), [54](#), [55](#), [63](#), [65](#), [65](#), [65](#), [65](#), [276](#), [280](#), [281](#).  
Mesolithic period  
[14](#), [31](#).  
Mesopotamia  
[1](#), [4](#), [4](#), [35](#), [36](#), [39](#), [41](#), [42](#), [42](#), [43](#), [62](#), [62](#), [66](#), [67](#), [67](#), [70](#), [81](#), [82](#), [83](#), [83](#), [83](#), [83](#), [84](#), [84](#), [84](#), [84](#), [85](#), [85](#), [85](#), [86](#), [86](#), [86](#), [86](#), [86](#), [87](#), [87](#), [88](#), [88](#), [91](#), [101](#), [102](#), [103](#), [104](#), [106](#), [108](#), [112](#), [113](#), [116](#), [121](#), [122](#), [122](#), [122](#), [124](#), [125](#), [206](#), [213](#), [214](#), [216](#), [245](#), [253](#), [255](#), [255](#), [256](#), [261](#), [264](#), [271](#), [271](#), [272](#), [272](#), [272](#), [272](#), [272](#), [272](#), [273](#), [273](#), [274](#), [274](#), [275](#), [275](#), [287](#), [318](#), [334](#), [428](#), [429](#), [438](#), [2432](#), [2432](#), [2462](#); WWI, [1780](#), [1788](#).  
Mesozoic Era  
[1042](#).  
Hajj, Messali al-, Algerian leader  
[2423](#), [2424](#), [3925](#).  
Messalina, wife of Claudius  
[248](#).  
Messana  
[191](#), [196](#), [220](#), [220](#), [230](#).

Messapii

[184](#).

Messene

[168](#), [202](#), [210](#), [211](#).

Messenia

[174](#), [178](#), [179](#), [191](#), [202](#), [202](#), [211](#).

Messenian Wars

[178](#), [179](#), [191](#).

Messiah

[250](#); by Handel, [687](#).

messianism

[803](#).

Messina

[498](#), [1224](#), [2617](#).

Messmer, Pierre, French leader

[2863](#), [4081](#).

Messmer Plan

[2865](#).

Messner, Zbigniew, Polish leader

[3107](#), [3108](#), [3109](#).

Mesta

[1139](#).

mestilços

[918](#).

mestizos

[908](#), [908](#), [908](#), [909](#), [911](#), [911](#), [912](#), [913](#), [1653](#), [1670](#); Philippines, [1480](#), [1480](#), [1481](#).

Meta, Ilir, Albanian leader

[3206](#).

Metacom, chief of the Wampanoags

[933](#).

metallurgy

[14](#), [46](#), [46](#), [46](#), [58](#), [59](#), [62](#), [83](#), [637](#), [643](#), [984](#), [984](#), [1041](#).

metaphysics

[1146](#).

Metaxas, Johannes (John), Greek Fascist leader

[1704](#), [2155](#), [2155](#), [2156](#).

Metaxas, Nicodemus, Greek printer in Istanbul

[801](#).

Metcalfe, Charles

[1395](#).

Metellus, Quintus Caecilius, Roman consul and general



[234](#), [234](#), [235](#), [235](#).  
Metellus Scipio, Roman consul  
[241](#).  
Methodism  
[646](#), [687](#), [687](#), [688](#), [692](#).  
Methodists  
[1514](#), [1545](#); in U.S., [1563](#), [1565](#).  
Methodius, St., missionary to Slavs  
[409](#), [434](#), [440](#), [483](#), [483](#).  
Methone  
[182](#).  
Methuen-Alegrete agreement, between Britain and Portugal  
[728](#).  
Métis  
[1630](#), [1634](#); rebellion of, [1630](#).  
metric system  
[1008](#), [4306](#).  
Metropolitan Police Act, England  
[1047](#).  
Metternich, (later prince) Klemens von  
[1021](#), [1030](#), [1032](#), [1045](#), [1045](#), [1066](#), [1071](#), [1071](#), [1071](#), [1072](#), [1073](#), [1073](#), [1073](#),  
[1095](#), [1272](#), [1272](#).  
“Metternich System”  
[1071](#).  
Metz  
[402](#), [407](#), [411](#), [615](#), [624](#), [707](#), [713](#), [1185](#), [1185](#), [1738](#), [1781](#).  
Metz, Shirley, polar explorer  
[998](#).  
Meucci, Antonio, experimenter  
[990](#).  
Meuse River  
[407](#), [411](#), [425](#), [1789](#), [1800](#), [1801](#), [1888](#), [2585](#), [2620](#).  
Meuse-Argonne" ID="A000057, battle of the  
[1812](#), [2189](#).  
Mevlevi, Sufi order  
[305](#), [806](#), [810](#), [1333](#).  
Mexican Americans  
*See* [Hispanic Americans](#).  
Mexican-American War  
[1563](#).  
Mexican Food System, SAM

[3704](#).  
Mexican Petroleum Law, U.S.  
[2195](#), [2196](#).  
Mexican Revolution  
[957](#).  
Mexican War  
[1578](#), [1579](#), [1688](#).  
Mexicas  
[4](#), [570](#), [570](#), [570](#), [570](#), [901](#), [901](#), [901](#), [901](#).  
Mexico  
[4](#), [8](#), [35](#), [40](#), [40](#), [41](#), [54](#), [55](#), [63](#), [280](#), [281](#), [570](#), [570](#), [584](#), [601](#), [602](#), [865](#), [901](#), [902](#), [905](#), [908](#), [909](#), [911](#), [911](#), [911](#), [911](#), [912](#), [912](#), [954](#), [957](#), [961](#), [1100](#), [1199](#), [1610](#), [1615](#), [1619](#), [1653](#), [1655](#), [1655](#), [1655](#), [1655](#), [1655](#), [1655](#), [1687](#), [2072](#), [2238](#), [2241](#), [2241](#), [2273](#), [2284](#), [2285](#), [2290](#), [2316](#), [2640](#), [2642](#), [2643](#), [2643](#), [2665](#), [2681](#), [3465](#), [3471](#), [3475](#), [3475](#), [3652](#), [3661](#), [3674](#), [3700](#), [3701](#), [3701](#), [3703](#), [3703](#), [3703](#), [3704](#), [3704](#), [3704](#), [3704](#), [3705](#), [3705](#), [3708](#), [3708](#), [3709](#), [3709](#), [3711](#), [3712](#), [3712](#), [3714](#), [3714](#), [3719](#); and Philippines, [867](#); and France, [1182](#); and Japan, [1455](#); independence of, [1480](#), [1653](#); war with U.S., [1578](#), [1579](#); and U.S., [1578](#), [1580](#), [1621](#), [1621](#), [2195](#), [2196](#), [2196](#), [2602](#), [2603](#), [3396](#), [3430](#), [3431](#), [3433](#), [3433](#), [3701](#), [3701](#), [3702](#), [3705](#), [3707](#), [3709](#), [3709](#), [3711](#), [3712](#); boundary with U.S., [1579](#); and Mexican War, [1690](#); WWI, [1770](#), [2294](#), [2294](#), [2294](#); before WWI, [2290](#), [2290](#); between Wars, [2296](#), [2297](#), [2297](#), [2298](#), [2298](#), [2298](#), [2299](#), [2299](#), [2299](#), [2299](#), [2299](#), [2299](#), [2300](#); WWII, [2300](#), [2300](#); and North America, [3458](#); student unrest, [3702](#), [3702](#), [3703](#).  
Mexico City  
[901](#), [903](#), [909](#), [910](#), [912](#), [1182](#), [1578](#), [1653](#), [1689](#), [1691](#), [2240](#), [2259](#), [2290](#), [2291](#), [2292](#), [2292](#), [2292](#), [2293](#), [2296](#), [2600](#), [2603](#), [2643](#), [2665](#), [2680](#), [2688](#), [3465](#), [3466](#), [3671](#), [3701](#), [3702](#), [3703](#), [3708](#), [3710](#), [3711](#).  
Mexico state, Mexico  
[3710](#).  
Mézières  
[1738](#).  
Mező Keréztés, battle of  
[798](#).  
Mfansibili, prince of Swaziland  
[4491](#).  
Mfecane, African cycle  
[1506](#), [1506](#), [1546](#), [1550](#), [1551](#), [1551](#).  
Mgijima, Enoch, sect leader  
[2577](#).  
MGR, actor  
[3957](#).

Miaja, José, Spanish leader  
[1932](#).

Miami  
[3404](#), [3415](#), [3436](#), [3753](#).

Miao Quansun, Chinese scholar  
[1425](#).

Michael, brother of Nicholas II, tsar  
[2064](#).

Michael, king of Poland  
[777](#), [777](#), [778](#).

Michael I, Rhangabé  
[433](#).

Michael II, Balbus  
[434](#).

Michael II, ruler of Epirus  
[510](#), [510](#), [564](#), [564](#).

Michael III, Byzantine emperor  
[434](#), [435](#), [435](#), [435](#), [483](#).

Michael IV, the Paphlagonian  
[498](#), [498](#).

Michael V, king of Romania  
[2179](#), [2180](#), [2185](#), [2186](#), [3245](#), [3246](#).

Michael VII, Parapinakes  
[500](#), [500](#).

Michael VIII, Paleologus  
[507](#), [510](#), [510](#), [510](#), [564](#), [564](#), [564](#), [564](#), [564](#), [564](#), [565](#).

Michael IX, Byzantine emperor  
[565](#).

Michael Angelus Comnenus, ruler of Epirus  
[497](#), [508](#), [508](#), [509](#).

Michaelis, George, German leader  
[1971](#).


Michael Obrenovich, prince of Serbia  
[1285](#), [1286](#), [1286](#), [1286](#), [1287](#), [1288](#), [1288](#), [1299](#).

Michael of Tver  
[558](#).

Romanov, Michael, tsar of Russia  
[630](#), [631](#), [631](#).

Michael Wisnowiecki, king of Poland  
[776](#).

Michaux, Ernest, inventor of velocipede

[989](#).  
Michel, Smarck, Haitian leader  
[3754](#).  
Buonarroti, Michelangelo, Italian artist  
[536](#), [607](#), [609](#), [609](#).  
Michelson, Albert, physicist  
[1148](#).  
Michigan, U.S. state  
[921](#), [2201](#), [3434](#).  
Michoacán  
[902](#), [2296](#), [2298](#), [3706](#).  
Mich'  n, Korean leader  
[160](#).  
Michov, Nichola, Bulgarian leader  
[2173](#).  
Michurin, Ivan, geneticist  
[3263](#).  
Mickiewicz, Adam, writer  
[1267](#).  
Micmac Indians  
[1630](#).  
microblade technology  
[28](#), [28](#), [30](#).  
Micronesia  
[52](#), [864](#), [864](#), [864](#), [1477](#), [2530](#), [4283](#), [4285](#); Federated States, [4284](#).  
microorganisms  
[1152](#), [1153](#).  
microscope  
[638](#), [640](#).  
Microsoft Corporation  
[3437](#), [3439](#), [3441](#).  
Micu, Samuel, writer  
[1311](#).  
M.I.C.U.M, mission interalliée de contrôle des usines et des mines  
[1822](#).  
Midas, Phrygian king  
[114](#).  
Middle Ages  
[276](#), [400](#), [400](#), [401](#), [410](#).  
Middle Assyrian Empire  
[86](#).

Middleburg

[638](#).

middle class

[419](#); England, [589](#); Switzerland, [749](#); France, [1000](#), [1001](#), [1003](#); 1800–1914, [1034](#), [1037](#), [1142](#), [1142](#), [1143](#), [1143](#); Great Britain, [1047](#), [1047](#), [1049](#); Hungary, [1087](#); Italy, [1091](#); Germany, [1096](#); U.S., [1563](#).

Middle Colonies

[935](#).

Middle Congo

[1544](#).

Middle East

[67](#), [68](#), [68](#), [70](#), [70](#), [70](#), [70](#), [70](#), [77](#), [78](#), [80](#), [129](#), [171](#), [276](#), [278](#), [279](#), [279](#), [279](#), [281](#), [281](#), [281](#), [281](#), [282](#), [282](#), [285](#), [285](#), [285](#), [285](#), [285](#), [285](#), [287](#), [287](#), [287](#), [287](#), [287](#), [290](#), [291](#), [294](#), [298](#), [299](#), [299](#), [299](#), [300](#), [300](#), [301](#), [301](#), [302](#), [303](#), [304](#), [305](#), [306](#), [307](#), [308](#), [313](#), [318](#), [319](#), [319](#), [322](#), [351](#), [505](#), [505](#), [507](#), [508](#), [523](#), [538](#), [575](#), [607](#), [792](#), [798](#), [805](#), [810](#), [810](#), [820](#), [830](#), [839](#), [841](#), [953](#), [955](#), [957](#), [959](#), [961](#), [962](#), [1105](#), [1114](#), [1120](#), [1134](#), [1327](#), [1327](#), [1327](#), [1327](#), [1328](#), [1329](#), [1335](#), [1336](#), [1337](#), [1356](#), [1357](#), [1376](#), [1392](#), [1414](#), [1703](#), [1706](#), [1708](#), [1708](#), [1835](#), [2317](#), [2317](#), [2317](#), [2318](#), [2550](#), [2637](#), [2641](#), [2643](#), [2644](#), [2651](#), [2655](#), [2671](#), [2675](#), [2675](#), [2676](#), [2874](#), [2960](#), [3228](#), [3390](#), [3768](#), [3768](#), [3768](#), [3771](#), [3774](#), [3774](#), [3779](#), [3787](#), [3857](#), [3867](#), [3869](#), [3869](#), [3876](#), [4241](#); postclassical period, [276](#), [277](#); 1500–1800, [791](#), [791](#), [791](#), [791](#), [791](#), [791](#), [791](#), [792](#); and European trade, [1331](#); WWI, [1748](#), [1751](#), [1751](#), [1752](#); WWII, [2317](#), [2553](#), [2614](#); Great Depression, [2317](#); first state plan, [2330](#); education, [2372](#); cold war, [2637](#); and U.S., [2637](#), [3771](#); post-WWII politics, [3768](#); post-WWII social change, [3768](#); post-WWII economic change, [3768](#).

Middle-East Emergency Committee

[3401](#).

Middle Egypt

[97](#), [1373](#).

Middle Kingdom, Egypt

[43](#), [66](#), [90](#), [92](#), [92](#), [103](#).

Middle Passage

[869](#).

Middle Stone Age

[14](#), [31](#).

Middle West

[1596](#).

Midgley, Thomas, chemist

[1732](#).

Midhat Pasha, Turkish leader

[1342](#), [1342](#).

Midia  
[980](#), [1138](#).

Midianites  
[104](#).

Midlands  
[586](#).

Midrar, Sam'un ibn Yazlan  
[292](#).

Midrarid dynasty  
[292](#).

Midway Island  
[2211](#), [2521](#), [2522](#), [2531](#), [2627](#), [4271](#).

Midwest, U.S.  
[29](#), [33](#), [40](#), [53](#), [53](#), [1575](#), [2642](#).

Mieszko I, king of Poland  
[486](#), [486](#).

Mieszko II, king of Poland  
[486](#).

Mieszko III, king of Poland  
[486](#), [487](#).

Miettunen, Martti J., Finnish leader  
[3076](#).

Mi Fei, Mi Fu  
[373](#).

Migas, Jozef, Slovakian leader  
[3140](#).

migration  
[67](#), [75](#); Puerto Rico, [3729](#).

Miguel, king of Portugal  
[1064](#), [1064](#), [1064](#), [1064](#).

Miguel, Dom  
*See* [Miguel, king of Portugal](#).

Miguelite Wars  
[1064](#), [1064](#).

Mihailovich, Drazha, Yugoslavian leader  
[3165](#).

Mihailovski, Stoyan, writer  
[1304](#).

Mihira, Bhoja  
[325](#).

Mihirakula, ruler of India

[324](#).  
Mihr-Narseh, Persian minister  
[273](#).  
Mikawa  
[857](#).  
Mikhail, king of Serbia  
[494](#).  
Miki, Nakayama, religious leader  
[1438](#).  
Miklas, Wilhelm, Austrian leader  
[2003](#), [2005](#), [2011](#).  
Mikolajczyk, Stanislaw, Polish leader  
[3091](#), [3091](#), [3091](#).  
Mikoyan, Anastas I.  
[2995](#), [3272](#), [3404](#), [4235](#).  
Milan  
[257](#), [257](#), [260](#), [260](#), [261](#), [262](#), [265](#), [266](#), [268](#), [401](#), [408](#), [455](#), [457](#), [458](#), [467](#), [468](#), [469](#),  
[469](#), [523](#), [532](#), [532](#), [534](#), [534](#), [535](#), [535](#), [536](#), [536](#), [536](#), [537](#), [537](#), [537](#), [538](#), [538](#), [540](#),  
[546](#), [546](#), [597](#), [597](#), [597](#), [597](#), [602](#), [602](#), [602](#), [603](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#),  
[607](#), [607](#), [608](#), [612](#), [612](#), [612](#), [614](#), [615](#), [615](#), [615](#), [625](#), [657](#), [657](#), [659](#), [660](#), [738](#), [739](#),  
[742](#), [743](#), [744](#), [745](#), [746](#), [748](#), [1009](#), [1011](#), [1092](#), [1092](#), [1092](#), [1092](#), [1092](#), [1222](#), [1941](#), [1945](#),  
[1945](#), [1960](#), [2946](#).  
Milan I Obrenovich, prince of Serbia  
[1285](#).  
Milan II Obrenovich, prince and later king of Serbia  
[1110](#), [1288](#), [1288](#), [1288](#), [1289](#), [1290](#), [1290](#), [1291](#), [1291](#).  
Milazzo, battle of  
[1212](#).  
Mildenhall, John, English merchant in India  
[832](#).  
Miletus  
[114](#), [175](#), [176](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [177](#), [182](#), [186](#), [187](#), [194](#), [213](#), [213](#), [218](#).  
Milford Haven  
[516](#).  
Milhaud, Darius, composer  
[1903](#).  
military  
[1232](#).  
Military College, Istanbul  
[1392](#).  
Military Directorate

[2490](#).  
Military League, Bulgaria  
[2167](#), [2168](#).  
Military League, Greece  
[1280](#).  
Military Pensions Act  
[1867](#).  
Military School of the New Rising  
[2488](#).  
Miliukov, Paul, Russian leader  
[1263](#), [1756](#), [2064](#), [2064](#).  
Mill, James, political philosopher  
[1035](#), [1036](#).  
Mill, John Stuart, political economist  
[1143](#), [1425](#).  
millenarians  
[690](#).  
Millennium Summit  
[2698](#), [3869](#).  
Millerand, Alexandre, French president  
[1195](#), [1901](#), [1901](#), [1905](#).  
Millerovo  
[2595](#).  
Millesimo, battle of  
[1009](#).  
Millikan, Robert A., physicist  
[1150](#).  
Million Man March  
[3434](#).  
Million Woman March  
[3436](#).  
Millspaugh, Arthur C., American financier in Iran  
[2337](#).  
Milne, John, engineer  
[1152](#).  
Milner, Alfred  
[1557](#), [1558](#), [1558](#), [2352](#).  
Milo, Tarentine general  
[227](#).  
Milo, Titus Annius, Roman tribune  
[240](#), [241](#).



Milosevic, Slobodan, Serbian leader  
[2754](#), [2756](#), [2757](#), [3177](#), [3178](#), [3178](#), [3178](#), [3178](#), [3179](#), [3180](#), [3180](#), [3180](#), [3181](#), [3182](#),  
[3182](#), [3186](#), [3188](#), [3370](#).

Milosh Obrenovich, prince of Serbia  
[1284](#), [1284](#), [1284](#), [1284](#), [1284](#), [1285](#), [1285](#), [1285](#), [1285](#), [1286](#), [1286](#), [1328](#), [1329](#).

Miltiades, Athenian general  
[180](#), [187](#), [188](#), [188](#), [190](#).

Miltitz, Karl von, papal chamberlain  
[613](#).

Milton, John, English writer  
[594](#), [675](#).

Miluofuo  
[158](#).

Milvian Bridge, Saxa Rubra  
[262](#).

Milwaukee  
[1619](#).

Milyutin, king of Serbia  
[562](#), [562](#).


Mimana  
*See* [Kaya](#).

Mimar Sinan, Ottoman architect  
[794](#), [794](#), [795](#), [796](#), [798](#).

Min, queen of Korea  
[1430](#), [1431](#), [1432](#), [1433](#), [1458](#).

Mina  
[281](#).

Minamata, Kyushu  
[4241](#).

Minami Jir , Japanese leader  
[2493](#).

Minamoto (Genji) clan  
[386](#), [386](#), [386](#), [387](#), [387](#), [387](#), [388](#), [389](#), [394](#), [394](#), [394](#), [396](#).

Minamoto Masako, Japanese leader  
[394](#), [394](#).

Minamoto Noriyori  
[394](#).



## Subject Index

### Page 50

- Minamoto no Yoritomo, Japanese leader  
[387](#), [387](#), [387](#), [394](#), [394](#), [394](#), [394](#), [394](#), [394](#).
- Minamoto no Yoshitomo, Japanese leader  
[387](#), [387](#), [387](#).
- Minamoto Sanetomo, Japanese leader  
[394](#), [394](#).
- Minamoto Yoriie  
[394](#), [394](#).
- Minamoto Yorimasa, Japanese leader  
[387](#).
- Minamoto Yoriyoshi, Japanese leader  
[386](#).
- Minamoto Yoshiie, Japanese leader  
[387](#).
- Minamoto Yoshinaka  
[387](#), [394](#).
- Minamoto Yoshitsune  
[387](#), [394](#), [394](#).
- Minamoto Yukiie  
[394](#).
- Minangkabau  
[837](#), [1414](#).
- Minas Gerais, Brazil  
[916](#), [916](#), [916](#), [918](#), [918](#), [1677](#), [2271](#), [2271](#), [2271](#), [3615](#).
- Mindanao  
[867](#), [867](#), [867](#), [867](#), [1480](#), [1480](#), [1480](#), [1481](#), [1481](#), [4289](#), [4291](#), [4292](#), [4293](#), [4294](#).
- Mindaugas, Lithuanian ruler  
[557](#).
- Minden, battle of  
[664](#).

Mindon Min, king of Burma

[1402](#), [1402](#).

Mindszenty, Josef Cardinal, Hungary

[2649](#), [3143](#).

Mineans

[126](#), [128](#).

Mingdi, Chinese emperor

[155](#).

Ming dynasty

[281](#), [282](#), [339](#), [342](#), [371](#), [373](#), [376](#), [376](#), [376](#), [376](#), [380](#), [381](#), [399](#), [399](#), [399](#), [399](#), [576](#),  
[580](#), [851](#),  
[854](#), [854](#), [854](#), [854](#), [854](#), [855](#), [856](#), [859](#), [1447](#), [4151](#).

Minghetti, Marco, Italian leader

[1219](#).

Ming-manh, emperor of Vietnam

[1473](#), [1473](#).

Minié, Claude Étienne, inventor

[985](#).

minimalists

[1191](#).

Minimum Wage Act, Canada

[2231](#).

mining

[90](#), [364](#), [364](#), [1562](#); Africa, [43](#), [1506](#), [1547](#), [1553](#), [1553](#), [1556](#), [1556](#), [1558](#); Western Europe, [443](#); Americas, [911](#), [911](#), [911](#), [918](#); Great Britain, [1049](#), [1049](#), [1162](#); Spain, [1062](#); Iran, [1351](#); Australia, [1490](#); New Zealand, [1502](#); U.S., [1594](#), [1595](#), [1595](#); Canada, [1633](#); Latin America, [1662](#), [1668](#); diamonds, [2568](#).

Mining Act, England

[1049](#), [1049](#).

Mining Corporation of Bolivia, COMIBOL

[3538](#), [3538](#), [3538](#).

Ministry of Commercial Affairs, China

[1424](#).

Ministry of State Control, Russia

[3261](#).

Minitel

[2704](#).

Min Ky m-ho, Korean official

[1430](#).

Minnesota

[1587](#), [1596](#), [1623](#), [3415](#).

Mino

[857.](#)

Minoa

[66.](#) [67.](#) [169.](#) [169.](#) [169.](#) [169.](#) [169.](#) [170.](#)

Minorca

[659.](#) [724.](#) [724.](#)

Minority Front, South Africa

[4488.](#)

Minos, king of Knossos

[169.](#) [169.](#)

Minseit , Japanese party

[2509.](#) [2516.](#)

Minsk

[557.](#) [1262.](#) [2125.](#) [2597.](#) [3319.](#)

Minto, 4th earl, Gilbert John Elliot-Murray-Kynynmond, governor-general of Canada

[1638.](#)

Minto, lord, Hugh Elliot, governor-general of India

[1394.](#) [1394.](#)

Mintoff, Dominic, Maltese leader

[2968.](#)

Minucius Felix, Marcus, Christian apologist

[259.](#)

Minuit, Peter, Dutch colonial administrator

[932.](#)

Minyan Ware

[170.](#)

Minyas

[171.](#)

Minyue

[155.](#)

Miquelon

[940.](#)

Mirabeau, Honoré de

[1002.](#)

Mirabeau, marquis de, Victor Riqueti, French economist

[717.](#)

miracle plays

[594.](#)

Mir Ali Shir Nava'i, translator

[308.](#)

Miramón, Miguel, Mexican leader

[1691](#).  
Miranda, Francisco de, Latin American leader  
[1650](#), [1650](#), [1650](#).  
Miranda, Rogelio, Bolivian leader  
[3542](#).  
Miranda decision  
[3441](#).  
Mir Damad, founder of School of Isfahan  
[815](#), [815](#).  
Mirdasid dynasty  
[317](#).  
Mir Jafar, Indian general and nawab of Bengal  
[835](#).  
Mir Mahmud, invader of Iran  
[816](#), [816](#), [819](#), [819](#).  
Miro Cardona, José, Cuban leader  
[3715](#), [3715](#), [3717](#).  
Mir Vays, leader of Ghilzay Afghans  
[816](#), [819](#).  
Mirza, shah, ruler of Kashmir  
[333](#).  
Mirza, Iskander, Pakistani leader  
[3994](#), [3994](#).  
Mirza Abd al-Vahhab Isfahani, Iranian official  
[1349](#).  
Mirza Aqa Khan Kirmani, Iranian reformer  
[1351](#).  
Mirza Baba, artist  
[1349](#).  
Mirza Ghulam Ahmad, religious leader  
[1398](#).  
Mirza Husayn, Iranian official  
[1350](#).  
Mirza Husayn Ali Nuri, religious leader  
[1350](#), [1350](#).  
Mirza Malkum Khan, Iranian reformer  
[1351](#), [1352](#).  
Mirza Muhammad Husayn Farahani, Iranian official  
[1351](#).  
Mirza Riza Kirmani, assassin of Nasir al-Din  
[1351](#).

Mirza Salih Shirazi, journalist

[1350](#).

Mirza Sayyid Muhammad Hasan Shirazi, Muslim leader

[1350](#).

Mirza Taqi Khan, Iranian official

[815](#), [1350](#), [1350](#).

Misenum

[247](#).

Mise of Amiens

[445](#).

Mise of Lewes

[445](#).

Mishima Yukio, writer

[4238](#).

Mishra, L. N., Indian leader

[3973](#).

Misiones territories, Argentina

[1660](#).

Miskito Indians

[1683](#), [1684](#), [3682](#).

Misir Air

[2362](#).

missionaries

[1394](#), [1709](#); Eastern Europe, [483](#); East Asia, [530](#); Iran, [815](#); China, [854](#), [1415](#), [1416](#), [1418](#); Japan, [857](#); Vietnam, [863](#), [1473](#), [1473](#); Philippines, [867](#); Africa, [875](#), [878](#), [878](#), [878](#), [879](#), [879](#), [880](#), [880](#), [885](#), [886](#), [888](#), [890](#), [892](#), [1506](#), [1506](#), [1513](#), [1514](#), [1514](#), [1514](#), [1514](#), [1515](#), [1516](#), [1522](#), [1522](#), [1522](#), [1524](#), [1529](#), [1529](#), [1529](#), [1529](#), [1535](#), [1535](#), [1535](#), [1536](#), [1536](#), [1538](#), [1538](#), [1543](#), [1543](#), [1543](#), [1545](#), [1545](#), [1546](#), [1547](#), [1547](#), [1547](#), [1548](#), [1549](#), [1550](#), [1552](#), [1553](#), [1553](#), [2567](#); North America, [905](#), [921](#), [921](#), [922](#); Americas, [910](#), [910](#), [913](#); Asia and Africa, [958](#); Bulgaria, [1299](#); Middle East, [1335](#), [1337](#), [1339](#); Pacific Islands, [1476](#), [1476](#), [1476](#), [1477](#); New Zealand, [1500](#); Christian, [1701](#).

Missionary Ridge, battle of

[1588](#).

Mississippi, U.S. state

[1580](#), [1585](#), [1594](#), [3409](#), [3420](#).

Mississippian period

[53](#).

Mississippi Bubble

[715](#), [715](#).

Mississippi Plan

1604.  
Mississippi River  
64, 666, 905, 907, 921, 921, 921, 922, 939, 940, 940, 951, 952, 1565, 1567, 1575, 1575, 1581, 1587, 1587, 1588.  
Mississippi Valley  
280.  
Missolonghi  
1274, 1274, 1274.  
Missouri, U.S. ship  
2645.  
Missouri, U.S. state  
1574, 1583, 2189.  
Missouri Compromise  
1574, 1582, 1583, 1584.  
Missouri River  
1568.  
Mistra  
564, 569.  
Mistral, Gabriela, poet  
2241.  
Mitanni  
46, 86, 93, 93, 113, 113, 113.  
Mita of Mushku, possibly Midas  
114.  
Mitau, battle of  
1794.  
Mit Cham Savings Bank, Egypt  
3910.  
Mitchell, George, U.S. leader  
2815.  
Mitchell, Keith, Grenadian leader  
3765.  
Mithanes, satrap of Armenia  
119.  
Mithra  
86, 121.  
Mithridates I, ruler of Pontus  
213, 214, 216.  
Mithridates II, the Great  
130, 213, 216, 241.  
Mithridates VI Eupator, king of Pontus



[237](#), [237](#), [240](#), [240](#).  
Mithridatic Wars  
[237](#), [237](#), [237](#), [237](#), [240](#), [240](#).  
Miti  
[4241](#).  
Mitko, Thimi, Albanian folklorist  
[1325](#).  
Mito, internecine strife in  
[860](#).  
mitochondrial DNA  
[24](#), [24](#), [24](#).  
Mito domain  
[861](#), [1437](#), [1438](#), [1441](#), [1444](#), [1447](#).  
Mitre, Bartolomé, Latin American leader  
[1659](#), [1659](#), [1659](#), [1660](#), [1660](#), [1660](#).  
Mitrone, Dan, U.S. official  
[3530](#).  
Mitrovica, Kosovo  
[3182](#).  
Mitsotakis, Constantine  
[3229](#).  
Mitsuhide, Akechi, Japanese general  
[857](#).  
Mitsuhito  
[1447](#), [1455](#), [1470](#).  
Mitsukuni, Tokugawa, Japanese historian  
[860](#).  
Mitterrand, François  
[2862](#), [2865](#), [2870](#), [2873](#), [2873](#), [2874](#), [2876](#), [2876](#), [2877](#), [2879](#), [2881](#), [4280](#).  
Mittin, king of Tyre  
[109](#).  
Mitylene  
[199](#).  
Mixed Courts, Egypt  
[1371](#).  
Miyazawa Kiichi, Japanese leader  
[4244](#), [4245](#), [4246](#), [4246](#).  
Mizoram  
[3976](#), [3980](#).  
Mizo rebels  
[3968](#).

Mkapa, Benjamin William, Tanzanian leader  
[4427](#), [4427](#).

Mladenov, Petur, Bulgarian leader  
[3239](#), [3241](#).

MNR  
[3538](#).

Mnyasa, Romo Nyirenda, religious leader  
[2568](#).

Moab  
[104](#).

Mobile  
[907](#), [922](#).

Mobile and Ohio Railroad  
[1580](#).

Mobile Bay  
[922](#).

Mocamedes  
[1538](#), [1539](#), [1539](#).

Moch, Jules, French leader  
[2843](#), [2844](#).

Moche culture  
[8](#), [58](#), [58](#), [58](#), [59](#), [60](#).

Mocovi  
[570](#).

Moctezuma, Mexica ruler  
[901](#), [901](#).

Moctezuma II, Mexica leader  
[570](#).

Model Parliament, England  
[446](#).

Model T  
[1617](#).

Modena  
[746](#), [1066](#), [1066](#), [1068](#), [1092](#), [1211](#), [1211](#), [1212](#).

Moderados, Spain  
[1062](#), [1062](#).

modernism  
[1146](#).

Modernista movement  
[1146](#), [2702](#).

Modernists

[1223](#), [1224](#).

modernization

[1146](#), [1328](#), [1561](#), [1706](#), [1707](#); Middle East and North Africa, [1327](#), [1327](#); Middle East and Egypt, [1328](#); Middle East, [1331](#); Iran, [1350](#); Afghanistan, [1357](#); Egypt, [1366](#), [1370](#); India, [1396](#); Africa, [1523](#); Japan, [1706](#); ideologies, [2644](#).

Mo Di

See [Mo-zi, Chinese philosopher](#).

Modibo Keita, Malian leader

[4325](#).

Modon

[508](#).

Moesia

[243](#), [252](#), [254](#), [257](#), [258](#), [269](#).

Moffat, John S., missionary

[1546](#), [1547](#).

Moffat, Robert, missionary

[1552](#).

Moga, Great King

[130](#).

Mogadishu

[362](#), [362](#), [2612](#), [4400](#), [4400](#), [4402](#).

Mogadishu hostage crisis

[3007](#).

Mogador, Essaouira

[110](#), [825](#), [1376](#), [1376](#).

Mogae, Festus, Botswanan leader

[4458](#).

Mogholgai, Afghanistan

[3832](#).

Mogollon Indians

[40](#).

Mohács, battles of

[614](#), [634](#), [635](#), [757](#), [793](#).

Mohajir Quami Movement, Pakistan

[4013](#).

Mohammed, Ghulam, Pakistani leader

[3991](#).

Jinnah, Mohammed Ali, Pakistani leader

[3950](#), [3952](#).

Mohawk Indians

[935](#), [3457](#).

Mohenjo-Daro  
[62](#), [66](#), [129](#).

Moi, Daniel arap, Kenyan leader  
[4417](#), [4417](#), [4417](#), [4417](#), [4418](#), [4418](#), [4418](#).

Moir, 2nd earl, Francis Rawdon-Hastings, governor-general of India  
[1394](#), [1394](#).

Mojmir, Moravian ruler  
[483](#).

Mokalapa, Willie, African leader  
[1558](#).

Mokhehle, Ntsu, Lesotho leader  
[4473](#).

Mola, Emilio, Spanish leader  
[1929](#).

Molasses Act, England  
[939](#), [941](#).

Moldavia (Bessarabia)  
[315](#), [787](#), [793](#), [798](#), [806](#), [806](#), [808](#), [809](#), [811](#), [1100](#), [1272](#), [1311](#), [1311](#), [1311](#), [1311](#), [1313](#), [1313](#), [1318](#), [1318](#), [1334](#), [1335](#), [3301](#); and Ottoman Empire, [1333](#); republic proclaimed, [1772](#); WWI, [1776](#), [1777](#); sovereignty, [3301](#), [3358](#); Moldova, [3358](#).

Moldova  
[439](#), [491](#), [560](#), [632](#), [2066](#), [3301](#), [3301](#), [3303](#), [3303](#), [3304](#), [3304](#), [3358](#), [3358](#), [3380](#); independence, [3358](#); ethnicity, [3359](#); and Russia, [3359](#), [3361](#). *See* [Moldavia \(Bessarabia\)](#).

Molé, Louis Mathieu  
[1081](#), [1081](#).

Molina, Alfonso Quiñones, El Salvadorian leader  
[2280](#).

Molina, Arturo, Salvadoran leader  
[3664](#), [3664](#).

Mollet, Guy, French leader  
[2848](#), [2849](#).

Mollien, Gaspard, explorer  
[1507](#).

Mollwitz, battle of  
[660](#).

Molniya  
[2641](#).

Molon, governor of Mesopotamia  
[214](#).

Molossus, Athenian commander

204.  
Molotov, Vyacheslav, Russian leader  
2079, 2590, 2714, 3261, 3265, 3267, 3271, 3278.  
Moltke, Helmuth von, Prussian general  
1102, 1104, 1141, 1233, 1237, 1738, 1738, 1738.  
Molucca Islands  
339, 574, 589, 596, 834, 2630, 4119.  
Mombassa  
882, 882, 882, 1528, 1528, 1528, 1529, 1537, 4408.  
Momoh, Joseph Saidu, Sierra Leonean leader  
4382.  
Mompó de Zayas, Fernando, rebel leader in Paraguay  
913.  
Monaco  
1066, 2636.  
Monagas, José Gregorio, Latin American leader  
1675.  
Monagas, José Tadeo, Latin American leader  
1675.  
monarchism  
1008, 1059, 1188, 1189.  
Monash, John  
2537.  
monasteries  
463; England, 586; English dissolution, 586; Portuguese abolishment, 1064.  
Monastery of the Caves, Kiev  
488.  
monasticism  
268, 401, 406, 407, 408, 408, 417, 417, 421, 422, 422, 425, 425, 426, 431, 432, 433,  
433, 433, 433, 433, 434, 601; in the Middle Ages, 466, 466.  
Monastir (Bitolje)  
1137, 1139, 1797, 1806, 1808.  
Moncada, José, Nicaraguan leader  
2285.  
Moncada garrison, Santiago  
3714.  
Monck, 1st baron, Charles Stanley, governor-general of Canada  
1630.  
Monck, George, English general  
673.  
Moncloa Pact, Spain

[2897](#).  
Moncontour, battle of  
[598](#).  
Mondale, Walter, U.S. leader  
[3425](#), [3428](#).  
Mondlane, Eduardo  
[4462](#), [4462](#).  
Mondovi, battle of  
[1009](#).  
Monet, Claude, artist  
[1146](#).  
Möngke, Mongol Great Khan  
[304](#), [374](#), [374](#), [375](#).  
Mongol Empire  
[281](#), [282](#), [305](#), [380](#), [575](#), [576](#), [816](#).  
Mongolia  
[28](#), [154](#), [158](#), [158](#), [160](#), [278](#), [368](#), [369](#), [374](#), [376](#), [473](#), [852](#), [1465](#), [2487](#), [2487](#), [2644](#),  
[2686](#), [2719](#), [4187](#), [4188](#); Mongolian People's Republic, [2487](#), [4187](#), [4187](#); People's  
Government, [2487](#), [2487](#); People's Republic, [2487](#); and Russia, [4187](#), [4187](#), [4187](#);  
Republic of Mongolia, [4187](#), [4187](#); and China, [4187](#), [4187](#).  
Mongolian People's Army  
[2487](#).  
Mongolian People's Party  
[2487](#).  
Mongolian People's Revolutionary Party  
[2487](#), [2487](#), [4187](#).  
Mongoloid peoples  
[138](#), [138](#), [164](#).  
Mongols  
[281](#), [281](#), [281](#), [282](#), [282](#), [299](#), [301](#), [301](#), [301](#), [302](#), [302](#), [303](#), [303](#), [304](#), [304](#), [305](#), [305](#),  
[305](#), [305](#), [305](#), [305](#), [306](#), [306](#), [307](#), [309](#), [309](#), [319](#), [319](#), [319](#), [324](#), [331](#), [332](#), [332](#), [334](#),  
[339](#), [340](#), [341](#), [342](#), [342](#), [374](#), [374](#), [374](#), [374](#), [374](#), [374](#), [374](#), [375](#), [375](#), [375](#), [375](#), [375](#),  
[375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [376](#), [376](#), [376](#), [378](#), [380](#), [380](#), [380](#), [380](#), [380](#),  
[381](#), [382](#), [395](#), [395](#), [395](#), [398](#), [399](#), [399](#), [399](#), [399](#), [474](#), [487](#), [487](#), [489](#), [489](#), [493](#), [493](#), [493](#),  
[497](#), [510](#), [564](#), [852](#), [852](#), [852](#), [853](#), [853](#), [2487](#); China, [371](#), [374](#); Ural-Altaic, [402](#).  
Monier, Joseph, inventor  
[984](#).  
Monimbo, Masaya  
[3676](#).  
Monitor, Union ironclad  
[1587](#).

Monmouth, battle of  
[949](#).

Monmouth, James, duke of  
*See* [James II, king of England](#).

Monmu, emperor of Japan  
[384](#).

Monnet, Jean, French leader  
[2700](#).

Mononobe clan  
[383](#).

Monophysitism  
[268](#), [275](#), [287](#), [346](#), [427](#), [430](#), [498](#).

Monopoli, battle of  
[499](#).

monopolies  
[1604](#).

monotheism  
[93](#), [101](#).

monothelite heresy  
[430](#).

Monroe, James, U.S. president  
[1514](#), [1573](#).

Monroe, Marilyn, film actor  
[2702](#).

Monroe Doctrine  
[1574](#), [1614](#), [2197](#), [2198](#).

Monrovia  
[1514](#), [4357](#), [4358](#), [4359](#).

Mons, Burmese people  
[341](#), [342](#), [844](#), [844](#), [844](#), [844](#), [845](#), [845](#), [4053](#).

Mons, battle of  
[1738](#), [1789](#).

Monserrate, Antonio, missionary  
[832](#).

Montagnier, Luc, medical researcher  
[2704](#).

Montagu, Edwin, British leader  
[2432](#), [2432](#).

Montagu-Chelmsford reforms  
[2433](#), [2437](#).

Montaigne, Michel Eyquem de, French essayist

[584](#), [600](#).  
Montalembert, count of, Charles Forbes, French leader  
[1035](#).  
Montana  
[1592](#), [1603](#), [1607](#); territory, [1594](#).  
Montano, Arias, Spanish scholar  
[604](#).  
Montaperti, battle of  
[459](#), [534](#).  
Montazeri, Ayatollah, Iranian leader  
[3826](#).  
Montcalm, Louis Joseph de, Montcalm de Saint-Véran  
[940](#).  
Montdidier  
[1738](#), [1812](#).  
Monte Belo Islands  
[2765](#).  
Monte Caseros, battle of  
[1659](#).  
Monte Cassino  
[268](#), [406](#), [412](#).  
Monte Circeo  
[222](#).  
Montecucculi, Raymond  
[652](#).  
Monte Gargano  
[466](#).  
Monte Grappa  
[1778](#).  
Monteil, Parfair-Louis, French colonial administrator  
[1121](#).  
Montejo, Francisco de, Spanish conquistador  
[902](#), [902](#).  
Montenegro  
[314](#), [494](#), [494](#), [494](#), [1106](#), [1106](#), [1106](#), [1107](#), [1108](#), [1108](#), [1110](#), [1132](#), [1132](#), [1136](#),  
[1137](#), [1138](#), [1138](#), [1286](#), [1296](#), [1296](#), [1296](#), [1296](#), [1296](#), [1297](#), [1297](#), [1325](#), [1326](#), [1340](#),  
[1343](#), [1344](#), [1348](#), [1738](#), [1738](#), [1738](#), [1779](#), [1779](#), [2127](#), [2127](#), [2127](#), [2127](#), [3177](#),  
[3177](#), [3177](#), [3178](#), [3178](#), [3178](#), [3180](#), [3180](#), [3180](#), [3182](#); and Russia, [1296](#); and  
Ottoman Empire, [1296](#), [1296](#), [1334](#); war with Ottoman Empire, [1296](#); and Balkan  
Wars, [1297](#); in WWI, [1297](#); wars with Ottoman Empire, [1341](#); WWI, [1744](#), [1769](#),  
[1780](#), [1780](#).



Montereau

[522](#), [1031](#).

Monterey, battle of

[1578](#).

Montero, José, Paraguayan leader

[2248](#).

Montero, Juan, Chilean leader

[2246](#), [2246](#).

Monterrey

[904](#), [1688](#).

Montes, Ismael, Bolivian leader

[1669](#), [1669](#), [2254](#).

Montes Claros, battle of

[727](#).

Montesinos, Vladimiro, Peruvian leader

[3566](#), [3566](#).

Montesquieu, baron of, Charles-Louis de Secondat

[645](#), [1352](#), [1425](#).

Monteverdi, Claudio, Italian composer

[735](#).

Montevideo

[906](#), [915](#), [1644](#), [1644](#), [1647](#), [1647](#), [1647](#), [1667](#), [1667](#), [1667](#), [1667](#), [1667](#), [1667](#), [2240](#), [2598](#), [3532](#).

Montezuma

See [Moctezuma, Mexica ruler](#).

Montfort, Simon de, English leader

[445](#), [445](#), [445](#), [446](#), [450](#), [469](#), [479](#).

Montgomery

[1585](#), [3400](#), [3406](#), [3411](#), [3411](#); bus boycott, [3390](#).

Montgomery, Aaron, U.S. merchant

[1597](#).

Montgomery, Bernard L., British commander

[2614](#), [2622](#).

Montgomery, Richard, American commander

[947](#).

Monthéry, battle of

[524](#).

Montmirail, battle of

[1031](#).

Montmorency, Anne de, duke and constable of France

[598](#).

Montoneros, Argentina

[3489](#), [3491](#).

Montpellier

[477](#), [511](#), [523](#).

Montpensier, duke of, Antoine, husband of Luisa Fernanda of Spain

[1063](#).

Montreal

[920](#), [921](#), [940](#), [947](#), [1623](#), [1623](#), [1625](#), [1625](#), [1625](#), [1625](#), [1625](#), [1629](#), [1629](#), [1630](#), [1638](#),  
[2633](#), [2664](#), [2673](#), [3443](#), [3445](#), [3452](#), [3452](#), [3454](#), [3454](#).

Montreal Board of Trade

[1630](#).

Montreal Ocean Steamship Company

[1630](#).

Montreal Rolling Mills

[1630](#).

Montreux

[1725](#), [2367](#).

Montreux Convention

[2333](#), [3797](#).

Montrose, marquis of, James Graham

[592](#), [669](#).

Monts, sieur de, Pierre du Guast, French explorer

[920](#), [920](#).

Montserrat

[931](#), [3756](#), [3765](#).

Montt, Jorge, Latin American leader

[1663](#), [1664](#).

Montt, Manuel, Latin American leader

[1662](#), [1662](#), [1662](#), [1663](#).

Montt y Montt, Pedro, Latin American leader

[1664](#).

Monza

[1223](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 51

Monzaemon, Chikamatsu, Japanese playwright

[861](#).

Monzón, Elfego, Guatemalan leader

[3649](#).

Moore, John

[1027](#).

Moors

[257](#), [332](#), [476](#), [476](#), [477](#), [528](#), [528](#), [529](#), [605](#), [870](#), [871](#), [908](#), [910](#), [1199](#); in Spain, [420](#), [476](#), [476](#), [476](#), [477](#), [479](#), [480](#); in Portugal, [480](#), [480](#).

Moplahs, Muslims on Malabar

[2435](#).

Moqui Indians

[903](#).

Mora, José María Luis, Mexican leader

[1687](#).

Mora, Juan Rafael, Latin American leader

[1683](#), [1685](#).

Morais Barros, Prudente de, Latin American leader

[1677](#).

Morales, Agustín, Latin American leader

[1668](#).

morality plays

[594](#).

Moral Majority, U.S.

[3427](#).

Morat

[524](#), [546](#).

Moratorium Day

[3417](#), [3418](#).

Moravia

[258](#), [415](#), [434](#), [482](#), [483](#), [486](#), [486](#), [491](#), [540](#), [544](#), [561](#), [613](#), [622](#), [663](#), [1073](#), [1089](#), [1835](#), [2013](#), [2021](#), [2021](#); occupation by Germany, [1992](#).

Moravska Ostrava, skirmish at  
[1835](#).

Morazán, Francisco, Latin American leader  
[1680](#), [1680](#), [1680](#), [1680](#), [1685](#), [1686](#).

More, Thomas  
[586](#), [586](#), [594](#).

Morea  
[313](#), [314](#), [315](#), [473](#), [564](#), [568](#), [568](#), [569](#), [569](#), [745](#), [793](#), [804](#), [805](#), [806](#), [808](#), [1272](#), [1272](#), [1274](#), [1328](#), [1367](#).

Moreau, Jean Victor, French soldier  
[1009](#), [1015](#), [1016](#).

Morel, Edward D., reformer  
[1544](#).

Morelos  
[2290](#).

Morelos y Pavón, José Maria, Mexican leader  
[957](#), [1653](#), [1653](#), [1653](#).

Moreno, Alfredo Baquerizo, Ecuadorian leader  
[2264](#).

Moreno, Mariano, Latin American leader  
[1644](#), [1644](#).

Moresby, Capt. John  
[1494](#).

Moresnet  
[1784](#), [1882](#).

Moret, Sigismondo, Spanish leader  
[1204](#).

Moret Law, Spain  
[1693](#).

Moreton Bay  
[1488](#).

Morgagni, Giovanni, scientist  
[647](#).

Morgan, Thomas H., zoologist  
[1154](#).

Morgarten, battle of  
[546](#).

Morgentaler, Henry, physician  
[3456](#).



[1379](#), [1379](#), [1379](#); and Tunisia, [1387](#); and Spain, [1920](#), [1921](#), [1929](#), [2418](#), [2418](#), [2418](#), [2420](#), [3920](#); WWII, [2614](#), [2615](#); war in western Sahara, [3768](#); French, [3919](#); Spanish, [3919](#); independence, [3920](#).

Moro Islamic National Liberation Front, Philippines  
[4291](#), [4293](#), [4294](#).

Morones, Luis N., Mexican leader  
[2295](#).

Moronobu, Hishikawa, Japanese artist  
[861](#).

Morosini, Pier, patriarch of Constantinople  
[508](#).

Morotai  
[2630](#).

Morrill Act, U.S.  
[1586](#), [1587](#).

Morris, Edward  
[2235](#).

Morris, Edward P.  
[1641](#).

Morris, Robert, American leader  
[952](#).

Morrison, Herbert, British leader  
[2764](#).

Morrison, Robert, missionary  
[1415](#).

Morrison, Toni, writer  
[3430](#).

Morrow, Dwight W., U.S. diplomat  
[2196](#), [2196](#).

Morse, Samuel F. B., inventor and painter  
[989](#), [1576](#).

Mortimer, Roger de IV  
[512](#), [512](#).

Mortimer's Cross, battle of  
[515](#).

Morton, John, bishop of Ely  
[516](#).

Morton, William T. G., surgeon  
[1043](#).

Morúa Law, Cuba  
[1693](#).

Moscicki, Ignace, Polish leader

[1838](#), [2119](#), [2121](#), [2208](#).

Moscow

[281](#), [488](#), [489](#), [557](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [584](#), [629](#), [629](#), [629](#), [630](#), [630](#), [630](#), [633](#), [657](#), [783](#), [783](#), [783](#), [785](#), [788](#), [956](#), [961](#), [967](#), [1029](#), [1143](#), [1262](#), [1263](#), [1269](#), [1422](#), [1828](#), [1837](#), [2012](#), [2066](#), [2069](#), [2074](#), [2080](#), [2081](#), [2084](#), [2101](#), [2162](#), [2273](#), [2465](#), [2470](#), [2492](#), [2524](#), [2544](#), [2583](#), [2591](#), [2592](#), [2593](#), [2632](#), [2684](#), [2706](#), [2715](#), [2715](#), [2718](#), [2719](#), [2719](#), [2721](#), [2723](#), [2723](#), [2724](#), [2731](#), [2748](#), [2772](#), [2984](#), [2991](#), [2992](#), [2995](#), [3005](#), [3005](#), [3006](#), [3010](#), [3015](#), [3022](#), [3031](#), [3037](#), [3076](#), [3079](#), [3089](#), [3096](#), [3098](#), [3128](#), [3128](#), [3128](#), [3129](#), [3131](#), [3148](#), [3170](#), [3171](#), [3200](#), [3234](#), [3236](#), [3250](#), [3266](#), [3269](#), [3273](#), [3273](#), [3275](#), [3277](#), [3286](#), [3286](#), [3290](#), [3292](#), [3298](#), [3300](#), [3319](#), [3364](#), [3364](#), [3364](#), [3365](#), [3370](#), [3371](#), [3371](#), [3446](#), [3716](#), [3719](#), [3960](#), [3966](#), [3967](#), [4081](#), [4121](#), [4125](#), [4145](#), [4154](#), [4231](#); sack of (1571), [629](#); grand duchy of, [631](#); Treaty of, [2087](#); WWII, [2593](#), [2594](#); conference, [4189](#).

Moscow Conservatory

[1259](#).

Moselle

[492](#), [2993](#); Canal, [3000](#).

Moselle Rhine

[404](#).

Moses

[104](#), [105](#), [283](#), [479](#).

Moesia

[245](#).

Moshoeshoe, African leader

[1551](#), [1551](#), [1551](#), [1553](#), [1553](#).

Moshoeshoe II, king of Lesotho

[4473](#), [4473](#), [4473](#), [4473](#), [4474](#).

Mosisili, Pakalitha, Lesotho leader

[4474](#).

Mosley, Oswald, British Fascist

[1704](#), [1847](#).

Mosque of Bayezid II

[315](#).

Mosque of Mehmed the Conqueror, Istanbul

[314](#).

Mosquera, Líber Seregni, Uruguayan leader

[3530](#).


Mosquera, Tomás Cipriano de, Latin American leader

[1672](#), [1673](#).

Mosquitia, kingdom of

[1683](#), [1686](#).  
Mossel Bay  
[365](#).  
Mossi  
[358](#), [870](#), [1517](#).  
Mostar  
[3188](#).  
most-favored-nation status  
[1247](#), [1360](#), [1386](#), [1416](#), [1422](#), [1438](#), [1449](#), [1458](#), [1465](#), [1638](#).  
Mosul  
[287](#), [291](#), [297](#), [300](#), [301](#), [302](#), [303](#), [318](#), [319](#), [474](#), [505](#), [505](#), [792](#), [806](#), [807](#), [1331](#),  
[1751](#), [1753](#), [1788](#), [2328](#), [2399](#), [2402](#), [2402](#), [2405](#), [2591](#), [3880](#).  
Mota, Antonio de, Portuguese leader  
[281](#).  
Mother Goddess  
[169](#).  
Mother Goose, by Charles Perrault  
[714](#).  
Motherland Party, Turkey  
[3798](#).  
Mother Theresa, Christian charitable worker  
[3986](#).  
Motor Carrier Act, U.S.  
[2205](#).  
Motoshima Hitoshi, Japanese leader  
[4243](#).  
Mott, Lucretia, U.S. reformer  
[1579](#).  
Motya  
[110](#), [110](#), [184](#).  
Moulay Yusuf, sultan of Morocco  
[2419](#).  
Moulin, Jean, French leader  
[1918](#).  
mound builders  
[64](#), [65](#).  
Moundville  
[53](#).  
Mt. Abu  
[325](#), [331](#).  
Mountain, la Montagne



[1003](#), [1004](#), [1007](#), [1008](#).  
Mount Asama, eruption of  
[862](#).  
Mt. Athos  
[494](#), [2147](#).  
Mountbatten, Louis  
[2631](#), [3954](#).  
Mountbatten, Philip, duke of Edinburgh  
*See* [prince ~Philip, consort of Elizabeth II](#).  
Mount Carmel  
[91](#), [103](#), [107](#), [109](#).  
Mt. Ceniz Pass  
[614](#).  
Mt. Elgon  
[347](#), [362](#).  
Mount Etna  
[228](#).  
Mount Fuji  
[861](#).  
Mount Hiei  
[385](#), [857](#).  
Mount Holyoke Seminary  
[1576](#).  
Mount Ithome  
[191](#).  
Mountjoy, lord, William Stewart, subjugator of Ireland  
[589](#).  
Mt. Kilimanjaro  
[362](#).  
Mt. K  ya  
[385](#).  
Mount Laurium  
[176](#), [189](#).  
Mount Lebanon  
[798](#), [800](#), [805](#), [810](#), [1333](#), [1335](#), [2379](#), [2379](#), [3849](#).  
Mt. Lovchen  
[1744](#).  
Mount Pangaeus  
[176](#), [194](#).  
Mount Pentelicus  
[176](#).

Mt. Pinatubo, Philippines

4293.

Mt. Tiantai

385.

Mount Vernon

952.

Mount Vesuvius

252.

Mouridiyya brotherhood

1511.

Mousterian technology

23.

Mouvement Démocratique Voltaïque

4330.

Mouvement National Algérien, MNA

3925.

Mouvement National Congolais-Lumumba, MNC/L

4449.

Mouvement national de la révolution, Congo

4446.

Mouvement Populaire de la Révolution, MPR

4450.

Mouvement pour le Triomphe des Libertés Démocratiques, MTLD

3925.

Mouvement Républicain Populaire, MRP

2839, 2850.

Mouvement Révolutionnaire Nationale pour le Développement, MRND

4420, 4420.

Mouzalon, George, Greek commander

565.

Movement for a Democratic Slovakia, HZDS

3138.

Movement for Multiparty Democracy, Zambia

4465.

Movement for the Restoration of the Ten Commandments of God

4431.

Movement of the Restoration of Democracy, MRD

4008.

Movement of the Revolutionary Left, MIR

3548, 3599.

Movement of Young Intellectuals, Angola

[4432](#).  
Movimento de Liberaç de São Tomé and Príncipe, MLSTP  
[4374](#), [4374](#).  
Movimento Democrático Brasileiro, MDB  
[3614](#).  
Movimento Nacional da Resistencia de Mozambique, MNR  
[4416](#), [4459](#), [4462](#), [4462](#), [4462](#), [4463](#), [4480](#).  
Movimento Popular de Libertação de Angola, MPLA  
[2636](#), [4433](#), [4434](#), [4436](#), [4436](#), [4436](#), [4437](#), [4439](#), [4443](#), [4476](#).  
Mowinckel, Johan, Norwegian leader  
[2044](#), [2047](#).  
Moyné, baron, Walter Edward, British leader  
[2394](#).  
Moynihan, Daniel Patrick, U.S. leader  
[3421](#).  
Mozambique  
[364](#), [869](#), [887](#), [888](#), [888](#), [889](#), [889](#), [889](#), [953](#), [954](#), [969](#), [1546](#), [1546](#), [1546](#), [1547](#), [1548](#),  
[1548](#), [1550](#), [2554](#), [2565](#), [2568](#), [2572](#), [2636](#), [2638](#), [2672](#), [2674](#), [2697](#), [2916](#), [4320](#),  
[4320](#), [4416](#), [4436](#), [4438](#), [4455](#), [4457](#), [4459](#), [4459](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#),  
[4463](#), [4463](#), [4464](#), [4465](#), [4467](#), [4480](#); independence, [4320](#), [4462](#); makeup, [4455](#).  
Mozambique Company  
[1548](#).  
Mozdok  
[2596](#).  
Mozhaïsk  
[2595](#).  
Mo-zi, Chinese philosopher  
[68](#), [144](#), [146](#).  
Mpande, African leader  
[1551](#), [1552](#).  
Mrichchakatika, Little Clay Cart  
[131](#).  
Mshope people  
[1529](#).  
Msiri, Nyamwezi trader  
[1539](#), [1541](#).  
Mstislav, brother of Yaroslav I  
[488](#).  
Mswati III, king of Swaziland  
[4490](#), [4490](#).  
mtDNA

See [mitochondrial DNA](#).

Mthwethwa people

[1549](#), [1550](#).

Mu, Korean king

[378](#).

Muar River

[837](#).

Mu'awiya I, first Umayyad caliph

[289](#), [289](#), [289](#).

Mu'awiya ibn Abi Sufyan, Umayyad caliph

[288](#), [288](#).

Mu`awwad, Rene, Lebanese leader

[3850](#).

Mubarak, Hosni, Egyptian leader

[2678](#), [3876](#), [3913](#), [3914](#), [3916](#), [3917](#), [3917](#), [3917](#), [3918](#).

Mubarak ibn Abdallah, emir of Kuwait

[1362](#), [1362](#), [1364](#).

Mucianus, Licinius, Roman legate

[251](#).

Mudros, armistice of

[1698](#), [1753](#).

Muennich, Ferenc, Hungarian leader

[3149](#).

Mugabe, Robert Gabriel, Zimbabwean leader

[2677](#), [4456](#), [4457](#), [4457](#), [4466](#), [4467](#), [4467](#), [4467](#), [4467](#), [4467](#), [4467](#), [4467](#), [4467](#), [4468](#), [4469](#), [4469](#), [4469](#).

Mughal Empire

[575](#), [578](#), [579](#), [580](#), [813](#), [813](#), [813](#), [814](#), [816](#), [817](#), [819](#), [830](#), [830](#), [830](#), [830](#), [831](#), [831](#), [832](#), [832](#), [832](#), [833](#), [833](#), [833](#), [833](#), [834](#), [834](#), [834](#), [834](#), [834](#), [834](#), [834](#), [834](#), [834](#), [835](#), [835](#), [955](#), [1394](#), [1395](#), [1396](#), [3977](#).

Mughals, Muslim peoples from Central Asia

[331](#), [575](#).

Mugica, Carlos, priest

[3491](#).

Mugwumps, U.S.

[1602](#).

Muhajirs

[4008](#), [4016](#).

Muhammad, brother of Mawlay Abd al-Aziz

[1377](#).

Muhammad, governor of Aleppo

[810](#).  
Muhammad, son of Husayn ibn Ali and ruler of Tunisia

[828](#).  
Muhammad I, emir

[419](#).  
Muhammad I, ruler of India

[333](#).  
Muhammad I, Seljuk leader

[301](#).  
Muhammad II al-Mahdi

[419](#).  
Muhammad III, ruler of India

[334](#).  
Muhammad III, sultan of Morocco

[825](#), [825](#), [825](#).  
Muhammad V, Ben Yusuf

[3919](#), [3919](#), [3920](#).  
Muhammad, Ali Nasir, Yemenite leader

[3894](#), [3895](#).  
Muhammad, Elijah, leader of Nation of Islam

[1706](#).  
Muhammad, Murtala, Nigerian leader

[4368](#), [4368](#).  
Muhammad Abd al-Karim al-Khattabi, Berber leader

[2418](#), [2418](#), [2418](#), [2418](#), [2418](#), [2419](#).  
Wahhab, Muhammad Abd al-, musician

[3916](#).  
Muhammad Abduh, religious reformer

[1374](#), [2365](#), [2420](#), [2423](#).  
Muhammad Abu Likaylik, sheik of Ethiopia

[880](#).  
Muhammad Afdal, ruler of Afghanistan

[1355](#), [1355](#).  
Muhammad al-Aqqad, intellectual

[2357](#).  
Muhammad al-Arbi, historian

[824](#).  
Muhammad al-Battani, mathematician

[297](#).  
Muhammad al-Biruni, scholar

[301](#).

Muhammad al-Bukhari, compiler  
[296](#).

Muhammad al-Burtughali, sultan of Fez  
[822](#).

Muhammad al-Hadi, imam of Yemen  
[1359](#).

Muhammad Ali, shah of Iran  
[1352](#), [1352](#), [1352](#), [1352](#).

Muhammad Ali, Tunisian leader  
[2426](#).

Muhammad al-Idrisi, Arab rebel  
[1364](#).

Muhammad al-Ifrani, Moroccan historian  
[824](#).

Muhammad Ali Pasha, Egyptian viceroy  
[953](#), [1258](#), [1258](#), [1272](#), [1274](#), [1274](#), [1276](#), [1328](#), [1331](#), [1331](#), [1332](#), [1366](#), [1366](#), [1366](#),  
[1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1366](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#), [1367](#),  
[1368](#), [1369](#).

Muhammad al-Jazuli, Sufi leader  
[323](#).

Muhammad al-Jisr, Lebanese leader  
[2379](#).

Muhammad al-Kattani, religious leader  
[1378](#).

Muhammad al-Khwarizmi, mathematician  
[295](#).

Muhammad al-Kulayni, theologian  
[298](#).

Muhammad al-Maghili, theologian  
[323](#), [351](#), [355](#).

Muhammad al-Mahdi, religious leader  
[1392](#).

Muhammad al-Muqrani, Berber leader  
[1383](#).

Muhammad al-Mutawakkil, ruler of Morocco  
[823](#), [823](#).

Muhammad al-Nasir, bey of Tunisia  
[2426](#).

Muhammad al-Nazafi, writer  
[2418](#).

Muhammad al-Qa'im, ruler of Morocco

[822](#).  
Muhammad al-Razi, philosopher and physician  
[297](#).  
Muhammad al-Sadiq Bey, ruler of Tunisia  
[1387](#), [1389](#), [1390](#), [1390](#).  
Muhammad al-Shafi'i, legal scholar  
[294](#).  
Muhammad al-Shawkani, Yemeni scholar  
[1359](#).  
Muhammad al-Sheik, ruler of Morocco  
[293](#), [822](#), [822](#), [822](#), [823](#), [823](#).  
Muhammad al-Tabari, historian  
[297](#).  
Muhammad al-Tawil, Janissary rebel leader  
[799](#).  
Muhammad al-Waqidi, historian  
[294](#).  
Muhammad al-Wazir Ghassani, Moroccan official  
[824](#).  
Muhammad Amin al-Muhibbi, Damascene scholar  
[805](#).  
Muhammad A'zam, ruler of Afghanistan  
[1355](#), [1355](#).  
Muhammad Baha' al-Dawla, Iranian scholar  
[812](#).  
Muhammad Baqir Majlisi, head mulla of Iran  
[816](#).  
Muhammad Bayram al-Khamis, Tunisian leader  
[1391](#).  
Muhammad Bello, religious leader  
[1510](#).  
Muhammad ben Amin ben Muhammad al-Kanami, sheik  
[1510](#).  
Muhammad Ben Arafa, king of Morocco  
[3919](#), [3919](#).  
Muhammad Bey, ruler of Tunisia  
[1388](#), [1388](#), [1388](#), [1390](#).  
Muhammad Bey Abu al-Dhahab, Egyptian commander  
[808](#).  
Muhammad Fahmi Sa'id, Iraqi leader  
[2406](#).

Muhammad Husayn Haykal, intellectual  
[2354](#), [2357](#).

Muhammad ibn Abdallah, Abbasid challenger  
[292](#).

Muhammad ibn Abdallah, Arab prophet of Islam  
[276](#), [285](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [286](#), [287](#), [287](#), [287](#), [287](#), [287](#), [287](#), [287](#), [288](#), [288](#), [291](#), [293](#), [293](#), [293](#), [293](#), [294](#), [334](#), [809](#), [811](#), [815](#), [816](#), [820](#), [822](#), [822](#), [823](#), [829](#), [867](#), [1350](#), [1358](#), [1358](#), [1362](#), [1392](#), [3891](#).

Muhammad ibn Abdallah, emir of Kuwait  
[1362](#).

Muhammad ibn Abd al-Wahhab, Islamic theologian  
[580](#), [820](#).

Muhammad ibn Abi'-Amir, caliph  
[419](#).

Muhammad ibn al-Hanafiyya, son of fourth caliph  
[289](#).

Muhammad ibn Ali al-Sanusi, religious leader  
[1392](#).

Muhammad ibn Arafa al-Warghami, legal scholar  
[323](#).

Muhammad Ibn Battuta, traveler  
[323](#).

Muhammad ibn Ishaq, biographer  
[293](#).

Muhammad ibn Iyas, historian  
[793](#).

Muhammad ibn Rashid, ruler of Jabal Shammar  
[1362](#).

Muhammad ibn Sa'd, biographer  
[295](#).

Muhammad ibn Sa'ud, Saudi ruler  
[820](#), [820](#).

Muhammad ibn Tughj, the Ikshid  
[317](#).

Muhammad ibn Tumart, Berber prophet  
[475](#).

Muhammad Ibn Tumart, Almohad leader  
[322](#), [322](#).

Muhammad ibn Uthman Dey, ruler of Algiers  
[828](#).

Muhammad ibn Yahya Hamid al-Din, imam of Yemen



[1362](#).  
Muhammad ibn Zarruq, Tunisian official  
[1385](#).  
Muhammad Iqbal, Indian leader  
[2439](#).  
Muhammad Khalil al-Muradi, scholar  
[810](#).  
Muhammad Khudabanda  
*See [Muhammad Shah, sultan of Iran](#)*.  
Muhammad Mahmud, Egyptian leader  
[2359](#), [2367](#).  
Muhammad Mossadegh, Iranian leader  
[2651](#).  
Muhammad Nadir Khan, Afghani ruler  
[2348](#).  
Muhammad Nadir Shah  
[2348](#), [2350](#).  
Muhammad of Ghur, Mu'izz-ud-din  
[331](#), [331](#), [335](#).  
Muhammad Reza Pahlevi, shah of Iran  
[2644](#), [2644](#), [2651](#), [2675](#), [2676](#), [3426](#), [3815](#), [3816](#), [3816](#), [3816](#), [3817](#), [3817](#), [3817](#),  
[3817](#), [3820](#), [3821](#), [3826](#).  
Muhammad Rumfa, ruler of Kano  
[351](#), [355](#).  
Muhammad Sakizli, corsair leader  
[827](#).  
Hinnawi, Muhammad Sami al-, Syrian leader  
[3839](#).  
Muhammad Shah, ruler of Iran  
[1349](#), [1350](#).  
Muhammad Shah, sultan of Iran  
[813](#).  
Muhammad Shaybani, Uzbek leader  
[308](#), [812](#).  
Muhammad Tughluk, ruler of India  
[332](#), [332](#), [333](#), [333](#), [333](#), [337](#).  
Muhammad Ya'qub, ruler of Afghanistan  
[1355](#), [1355](#).  
Muhammadzay dynasty  
*See [Barakzay dynasty, Afghanistan](#)*.  
Muhammara, Treaty of

[2410](#).  
Muhammed Jiwa Abidin Syah, ruler of Malaya  
[838](#).  
Muharram, month  
[289](#), [812](#).  
Muharrem, decree of  
[1341](#).  
Muhi, battle of  
[493](#).  
Muhirwa, prime minister of Burundi  
[4412](#).  
Mühlberg, battle of  
[615](#).  
Muhsin, sultan of Lahij  
[1359](#), [1360](#).  
Muhtasham of Kashan, Iranian poet  
[813](#).  
Muischas, Chibchas  
[570](#).  
Mujahidin, Afghanistan  
[2637](#), [3834](#), [3834](#).  
Mukden, Shenyang  
[852](#), [1262](#), [1462](#), [1463](#), [1720](#), [2473](#), [2511](#), [4143](#).  
Mukti Bahini  
[3971](#), [4003](#), [4016](#).  
Mukurra  
[360](#).  
Mularaja, ruler of India  
[325](#).  
Mulay Hafid, sultan of Morocco  
[978](#).  
Muldoon, Robert, New Zealand leader  
[4316](#).  
Mülhausen  
[625](#).  
Mulla Husayn Kashefi, Iranian writer  
[812](#).



## Subject Index

### Page 52

Mulla Muhammad Amin Astarabadi, Iranian religious leader

[815](#).

Mulla Sadra, Arab philosopher

[815](#).

Muller, Hermann J., geneticist

[1731](#).

Müller, Johannes, physiologist

[1043](#), [1151](#).

Müller, Johannes von, Swiss historian

[751](#).

Müller, K. Alex, physicist

[2704](#).

Müller, Karl von, German naval officer

[1795](#).

Müller, Ludwig, Nazi religious leader

[1986](#).

Muller, Paul, chemist

[1735](#).

Muller v. Oregon, U.S. Supreme Court decision

[1616](#).

Mulligan letters, and James G. Blaine

[1595](#).

Mulroney, Brian, Canadian leader

[3456](#), [3456](#), [3456](#).

Multan

[331](#), [332](#).

multiparty negotiations

[4482](#).

Muluk al-Tawa'if, Party Kings

[475](#).


Muluzi, Bakili, Malawian leader  
[4459](#), [4461](#).

Mumcu, Ugur, journalist  
[3800](#).

Mummius, Lucius, Roman general  
[212](#), [234](#).

Mumtaz Mahal, wife of Shah Jahan  
[833](#).

Munch, Edvard, artist  
[1146](#).

Mun Ch'ang-bm, Korean leader  
[2489](#).

Munda, New Georgia Island  
[241](#), [242](#), [2629](#).

Mundas  
[129](#).

Munemitsu, Mutsu, Japanese leader  
[1457](#).

Munetada, Kurozumi, religious leader  
[1437](#).

Munich  
[660](#), [1016](#), [1781](#), [1835](#), [1956](#), [1971](#), [1973](#), [1978](#), [2020](#), [2020](#), [2669](#), [3859](#); conference and agreements, [1835](#), [1835](#), [1914](#), [3007](#), [3132](#); Olympics, [2639](#).

Municipal Corporations Bill, England  
[1049](#).

Munja, ruler of India  
[325](#).

Münnich, Burkhard von  
[787](#).

Muñoz Marín, Luis, Puerto Rican leader  
[2309](#), [2310](#), [3729](#), [3730](#), [3731](#).

Muñoz Rivera, Luis, Puerto Rican leader  
[1694](#).

Munroe, Walter, Newfoundland leader  
[2235](#).

Munsif, bey of Tunisia  
[2428](#), [2428](#).

Münster  
[425](#), [548](#), [615](#), [622](#), [624](#), [650](#), [752](#).

Münster, treaty of  
[703](#).

Münster-Ledenburg, Georg Herbert zu  
[1109](#).

Muntafiq Arabs  
[804](#).

Muntazari, Hasan Ali  
[3824](#).

Murad I, Ottoman sultan  
[309](#), [310](#), [310](#), [563](#).

Murad II, Ottoman sultan  
[312](#), [312](#), [313](#), [313](#), [313](#), [313](#), [313](#), [568](#).

Murad II, ruler of Tunisia  
[828](#).

Murad III, Ottoman sultan  
[797](#).

Murad III, ruler of Tunisia  
[828](#).

Murad IV, Ottoman sultan  
[800](#), [800](#), [801](#), [801](#), [801](#), [801](#).

Murad V, Ottoman sultan  
[1341](#), [1341](#).

Murad Bey, governor of Tunisia  
[827](#).

Murad Bey, Mamluk leader  
[809](#).

Muradid dynasty  
[827](#), [828](#).

Murakami, emperor of Japan  
[386](#).

Murasaki Shikibu, writer  
[386](#).

Murat, Joachim, French commander  
[726](#), [1033](#).

Muraviev, Michael  
[971](#), [1123](#).

Muraviev, Nicholas, governor-general of Siberia  
[1258](#), [1417](#), [1417](#).

Murayama Tomiichi  
[4247](#), [4249](#).

Murchison, Roderick, geologist  
[1043](#).

Murchison River

[1494](#).  
Murcia  
[476](#), [479](#), [2899](#).  
Murden, Victoria, polar explorer  
[998](#).  
Murdock, William, inventor  
[989](#).  
Muret, battle of  
[450](#), [479](#), [479](#).  
Murillo, Bartolomé, Spanish artist  
[604](#).  
Murmansk  
[2054](#), [2067](#).  
Murner, Thomas, German satirist  
[616](#).  
Murray, Archibald  
[1752](#).  
Murray, Hubert  
[1479](#).  
Murray, John, oceanographer  
[1152](#).  
Murray Island  
[4310](#).  
Murray River  
[1488](#), [1488](#).  
Murrumbidgee River  
[1488](#).  
Mursa  
[262](#).  
Mursilis, Hittite king  
[85](#).  
Mursilis I, Hittite king  
[113](#).  
Mursilis II, Hittite king  
[113](#).  
Murten  
[546](#).  
Mürzsteg program, for Macedonia  
[1127](#), [1323](#).  
Murzuq  
[1392](#).

Musa, Muslim leader

[419](#).

Musa, Ottoman leader

[312](#).

Musa, son of Ja'far al-Sadiq

[293](#).

Sadr, Musa al-, cleric

[3848](#).

Musaddiq, Muhammad, Iranian leader

[3815](#), [3815](#), [3816](#), [3816](#), [3816](#).

Musawi, Abbas, Hizballah leader

[3852](#).

Muscat

[821](#), [821](#), [1358](#), [1359](#), [1360](#), [1360](#), [1360](#), [1360](#), [1361](#), [1361](#), [1361](#), [1361](#), [1362](#), [1364](#).

Muscat and Oman Field Force

[3896](#).

Muscat Levy Force

[2409](#).

Muscle Shoals, Tennessee

[2201](#).

Muscovy Company

[923](#).

Museveni, Yoweri, Ugandan leader

[4429](#), [4429](#), [4429](#), [4429](#), [4429](#), [4431](#).

Mushanov, Nikola, Bulgarian leader

[2166](#).

Musharaf, Khalid, Bangladeshi leader

[4019](#).

Musharraf, Pervez, Pakistani leader

[2697](#), [4014](#), [4015](#), [4015](#).

Mushet, Robert F., manufacturer of steel alloys

[984](#), [985](#).

Mushki

[111](#), [114](#), [115](#), [177](#), [208](#), [508](#).

music

[300](#), [305](#), [1921](#); Gregorian chant, [408](#); France, [524](#), [1903](#); England 1500–1800, [594](#); Low Countries, [596](#); Spain, [604](#); Italy, [607](#), [735](#); Germany, [616](#); Thirty Years' War, [624](#); Middle East, [806](#); 1800–1914, [1146](#); Ottoman Empire, [1333](#); Egypt, [1373](#), [2363](#); Korea, [1429](#); U.S., [1582](#), [1600](#), [1617](#); modern, [1816](#); jazz, [1839](#); electronic, [2702](#); rock 'n' roll, [3401](#); Africa, [4320](#). *See* [culture](#).

Muskie, Edward S., U.S. leader





China, [369](#), [1417](#); Spain, [403](#), [407](#), [407](#), [408](#), [418](#), [419](#), [420](#), [420](#), [420](#), [475](#), [476](#), [476](#), [476](#), [476](#), [477](#), [479](#), [479](#), [479](#), [525](#), [525](#), [525](#), [525](#), [525](#), [894](#); Europe, [408](#), [408](#), [409](#), [409](#), [412](#), [412](#); Western Europe, [443](#); Portugal, [480](#); Arabia, [820](#); Morocco, [822](#), [822](#), [1375](#), [2421](#); expulsion from Spain, [824](#); North Africa, [826](#), [826](#); Philippines, [867](#), [867](#), [868](#), [1480](#), [1483](#), [2636](#), [4289](#), [4289](#), [4291](#), [4293](#), [4293](#), [4294](#), [4294](#); Albania, [1325](#), [1348](#), [2141](#); Aleppo, [1333](#); Crete, [1337](#), [1346](#); Balkan Peninsula, [1340](#); Iran, [1352](#), [2335](#); Egypt, [1374](#), [2678](#), [3910](#), [3917](#); Algeria, [1382](#), [1382](#), [1382](#), [1383](#), [1383](#), [1383](#), [1383](#), [1384](#), [1384](#), [1384](#), [2423](#), [2423](#), [2423](#), [2423](#), [2425](#), [3925](#), [3925](#), [3925](#), [3925](#); Tunisia, [1388](#), [1391](#), [2426](#); reform movements, [1397](#); Indonesia, [1414](#), [2456](#), [4124](#), [4136](#), [4136](#), [4138](#), [4139](#); Bosnia, [2127](#), [3178](#), [3184](#); Yugoslavia, [2134](#), [3174](#); Greece, [2320](#); Lebanon, [2379](#), [2379](#), [2379](#), [2380](#), [2380](#), [2380](#), [2383](#), [3845](#), [3846](#), [3847](#), [3849](#), [3850](#), [3850](#); Palestine, [2386](#), [2386](#), [2386](#); Transjordan, [2395](#); Iraq, [2399](#); U.S., [2662](#); Bosnia-Herzegovina, [3187](#); fundamentalists, [3426](#), [3430](#), [3768](#), [3785](#), [3800](#), [3835](#), [3836](#), [3842](#); Bulgaria, [3790](#), [3799](#); Afghanistan, [3834](#), [3835](#); Syria, [3840](#); Jordan, [3874](#); Kuwait, [3898](#); South Asia, [3950](#), [4016](#); Pakistan, [4013](#); Bengalis, [4016](#); West Pakistan, [4016](#); Nigeria, [4325](#), [4373](#), [4373](#); Ivory Coast, [4353](#); Sudan, [4392](#). *See Islam.*

Muso, Indonesian leader  
[4121](#).

Musschenbroek, Pieter van, motion picture pioneer  
[990](#).

Mussolini, Benito, Italian dictator  
[1225](#), [1703](#), [1704](#), [1746](#), [1815](#), [1826](#), [1830](#), [1832](#), [1835](#), [1835](#), [1835](#), [1835](#), [1837](#),  
[1931](#), [1941](#), [1945](#), [1945](#), [1945](#), [1945](#), [1946](#), [1946](#), [1947](#), [1948](#), [1948](#), [1954](#), [1956](#),  
[1956](#), [1957](#), [1960](#), [1960](#), [1962](#), [2008](#), [2009](#), [2009](#), [2010](#), [2010](#), [2011](#), [2012](#), [2208](#),  
[2590](#), [2617](#), [2617](#), [2618](#).

Mustafa, Mustapha  
[312](#), [568](#).

Mustafa, pretender and rebel  
[795](#).

Mustafa, son of Suleyman I and governor of Amasya  
[795](#).

Mustafa I, Ottoman sultan  
[800](#), [800](#), [800](#).

Mustafa II, Ottoman sultan  
[804](#), [805](#), [807](#), [808](#).

Mustafa III, Ottoman sultan  
[808](#), [809](#).

Mustafa IV, Ottoman sultan  
[811](#), [811](#).

Barzani, Mustafa al-, Kurdish leader

3881.  
Mustafa Âli, Ottoman historian  
799.  
Mustafa al-Nahhas, Egyptian leader  
2354, 2359, 2360, 2366, 2367, 3903, 3904.  
Mustafa Bayrakdar Pasha, grand vezir  
1328.  
Mustafa Bey, ruler of Tunisia  
1387.  
Mustafa ibn Azuz, religious leader  
1383, 1390.  
Mustafa Kamil, Egyptian leader  
1374.  
Kemal, Mustafa  
See Kemal Atatürk, Turkish leader.  
Mustafa Khaznadar, Tunisian leader  
1390.  
Mustafa Kochi Bey, adviser to Murad IV  
801.  
Mustafa Naima, Ottoman court chronicler  
806.  
Mustafa Sa'id, sheik, Turkish revolutionary leader  
2327, 2327.  
Mustafa Selaniki, scholar  
799.  
Mutapa Empire  
888, 889.  
Mu'tazili, school of theology  
290, 294, 295, 298.  
Muteba ya Chikombe, African leader  
1538.  
Mutesa II, kabaka (king) of Buganda  
4428, 4429, 4429, 4429.  
Mutina  
241.  
Mutiny Act, England  
679.  
Mutkurov, Sava, Bulgarian leader  
1302.  
Mutran, Khalil, writer  
3903.

Mutsuhito, Japanese emperor  
[1446](#), [1447](#), [1447](#), [1447](#).

Mutual Defense Assistance Act, U.S.  
[3393](#).

Mutual Defense Assistance Program, U.S.  
[3394](#).

Mutual Security Agency  
[2710](#).

Mutual Security Treaty, U.S. and South Korea  
[4199](#).

Muwallads  
[334](#).

Muwatallis, Hittite king  
[93](#), [113](#).

Muxidi  
[4167](#).

Muybridge, Eadweard, photographer  
[990](#).

Muyong, Korean king  
[377](#).

Muyong-t'ap, Korean pagoda  
[378](#).

Muzaffar, sultan of Malaya  
[840](#).

Muzaffar al-Din, shah of Iran  
[1351](#), [1352](#), [1352](#).

Muzaffarid dynasty  
[306](#).

Muziris  
[133](#).

Muzong, Chinese emperor  
[368](#), [1417](#).

Muzorewa, Abel, Zimbabwean leader  
[2676](#), [4467](#), [4467](#).

Mvungi cult  
[2569](#).

MwaKenya  
[4418](#).

Mwami Mwambutsa IV, Burundian king  
[4412](#), [4412](#), [4412](#), [4412](#).

Mwami Ntare V, king of Burundi

[4412](#).  
Mwanda, ruler of Buganda  
[883](#).  
Mwanga, ruler of Buganda  
[1535](#), [1535](#), [1536](#), [1536](#).  
Mwari oracle cult, Africa  
[889](#).  
Mwembe  
[1547](#).  
Mwene Mutapa, ruler of Rozwi  
[364](#).  
Mwene Mutapa Empire  
[351](#).  
Mwinyi, Ali Hassan, Tanzanian leader  
[4426](#), [4426](#).  
Myanmar  
*See* [Burma](#).  
Mycalé  
[124](#), [189](#).  
Mycenae  
[46](#), [67](#), [68](#), [169](#), [170](#), [171](#), [171](#), [171](#), [171](#), [171](#), [171](#), [173](#), [173](#), [174](#), [175](#), [190](#).  
Mycerinus  
*See* [Menkaure, king of Egypt](#).  
Myers, Dee Dee, press secretary  
[3432](#).  
Mylae  
[230](#).  
My Lai, Vietnam  
[3422](#).  
Myonnesus  
[214](#).  
Myriocephalon, battle of  
[303](#), [502](#).  
Myron, Greek sculptor  
[186](#).  
Myronides, Corinthian commander  
[192](#).  
Mysia  
*See* [Mushki](#).  
Mysore  
[133](#), [133](#), [327](#), [327](#), [336](#), [835](#), [1394](#), [1395](#), [3977](#).

Mystic  
[926](#).  
mythology  
[167](#).  
Mytilene  
[180](#), [198](#).  
Myus  
[175](#).  
Mzab  
[292](#).  
Mzali, Fethia, Tunisian leader  
[3945](#).

## N

NAACP, U.S.  
[1598](#), [1616](#), [3413](#).  
Nabataeans  
[215](#).  
Nabatea  
[128](#).  
Nabis, king of Sparta  
[211](#), [211](#).  
Nabiyev, Rakhmon, Tajik leader  
[3373](#), [3374](#), [3374](#).  
Nablus  
[800](#), [2391](#), [3864](#).  
Nabonassar, king of Babylon  
[87](#).  
Nabonidus, king of Babylonia  
[88](#), [124](#), [127](#).  
Nabopolassar, king of Akad  
[87](#), [88](#), [88](#), [123](#).  
Nabu-apal-usur  
*See* [Nabopolassar, king of Akad](#).  
Nabuco, Joaquim, Latin American leader  
[1677](#).  
Nabu-kudduri-usur of Isin  
[86](#).  
Nabu-mukin-apli, king of Babylon  
[87](#).

Nabu-mukin-zeri, king of Babylon

[87.](#)

Nabu-na'id

*See* [Nabonidus, king of Babylonia.](#)

Nabu-nasir

*See* [Nabonassar, king of Babylon.](#)

Naccache, Alfred, Naqqash

[2382.](#)

Nachtigal, Gustav, explorer

[1509.](#)

Nacionalista Party, Philippines

[2534.](#)

Nadab, king of Israel

[104.](#)

Nadir Shah, ruler of Iran

[575.](#), [807.](#), [817.](#), [817.](#), [817.](#), [817.](#), [817.](#), [817.](#), [817.](#), [817.](#), [817.](#), [819.](#), [819.](#), [819.](#), [834.](#)

Naemul, Korean king

[161.](#)

Naevius, Cnaeus, Roman writer

[229.](#)

Nafta

[1383.](#)

Nagabhata I, ruler of India

[325.](#)

Nagabhata II, ruler of India

[325.](#)

Nagaland

[3976.](#)

Nagano

[4250.](#)

Naganori, Asano, Japanese leader

[861.](#)

Nagaoka

[384.](#), [385.](#)

Naga rebels

[3968.](#)

Nagarjuna, Buddhist sage

[130.](#)

Nagarjunikonda

[133.](#)

Nagasaki, Japan

[857](#), [860](#), [860](#), [860](#), [1418](#), [1437](#), [1438](#), [1440](#), [2216](#), [2523](#), [2641](#), [4243](#); atomic bomb attack, [2631](#).

Nagata Tetsuzan  
[2511](#).

Nagorno-Karabakh  
[3298](#), [3309](#), [3309](#), [3310](#), [3312](#), [3312](#).

Nagpur  
[133](#), [2434](#).

Naguib, Muhammad, Egyptian leader  
[3903](#), [3904](#), [3904](#), [3906](#).

Nagy, Ferenc, Hungarian leader  
[3141](#).

Nagy, Imre, Hungarian leader  
[3142](#), [3146](#), [3147](#), [3147](#), [3147](#), [3147](#), [3147](#), [3147](#), [3147](#), [3147](#), [3149](#), [3155](#).

Nágy-harkány, battle of  
[757](#).

Nagyvarad, Peace of  
[635](#).

Naha  
[1437](#).

Nahapana, Saka satrap  
[132](#), [132](#).

Nahdatul Ulama  
[2456](#).

Nahhunte  
[121](#).

Nahrawan  
[288](#).

Nahr el-Kebir  
*See [Eleutheris River](#)*.

Nahuas  
[570](#).

Nai Pridi Panomyang, Thai leader  
[4065](#).

Nairobi  
[2566](#), [2567](#), [2672](#), [2681](#), [4410](#), [4414](#), [4418](#), [4427](#).

Naissus, Nisch  
[257](#).

Najaf  
[815](#).

Najd





independence, [4320](#), [4476](#).


Namik Kemal, leader of Young Ottomans  
[1336](#).

Namphy, Henri, Haitian leader  
[3748](#), [3749](#), [3749](#).

Nampoina, African leader  
[893](#), [1561](#), [1561](#).

Namur  
[595](#), [595](#), [655](#), [659](#), [759](#), [1789](#), [2585](#).

Nam Viêt kingdom, Vietnam  
[397](#).

Nnak, founder of Sikhism  
[580](#), [830](#).

Nanchang  
[2468](#), [2469](#).

Nan-chao  
[342](#).

Nancy  
[524](#), [546](#).

Nanda  
[130](#).

Nandabayan, king of Burma  
[845](#).

Nandivarman II, ruler of India  
[326](#), [327](#).

Nandivarman III, ruler of India  
[327](#).

Nangis, battle of  
[1031](#).

Nanjing  
[156](#), [157](#), [157](#), [372](#), [376](#), [852](#), [1417](#), [1417](#), [1424](#), [1425](#), [1425](#), [1426](#), [1427](#), [2469](#), [2470](#), [2470](#), [2472](#), [2477](#), [2477](#), [2478](#), [2479](#), [2479](#), [2482](#), [2508](#), [2510](#), [2517](#), [2520](#), [4141](#), [4143](#), [4166](#); treaty of, [1416](#); Rape of, [2479](#).

Nankham, Burma  
[4058](#).

Nanking  
[342](#), [953](#), [2480](#), [2624](#), [2634](#).

Nanna  
[83](#), [88](#), [121](#).

Nano, Fatos, Albanian leader  
[3205](#), [3206](#).

Nansen, Fridtjof, Norwegian explorer

[996](#), [996](#).

Nanterre, University of

[2859](#).

Nantes

[412](#), [1005](#). *See* [Edict of Nantes](#).

Nanyue

[155](#).

Nanzhao

[368](#), [371](#), [374](#), [1417](#).

Naoroji, Dadabhai, Indian leader

[1398](#).

Naosuke, Ii, Japanese leader

[1438](#), [1439](#), [1441](#).

Napata

[43](#), [43](#), [74](#), [74](#), [93](#), [95](#), [96](#), [97](#), [98](#), [99](#), [99](#), [99](#).

Napier, John, mathematician

[639](#).

Napier, Charles

[1395](#).

Napier, Robert

[1522](#).

Napier, William John

[1416](#), [1416](#).

Naplanum, king of Larsa

[84](#), [85](#).

Naples

[315](#), [406](#), [408](#), [408](#), [408](#), [428](#), [459](#), [466](#), [469](#), [470](#), [471](#), [472](#), [499](#), [520](#), [523](#), [526](#), [530](#), [530](#), [532](#), [532](#), [533](#), [533](#), [533](#), [533](#), [533](#), [535](#), [536](#), [536](#), [537](#), [537](#), [537](#), [538](#), [540](#), [560](#), [560](#), [584](#), [597](#), [597](#), [601](#), [602](#), [602](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [608](#), [608](#), [609](#), [609](#), [612](#), [613](#), [614](#), [615](#), [657](#), [657](#), [659](#), [660](#), [660](#), [735](#), [737](#), [737](#), [740](#), [740](#), [740](#), [740](#), [740](#), [740](#), [740](#), [741](#), [745](#), [746](#), [827](#), [1011](#), [1011](#), [1017](#), [1024](#), [1033](#), [1066](#), [1066](#), [1066](#), [1067](#), [1067](#), [1092](#), [1092](#), [1092](#), [1092](#), [1093](#), [1211](#), [1212](#), [1212](#), [1212](#), [1212](#), [1212](#), [1212](#), [1745](#), [1945](#), [2617](#), [2617](#).

Naples, University of

[458](#), [533](#).

Napoleon I, French emperor

[538](#), [578](#), [705](#), [726](#), [726](#), [726](#), [731](#), [739](#), [746](#), [746](#), [746](#), [747](#), [749](#), [751](#), [751](#), [756](#), [766](#), [791](#), [810](#), [917](#), [953](#), [953](#), [955](#), [957](#), [999](#), [1006](#), [1008](#), [1009](#), [1009](#), [1009](#), [1010](#), [1010](#), [1010](#), [1012](#), [1012](#), [1013](#), [1013](#), [1014](#), [1014](#), [1014](#), [1014](#), [1015](#), [1016](#), [1019](#), [1020](#), [1020](#), [1020](#), [1020](#), [1021](#), [1021](#), [1021](#), [1021](#), [1022](#), [1023](#), [1024](#), [1024](#), [1024](#), [1025](#), [1025](#),

[1026](#), [1026](#), [1026](#), [1026](#), [1026](#), [1027](#), [1027](#), [1027](#), [1027](#), [1028](#), [1029](#), [1029](#), [1029](#), [1029](#), [1029](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1031](#), [1031](#), [1031](#), [1031](#), [1032](#), [1032](#), [1033](#), [1033](#), [1033](#), [1033](#), [1033](#), [1033](#), [1033](#), [1033](#), [1058](#), [1066](#), [1066](#), [1068](#), [1071](#), [1082](#), [1256](#), [1257](#), [1267](#), [1272](#), [1354](#), [1381](#), [1567](#), [1568](#), [1571](#), [1623](#), [1643](#), [1644](#), [1648](#), [1653](#), [1696](#); abdication of, [1031](#), [1031](#).

Napoleon III, emperor of France

[1086](#), [1100](#), [1101](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1103](#), [1103](#), [1171](#), [1177](#), [1177](#), [1178](#), [1178](#), [1179](#), [1180](#), [1180](#), [1180](#), [1181](#), [1181](#), [1181](#), [1182](#), [1182](#), [1184](#), [1185](#), [1185](#), [1185](#), [1189](#), [1211](#), [1211](#), [1212](#), [1215](#), [1227](#), [1312](#), [1312](#), [1313](#), [1316](#), [1691](#).

Napoleon Bonaparte

*See* [Napoleon I](#).

Napoleonic Code

[1267](#), [1268](#), [1314](#).

Napoleonic Wars

[775](#), [953](#), [953](#), [957](#), [999](#), [1012](#), [1016](#), [1020](#), [1021](#), [1023](#), [1024](#), [1024](#), [1025](#), [1025](#), [1026](#), [1026](#), [1026](#), [1026](#), [1026](#), [1027](#), [1027](#), [1027](#), [1027](#), [1028](#), [1028](#), [1029](#), [1029](#), [1029](#), [1029](#), [1029](#), [1029](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1031](#), [1031](#), [1031](#), [1031](#), [1031](#), [1031](#), [1032](#), [1032](#), [1033](#), [1046](#), [1051](#), [1066](#), [1075](#), [1077](#), [1232](#), [1570](#); invasion of Russia, [1257](#).

Napue, battle of

[766](#).

Naqia, queen of Assyria

[87](#).

Nara

[163](#), [384](#), [384](#), [385](#), [385](#), [396](#).

Narada

[131](#).

Narai, king of Siam

[847](#), [847](#).

Naram-Sin, king of Akkad

[84](#), [85](#), [102](#).

Naram-Sin, king of Assyria

[85](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 53

- Naram-Sin, king of Babylon  
[122.](#)
- Nara period, Japan  
[384, 384.](#)
- Nara sects  
[385, 385.](#)
- Narasimha, ruler of India  
[337.](#)
- Narasimhavarman, ruler of India  
[326.](#)
- Narasimhavarman II, ruler of India  
[326.](#)
- Narathihapate, ruler of Burma  
[341.](#)
- Narayan, Jayaprakash (JP), Indian leader  
[3973, 3973.](#)
- Narbada River  
[333, 333.](#)
- Narbo  
[235.](#)
- Narbonne  
[479.](#)
- Narcissus, Roman freedman  
[248.](#)
- Nares, George Strong  
[996.](#)
- Naresan, Ayutthayan king  
[845.](#)
- Naresuen the Great, king of Siam  
[847, 847, 847.](#)

Narev River  
[1739](#), [1794](#).

Nariaki, Kii, Japanese leader  
[1438](#).

Nariaki, Tokugawa, Japanese leader  
[1438](#), [1441](#).

Narmada  
[325](#).

Narmer, pharaoh of Egypt  
*See* [Menes, king of Egypt](#).

Narodna Odbrana, Serbian society  
[1293](#).

Narong Wongwan, Thai leader  
[4072](#).

Narragansett Bay  
[932](#), [943](#).

Narseh, king of Persia  
[261](#), [272](#), [272](#), [272](#), [272](#), [273](#), [406](#).

Narses, Byzantine leader  
*See* [Narseh, king of Persia](#).

Naruhito, crown prince of Japan  
[4246](#).

Narutowicz, Gabriel, Polish leader  
[2117](#).

Narva  
[628](#), [629](#), [657](#), [1774](#).

Narváez, Aurelio Mosquera, Ecuadorian leader  
[2265](#).

Narváez, Pánfilo de, Spanish conquistador  
[901](#), [905](#).

Narvarte, Andrés, Latin American leader  
[1675](#).

Narvik, Norway  
[2584](#), [2584](#).

Naseby, battle of  
[592](#), [593](#).

Naseem, Ahmed, Maldivian leader  
[4042](#), [4044](#).

Nash, Walter, New Zealand leader  
[4315](#).

Nashashibi family, Palestine

[2387](#).  
Nashville, battle of  
[1589](#).  
Nasi, Don Joseph, Spanish Jew in the Ottoman Empire  
[797](#).  
Nasik  
[132](#), [133](#), [133](#), [327](#), [327](#).  
Nasional Indonesia  
[2456](#).  
Nasir, Ibrahim, Maldivian leader  
[4041](#), [4042](#), [4042](#), [4042](#).  
Nasir al-Dawla al-Hasan, Hamdanid leader  
[297](#).  
Nasir al-Din, Islamic leader in Africa  
[869](#).  
Nasir al-Din, Moorish cleric and leader  
[871](#), [871](#), [871](#), [871](#).  
Nasir al-Din, shah of Iran  
[1350](#), [1350](#), [1351](#), [1351](#), [1351](#), [1351](#), [1351](#).  
Nasir al-Din Tusi, astronomer  
[305](#).  
Nasir-i Khusraw, writer  
[302](#).  
Nasiriyya Sufism  
[1377](#).  
Nasjonal-Samling, Norway  
[2584](#).  
Nasmyth, James, inventor of steam hammer  
[985](#).  
Naso, Publius Ovidius  
*See* [Ovid](#), [Roman poet](#).  
Nasrid dynasty, Granada  
[475](#), [475](#).  
Nasrullah, heir to throne of Afghanistan  
[2346](#).  
Nassau, duchy of  
[1102](#).  
Nasser, Gamal Abdel, Egyptian leader  
[2637](#), [2644](#), [2644](#), [2654](#), [2655](#), [2656](#), [2667](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3903](#),  
[3904](#), [3905](#), [3906](#), [3906](#), [3906](#), [3907](#), [3908](#), [3910](#), [3910](#), [3910](#), [3911](#), [3957](#).  
Nastasen

99.  
Nasution, Abdul Haris, Indonesian leader  
4133.  
Natal  
365, 365, 914, 1551, 1551, 1552, 1552, 1552, 1552, 1553, 1553, 1556, 1556, 1557, 1557, 1558, 1559, 2574, 4480, 4481; republic of, 1551; colony, 1552.  
Natalia, republic of  
1551.  
Nathalia, Keshko  
1289.  
National Abortion Campaign, Great Britain  
2788.  
National Academy of Sciences, U.S.  
1588.  
National Action Bloc, Morocco  
2419, 2421, 2421.  
National Action Groups, Netherlands  
1898.  
National Action Party, NAP  
3794, 3799.  
National Action Party, PAN  
3706.  
National Advancement Party, Guatemala  
3658.  
National Advisory Commission on Civil Disorders  
3415.  
National Aeronautics and Space Administration, NASA  
3432, 3435.  
National African-American Leadership Summit  
3432.  
National Agrarian Party, PAN  
2257.  
National American Woman Suffrage Association, NAWSA  
1604.  
National Assembly, Albania  
1348.  
National Assembly, China  
1425, 1426.  
National Assembly, Erfurt  
1230.  
National Assembly, France



[878](#), [1001](#), [1003](#), [1188](#), [1189](#), [1191](#), [1515](#), [2838](#).  
National Assembly, Germany-Austria  
[1997](#).  
National Assembly, Iraq  
[3884](#).  
National Assembly, Poland  
[3110](#).  
National Assembly, Prussia  
[1096](#).  
National Assembly, Turkey  
[2322](#), [2324](#).  
National Association for the Advancement of Colored People  
*See* [NAACP, U.S.](#).  
National Association of Colored Women  
[1609](#).  
National Automobile Workers Association  
[2232](#).  
National Awami Party, Bangladesh  
[4017](#).  
National Awami Party, NAP  
[4005](#).  
National Bands, Greece  
[2158](#).  
National Bank, Egypt  
[3909](#).  
National Bank, Sweden  
[761](#).  
National Banking Act, U.S.  
[1588](#).  
National Bank of Poland  
[3113](#).  
National Bloc, Syria  
[2376](#).  
National Chancery, Serbia  
[1284](#).  
National Christian Party, Romania  
[2182](#), [2182](#).  
National Civic Federation, U.S.  
[1609](#).  
National Civic Movement, MCN  
[3582](#).

National Civic Union, Dominican Republic  
[3736](#).

National Coalition Government, Great Britain  
[1847](#).

National Coalition Party, Lithuania  
[2094](#).

National Coffee Department, Brazil  
[2272](#).

National Commission on Obscenity and Pornography, U.S.  
[3421](#).

National Commission on the Causes and Prevention of Violence, U.S.  
[3418](#).

National Conciliation Party, El Salvador  
[3664](#).

National Confederation of Peasant Settlements, CONAC  
[3641](#).

National Confucian Academy, Korea  
[161](#), [855](#).

National Confucian College, Korea  
[378](#).

National Congress, Belgium  
[1054](#).

National Congress of British West Africa  
[2558](#).

National Consultative Council, Jordan  
[3873](#).

National Convention, France  
[999](#), [1004](#), [1004](#), [1004](#), [1004](#), [1005](#), [1005](#), [1005](#), [1007](#), [1007](#), [1008](#), [1008](#), [1696](#).

National Copper Corporation  
[3510](#).

National Council  
*See* [Riksdag, Schleswig-Holstein](#).

National Council of Administration, Uruguay  
[2252](#), [2252](#).

National Council of Corporations, Italy  
[1950](#).

National Council of Nigeria and Cameroon  
[4321](#).

National Council of Women of Canada  
[1635](#).

National Day of Protest

[3514](#).  
National Defense Council, Spain  
[1932](#), [1932](#).  
National Defense Education Act, U.S.  
[3403](#).  
National Defense Forces, NDF  
[3642](#).  
National Defense Mediation Board, U.S.  
[2210](#).  
National Defense Tax Bill, U.S.  
[2209](#).  
National Democratic Alliance, Hungary  
[3157](#).  
National Democratic Front, Colombia  
[3601](#).  
National Democratic Front, FDN  
[3705](#).  
National Democratic Party, Germany  
[3003](#).  
National Democratic Party, Iraq  
[3878](#).  
National Democratic Party, NDP  
[3911](#), [3916](#), [3918](#).  
National Democratic Party, NDP  
[4466](#), [4466](#).  
National Democratic Party Jeltoksan, Kazakhstan  
[3333](#).  
National Democratic Union, UNADE  
[3642](#).  
National Democrats, Poland  
[1269](#).  
National Federation of Afro-American Women  
[1609](#).  
National Federation of Coffee Producers, FNC  
[2267](#).  
National Federation of Peasant Organizations, FENOC  
[3569](#).  
National Federation of Salvadoran Workers, FENESTRAS  
[3670](#).  
National Foundation of the Arts and Humanities, U.S.  
[3412](#).

National Freemasonry Society, Poland  
[1267](#).

National Free Trade Union Confederation  
[3258](#).

National Front, Bangladesh  
[4023](#).

National Front, Czechoslovakia  
[3123](#).

National Front, France  
[2876](#).

National Front, Iran  
[3815](#).

National Front, Lebanon  
[3845](#).

National Front, Malaysia  
[4115](#).

National Front, Morocco  
[3919](#).

National Front for the Liberation of Corsica, FLNC  
[2885](#).

National Gallery, London  
[314](#).

National Group, Morocco  
[2419](#).

National Guard, Austria  
[1089](#), [1089](#), [1089](#), [1090](#), [1090](#).

National Guard, France  
[1002](#), [1060](#), [1081](#), [1081](#), [1185](#), [1188](#), [1188](#).

National Guard, Ireland  
[1872](#), [1873](#).

National Guard, Italy  
[1092](#), [1092](#).

National Guard, Nicaragua  
[2285](#).

National Guard, Paris  
[1001](#).

National Guidance Committee, Palestinians  
[3861](#).

National Health Service  
[2778](#).

National Health Service Bill, Great Britain



Europe, [3013](#); Yugoslavia, [3174](#).  
Nationalist Alliance de Bakongo, ABAKO  
[4432](#), [4432](#), [4434](#).  
Nationalist China  
*See* [Chinese Nationalists](#).  
Nationalist Front, Germany  
[3023](#).  
Nationalist Islamic Party, Egypt  
[2364](#).  
Nationalist Party, Australia  
[2538](#).  
Nationalist Party, Egypt  
[1374](#).  
Nationalist Party, Italy  
[1945](#).  
Nationalist Party, Malta  
[2967](#).  
Nationalist Party, Puerto Rico  
[2309](#), [2309](#), [2309](#), [2309](#).  
Nationalist Party, South Africa  
[1560](#), [2574](#), [4320](#), [4320](#).  
Nationalist Party, Syria  
[2376](#), [2376](#).  
Nationalist (Blanco) Party, Uruguay  
[3528](#).  
Nationalist Patriotic Front, Rhodesia  
[4458](#).  
Nationalist Republic Alliance, ARENA  
[3669](#).  
Nationalist Revolutionary Movement, MNR  
[2257](#), [2257](#).  
Nationalist Union, Lithuania  
[2090](#), [2091](#), [2092](#), [2092](#).  
Nationality Law, Hungary  
[1245](#).  
Nationality Statute, Czechoslovakia  
[2020](#), [2020](#).  
nationalization  
[2640](#); Japan, [384](#), [384](#); Russia, [2066](#), [2066](#), [2068](#); Latvia, [2098](#); Canada, [2217](#);  
Mexico, [2299](#), [2299](#), [2299](#), [3701](#), [3704](#); New Zealand, [2552](#), [4314](#); Iran, [2638](#), [2651](#),  
[3815](#), [3815](#), [3817](#); Western Europe, [2700](#); Eastern Europe, [2700](#); Great Britain, [2759](#),

[2760](#), [2762](#), [2766](#), [2776](#); railways, [2761](#); France, [2838](#), [2838](#), [2838](#), [2839](#), [2870](#), [2871](#); Tunisia, [2855](#); privatization, [2874](#), [2920](#), [3111](#), [3113](#), [3113](#), [3115](#), [3116](#), [3135](#), [3156](#), [3158](#), [3161](#), [3191](#), [3204](#), [3206](#), [3227](#), [3229](#), [3242](#), [3243](#), [3256](#), [3303](#), [3307](#), [3308](#), [3334](#), [3334](#), [3341](#), [3360](#), [3363](#), [3382](#), [3465](#), [3499](#), [3501](#), [3548](#), [3571](#), [3574](#), [3601](#), [3602](#), [3602](#), [3604](#), [3623](#), [3692](#), [3705](#), [3744](#), [3791](#), [4176](#), [4187](#), [4188](#), [4317](#), [4317](#); Portugal, [2917](#); Austria, [3037](#); Poland, [3090](#), [3090](#); Czechoslovakia, [3120](#), [3123](#); Hungary, [3142](#), [3144](#); Bulgaria, [3235](#), [3235](#); Romania, [3248](#); Argentina, [3481](#), [3482](#), [3483](#); Chile, [3511](#), [3512](#); Bolivia, [3538](#), [3541](#), [3543](#); Peru, [3554](#), [3555](#), [3558](#); Ecuador, [3568](#); Venezuela, [3601](#), [3601](#); Brazil, [3612](#); denationalization, [3616](#); Guatemala, [3648](#); Nicaragua, [3678](#); Costa Rica, [3686](#); Cuba, [3716](#), [3716](#), [3716](#); Egypt, [3771](#), [3908](#), [3908](#), [3909](#); Afghanistan, [3833](#); Syria, [3841](#); Iraq, [3882](#), [3883](#); South Yemen, [3893](#); Algeria, [3930](#), [3931](#); Libya, [3948](#); India, [3969](#); Sri Lanka, [4032](#); Burma, [4049](#); Cambodia, [4087](#); Indonesia, [4126](#); Korea, [4189](#), [4190](#); Vietnam, [4275](#); Australia, [4297](#); Dahomey, [4329](#); Ethiopia, [4395](#); Uganda, [4429](#).

National Labor Board, U.S.

[2203](#).

National Labor Convention, CNT

[3528](#).

National Labor Relations Act, U.S.

[2187](#).

National Labor Relations Board, U.S.

[2203](#), [2206](#).

National Labor Union

[1592](#).

National (Negro) Labor Union

[1594](#).

National Labour group, Great Britain

[1847](#).

National Labour Party, Ireland

[1880](#).

National Land Authority, Israel

[3858](#).

National League, Cuba

[1610](#), [2301](#).

National League for Democracy, NLD

[4059](#), [4060](#), [4062](#), [4062](#), [4063](#).

National League of Professional Baseball Clubs

[1596](#).

National Learning, Nativist

[861](#), [1437](#).

National Liberal Federation, India

[2432](#), [2433](#).  
National Liberal Party, Germany  
[1971](#), [1971](#).  
National Liberals, Denmark  
[1251](#).  
National Liberals, Germany  
[1235](#), [1236](#).  
National Liberation Alliance, ANL  
[2273](#).  
National Liberation Army, ELN  
[3577](#), [3581](#), [3586](#), [3591](#).  
National Liberation Committee, Albania  
[2137](#).  
National Liberation Front, NLF  
[3892](#), [3893](#), [3893](#), [4259](#).  
National Liberation Front, EAM  
[3207](#), [3208](#).  
National Liberation Movement, Albania  
[2143](#), [2143](#), [2143](#).  
National Liberation Movement, Yugoslavia  
[2135](#).  
National Liberation Party, Nicaragua  
[3691](#).  
National Library, Serbia  
[1285](#).  
National Library, Sofia  
[1300](#).  
National Loyal Association, England  
[681](#).  
National Military Council, NMC  
[3631](#).  
National Mobilization Bill, Japan  
[2518](#).  
National Movement for Free Elections, Philippines  
[4292](#), [4292](#).  
National Museum, Serbia  
[1285](#).  
National Muslim Association  
[1397](#).  
National Oceanic and Atmospheric Administration, U.S.  
[3420](#).



National Operations Council, Malaysia  
[4111](#).

National Order Party, Turkey  
[3795](#).

National Organization for Assistance to Divers, Netherlands  
[1898](#).

National Organization for Women, NOW  
[3413](#).

National Organization of Cypriot Fighters, EOKA  
[3807](#), [3809](#), [3809](#), [3809](#), [3810](#).

National Pact, Lebanon  
[2383](#), [3850](#).

National Pact, Turkey  
[2321](#), [2322](#).

National Palace, Mexico  
[2291](#).

National Party, Chile  
[1664](#), [3511](#).

National Party, Morocco  
[2421](#).

National Party, New Zealand  
[2552](#), [4314](#), [4315](#).

National Party, South Africa  
[1558](#).

National Party, Syria  
[3839](#).

National Party, Uruguay  
[3534](#).

National Party of Nigeria  
[4368](#).

National Patriotic Front of Liberia  
[4357](#).

National Patriotic Party  
[4358](#).

National Peasant Party  
[3246](#), [3246](#).

National Peasants' Party, Romania  
[2178](#), [2179](#), [2180](#), [2180](#), [2182](#), [2182](#), [2183](#).

National People's Convention, Guomindang  
[2472](#).

National Police Reserve

[4225](#).  
National Popular Assembly  
[4352](#).  
National Progressive Front, Iraq  
[3888](#).  
National Progressive Front, Syria  
[3843](#).  
National Progressive Republican League, U.S.  
[1618](#).  
National Prohibition Act  
*See* [Volstead Act \(National Prohibition Act\), U.S.](#).  
National Radical Union, Greece  
[3214](#).  
National Railways of Mexico  
[2299](#).  
National Rally for Protecting the People's Choice, Algeria  
[3946](#).  
National Reconciliation Council, Niger  
[4327](#).  
National Reconstruction Party, Brazil  
[3623](#).  
National Recovery Act, U.S.  
[2205](#).  
National Resistance Council, France  
[1918](#).  
National Resistance Movement, NRM  
[4429](#), [4429](#).  
National Revolutionary Army, China  
[2468](#), [2469](#), [2469](#), [2470](#), [2470](#).  
National Revolutionary Movement, MNR  
[3536](#).  
National Revolutionary Party, Mexico  
[2298](#).  
National Rubber Tappers Council, Brazil  
[3622](#).  
National Salvation Council, NSC  
[4403](#).  
National Salvation Front, NSF  
[3254](#), [3255](#), [3257](#).  
National Salvation Party, Turkey  
[3795](#), [3799](#).

National Science Foundation, U.S.  
[1730](#).

National Security Act, 1947  
[3394](#).

National Security Council, U.S.  
[3428](#), [3654](#).

National Service Act, Great Britain  
[2761](#).

National Service Bill, Great Britain  
[1855](#).

National Smallholder's Party  
[2024](#).

National Social Association, Germany  
[1237](#).

National Socialism  
[2041](#); Danzig, [2121](#); Bulgaria, [2170](#).

National Socialist German Workers' Party  
*See* [Nazi Party](#).

National Socialist Party, Switzerland  
[1968](#), [1986](#).

National Socialist Party, Arrow Cross  
[2030](#), [2032](#), [2032](#), [2035](#), [2035](#).

National Socialists, Austria  
[2006](#), [2007](#), [2007](#), [2008](#), [2010](#), [2010](#), [2011](#).

National Socialists, Netherlands  
[1896](#), [1897](#), [1899](#), [1899](#).

National Socialists, Lithuania  
[2093](#).

National Society, Italy  
[1211](#).

National Society for Promoting the Education of the Poor in the Principles of the  
Established Church, England  
[1048](#).

National Society for Women's Suffrage, England  
[1162](#).

National Student Association  
[3414](#).

National System for the Support of Mobilization, SINAMOS  
[3555](#).

National Theater Company, Bulgaria  
[1304](#).

National Theatre  
[2365](#).

National Trades and Labour Congress of Canada  
[1639](#).

National Trade Union Accord, OPZZ  
[3106](#), [3107](#).

National Unification Congress, Mexico  
[2298](#).

National Union, Colombia  
[3575](#).

National Union, Egypt  
[3905](#).

National Union, France  
[1907](#).

National Union, Romania  
[2180](#).

National Union Coalition, Colombia  
[3577](#).

National Union for the Total Independence of Angola, UNITA  
[2694](#).

National Union of Elementary Teachers, England  
[1161](#).

National Union of Mineworkers  
[2793](#).

National Union of South African Students, NUSAS  
[4477](#).

National Union of Women's Suffrage Societies, England  
[1162](#).

National Union Party, Costa Rica  
[3686](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 54

- National Union Party, Portugal  
[2912](#).
- National United Party, Ceylon  
[4029](#).
- National University, China  
[154](#), [156](#), [156](#), [156](#), [367](#).
- National University, El Salvador  
[3664](#).
- National University, Honduras  
[1686](#).
- National University, Korea  
[379](#).
- National University, Mexico  
[3702](#).
- National University, Uruguay  
[3531](#).
- National Urban League, U.S.  
[1598](#), [1618](#).
- Nationalverein, National Union  
[1232](#).
- National Volunteer Convention, Ireland  
[701](#).
- National War Labor Board, U.S.  
[2187](#), [2189](#).
- National Woman's Party, U.S.  
[1621](#), [2187](#).
- National Woman Suffrage Association  
[1604](#).
- National Women's Political Caucus, U.S.  
[3422](#).

National Women's Trade Union League, U.S.  
[1613](#).

National Workmen's Insurance Law, France  
[1908](#).

National Work Party, Turkey  
[3799](#).

National Workshops, France  
[1081](#), [1081](#).

Nation of Islam  
[1706](#), [3434](#).

Nation Party, Turkey  
[3787](#), [3790](#).

Nations, battle of the  
*See* [Leipzig](#).

Native Administration Act, South Africa  
[2578](#).

Native Affairs Act, South Africa  
[2577](#).

Native Affairs Commission, South Africa  
[2577](#).

Native Americans  
[2187](#), [2201](#), [2210](#), [2644](#), [2670](#), [2698](#), [3390](#), [3415](#), [3424](#), [3435](#), [3443](#), [3448](#), [3453](#),  
[3456](#), [3458](#); Canada, [2687](#), [2688](#). *See* [Indians](#).

Native Authority Ordinance, Tanganyika  
[2567](#).

Native Bills, South Africa  
[2578](#), [2579](#).

Native Council of Canada  
[3453](#).

Native Courts Regulations, Kenya  
[1532](#).

Native Labour Regulation Act, South Africa  
[1558](#).

Native Land Act, South Africa  
[1559](#).

Native Land Court, New Zealand  
[1503](#).

Native Recruiting Corporation, South Africa  
[1559](#).

Native Registration Ordinance, Africa  
[2565](#).

Native Rights Act, New Zealand  
[1503](#).

Natives (Urban Areas) Act, South Africa  
[2578](#).

Natives Representation Act, South Africa  
[2580](#).

Natives Representative Council, NRC  
[2580](#).

Natives Trust and Land Act, South Africa  
[2580](#).

Native System  
[1414](#).

Native Tax and Development Act, South Africa  
[2578](#).

Native Title Bill, Australia  
[4311](#).

nativism, in Japan  
[861](#).

NATO  
*See* [North Atlantic Treaty Organization \(NATO\)](#).

Natsir, Mohammed, Indonesian leader  
[4123](#).

naturalism  
[1146](#), [1146](#).

Naturalization Act, U.S.  
[1565](#).

Naturalization (or Alien) Bill, Canada  
[1625](#).

Natural Products Marketing Act, Canada  
[2230](#).

Naucratis  
[177](#), [208](#).

Naulochus  
[242](#).

Naumann, Friedrich, German leader  
[1237](#).

Naumburg  
[415](#).

Naupactus  
[196](#).

Nauplia

[567](#), [1274](#).  
Nauru  
[2530](#), [2539](#), [2636](#), [2697](#), [4284](#), [4287](#).  
Naus, Joseph, Belgian adviser in Iran  
[1352](#).  
Naussau, Dutch royal house  
[704](#).  
Nautilus, U.S. nuclear submarine  
[998](#), [2641](#), [2653](#), [2656](#), [3403](#).  
Navajo Indians  
[2210](#).  
naval agreement, between Britain, France, and U.S., 1936  
[1833](#).  
naval armaments treaty, 1922  
[1831](#).  
Naval Bills, Germany  
[1237](#).  
naval convention, Britain, France, and Italy  
[1746](#).  
Naval Defense Act, England  
[1162](#).  
Navarino, battle of  
[1275](#), [1328](#), [1367](#).  
Navarre  
[419](#), [419](#), [419](#), [419](#), [420](#), [476](#), [478](#), [479](#), [525](#), [598](#), [598](#), [601](#), [602](#), [725](#), [2899](#).  
Navarre, College of  
[524](#).  
Navarro, Pedro, Spanish soldier  
[601](#).  
Navidad  
[572](#).  
navigation  
[281](#), [281](#), [282](#), [373](#).  
Navigation Acts, England  
[514](#), [648](#), [648](#), [670](#), [671](#), [674](#), [695](#), [703](#), [939](#), [939](#), [1075](#).  
navy  
[1125](#), [1130](#), [1237](#); Great Britain, [1130](#), [1162](#); China, [1420](#); Japan, [1470](#); Australia, [1498](#); U.S., [1565](#); Canada, [1639](#).  
Navy Island, Niagara River  
[1625](#), [1626](#).  
Naweji ya Ditende, African leader



[1538](#).

Naxos

[168](#), [179](#), [180](#), [184](#), [184](#), [190](#), [194](#), [196](#), [199](#), [201](#), [202](#), [507](#).

Naxos, duke of

*See* [Don Joseph ~Nasi, Spanish Jew in the Ottoman Empire](#).

Nay, Cornelis, Dutch explorer

[993](#).

Nayaka dynasty

[337](#).

Nazarbayev, Nursultan, Kazakh leader

[3332](#), [3336](#), [3337](#), [3338](#).

Nazarbek, Avetis, Armenian revolutionary

[965](#).

Nazareth

[458](#), [507](#).

Nazi Labor Front

[1986](#).

Nazimuddin, Khwaja, Pakistani leader

[3990](#), [3991](#), [3991](#).

Nazi Party

[1704](#), [1888](#), [1978](#), [1983](#), [1984](#), [1984](#), [1984](#), [1984](#), [1984](#), [1984](#), [1984](#), [1986](#), [1986](#), [1986](#), [1986](#), [1986](#), [2007](#), [2008](#), [2008](#), [2011](#), [2011](#), [2016](#), [2016](#), [2018](#), [2028](#), [2034](#), [2093](#); Brown Shirts, [2579](#); dissolution, [2634](#).

Nazism

[1235](#), [1704](#), [1706](#), [1814](#), [1814](#), [2011](#), [2028](#), [2029](#), [2031](#), [2646](#), [3023](#), [3030](#); Austria, [2011](#), [2757](#), [3039](#), [3040](#); Hungary, [2030](#); Latin America, [2238](#), [2247](#); Japan, [2520](#); and extermination, [2593](#); France, [2875](#); Germany, [2982](#), [2983](#), [2983](#), [3003](#), [3022](#), [3858](#), [3861](#); statute of limitations, [3001](#); Sweden, [3067](#).

Nazi-Soviet Nonaggression Pact

[2519](#), [2519](#), [2526](#).

Ncome River

[1551](#).

Ndabaya, Melchiar, Burundian leader

[4412](#).

Ndebele people

[1546](#), [1547](#), [1548](#), [1548](#), [1551](#), [1551](#), [1551](#), [1553](#), [1553](#), [1556](#), [4467](#).

Ndiadiane N'Diaye, ruler of Wolof

[358](#).

N'Diambour

[1510](#).

Ndongo

[363](#), [886](#).  
Ndongo, Atanasio, leader of Equatorial Guinea  
[4338](#).  
Ndwandwe people  
[1549](#), [1550](#), [1550](#).  
Neanderthal Cave, Germany  
[23](#).  
Neanderthals  
[18](#), [23](#), [23](#), [23](#), [23](#), [23](#), [24](#), [25](#), [25](#), [25](#).  
Neapolitan Revolution  
[1066](#), [1066](#).  
Nearchus, Macedonian commander  
[129](#), [207](#).  
Near East  
[1](#), [2](#), [4](#), [10](#), [14](#), [22](#), [22](#), [23](#), [23](#), [25](#), [25](#), [29](#), [32](#), [32](#), [32](#), [35](#), [35](#), [36](#), [36](#), [37](#), [38](#), [41](#), [42](#), [42](#),  
[61](#), [86](#), [93](#), [108](#), [177](#), [343](#), [1258](#), [1260](#), [1818](#), [1991](#); and Russia, [789](#); WWI, [1752](#),  
[1784](#); and U.S., [2193](#).  
Near East Relief Commission  
[2147](#).  
Nearer Spain  
*See* [Hispania Citerior](#).  
Nebaioth  
[127](#).  
Nebka, king of Egypt  
[91](#), [103](#).  
Nebraska  
[1603](#); territory, [1582](#).  
Nebrija, Elio Antonio de, Lebrija  
[604](#).  
Nebuchadnezzar I, king of Babylonia  
[86](#), [122](#).  
Nebuchadnezzar II, king of Babylonia  
[88](#), [88](#), [95](#), [105](#), [109](#).  
Necho I, king of Egypt  
[95](#).  
Necho II, king of Egypt  
[95](#), [105](#).  
Necker, Anne-Louise-Germaine  
*See* [Staël, Madame de, writer](#).  
Necker, Jacques, French financier  
[1001](#), [1001](#), [1001](#), [1002](#).

Neckham, Alexander, encyclopedist  
[444](#).

Nectanebo I, king of Egypt  
[95](#), [95](#).

Nectanebo II, king of Egypt  
[95](#).

Nedao  
[402](#), [406](#).

Neerwinden, battle of  
[654](#).

Nef'aurud  
*See* [Nepherites I, king of Egypt](#).

Nefertiti, queen of Egypt  
[93](#).

Nef'i, Ottoman poet  
[801](#).

Negapatam  
[336](#).

Negev  
[3769](#).

Negrin, Juan, Spanish leader  
[1930](#), [1932](#), [1932](#).

Negri (Negeri) Sembilan  
[838](#), [1411](#), [1411](#), [1411](#), [4104](#).

Négritude  
[2554](#), [4320](#).

Negroponte  
[314](#), [532](#), [538](#), [1277](#).

Negroponte, John, U.S. diplomat  
[3695](#).

Neguelli  
[2612](#).

Nehemiah, governor of Judah  
[105](#), [127](#).

Nehru, Jawaharlal, Indian leader  
[2435](#), [2437](#), [2437](#), [2439](#), [2446](#), [2637](#), [2654](#), [3954](#), [3957](#), [3957](#), [3957](#), [3958](#), [3959](#),  
[3960](#), [3960](#), [3964](#), [3964](#), [3964](#), [3964](#), [3965](#), [3965](#), [3965](#), [3965](#), [3967](#), [3973](#), [3995](#).

Nehru, Motilal, Indian leader  
[2437](#).

Nehru, Pandit, Indian leader  
[3951](#).

Neighborhood Youth Corps  
[3410](#).

Neil Kinnock, British leader  
[2796](#).

Nejapa, El Salvador  
[3673](#).

Nekhen  
[91](#).

Nelson, Donald M., U.S. leader  
[2212](#).

Nelson, Horatio, British admiral  
[1010](#), [1023](#).

Nemanyid dynasty  
[494](#), [562](#).

Németh, Gyula Illyés László, intellectual  
[2029](#).

Nemetskaia Slobada, Russia  
[783](#).

Nemours, Louis Charles d'Orléans, duke of  
[1055](#).

Nennesu, Nennusu  
*See* [Heracleopolis](#).

Nenni, Pietro, Italian leader  
[2934](#), [2937](#).

Neo-Assyrians  
[87](#), [87](#), [87](#), [87](#), [88](#).

Neo-Babylonian empire  
[87](#), [88](#), [88](#), [88](#).

neocolonialism  
[3963](#).

Neo-Confucianism  
[283](#), [373](#), [373](#), [373](#), [375](#), [382](#), [396](#), [399](#), [580](#), [851](#), [854](#); Korea, [855](#), [855](#), [855](#), [856](#),  
[856](#), [856](#), [856](#), [856](#), [856](#); Japan, [859](#), [859](#), [861](#), [861](#), [1455](#).

Neo-Daoism  
[156](#), [158](#).

Neo-Destour Party, Tunisia  
[1706](#), [2426](#), [3927](#), [3940](#), [3941](#), [3943](#).

Neo-Elamites  
[122](#), [123](#).

neofascism, Spain  
[2906](#).

Neo-Hittites

[87](#), [103](#), [106](#).

Neolithic age

[14](#), [35](#), [62](#), [63](#), [64](#), [138](#), [160](#), [160](#), [222](#), [1500](#).

Neolithic peoples

[424](#), [425](#).

Neolithic Revolution

[35](#).

Neopatras

[564](#), [564](#).

Neophytos, Bulgarian monk

[1299](#).

Neo-Platonic Academy

[427](#).

Neo-Platonism

[268](#), [401](#).

Neos Dionysos

*See* [Ptolemy XI Auletes, king of Egypt](#).

Neo-Shintoism

[861](#).

Neo-Slav movement

*See* [Pan-Slav movement](#).

Nepal

[129](#), [130](#), [324](#), [853](#), [1394](#), [1394](#), [1397](#), [1415](#), [2686](#), [3973](#), [4046](#), [4046](#), [4046](#), [4148](#),  
[4152](#), [4152](#).

Nepherites I, king of Egypt

[95](#).

Nepherites II, king of Egypt

[95](#).

Nepos

*See* [Julius Nepos, Roman emperor in the West](#).

Nepos, Cornelius, Roman historian

[239](#).

Neptune

[1040](#).

Nerchinsk, treaty of

[576](#), [784](#), [852](#).

Nerette, Joseph, Haitian leader

[3750](#), [3751](#).

Nergal-shar-usur

*See* [Neriglissar, king of Babylonia](#).



Latin America, [1677](#); WWI, [1782](#), [1789](#), [1894](#); and Belgium, [1882](#), [1886](#); Great Depression, [1895](#); and Allies, [1895](#); and United States, [1896](#); extremism between Wars, [1896](#), [1896](#); between Wars, [1896](#); and Germany, [1896](#); invasion by Germany, [1898](#); WWII, [1898](#), [1898](#), [1899](#), [1899](#), [1899](#), [1900](#), [1900](#), [1900](#), [2585](#), [2585](#), [2604](#), [2604](#), [2619](#), [2621](#); Forces of the Interior, [1898](#); and Indonesia, [2456](#), [2457](#), [2457](#), [2636](#), [2828](#), [2829](#), [2830](#), [4119](#), [4119](#), [4120](#), [4120](#), [4120](#), [4120](#), [4121](#), [4122](#), [4126](#), [4126](#), [4127](#), [4130](#), [4131](#), [4136](#); WWII merchant tonnage, [2604](#); European currency, [2833](#); and Surinam, [3630](#). *See* [Holland](#).

Netherlands Antilles

[2829](#), [2832](#).

Netherlands Celebes

[2456](#), [2457](#).

Netherlands East Indies

[1899](#), [2456](#), [2456](#), [2624](#); and Japan, [2456](#). *See* [Indonesia \(Netherlands East Indies\)](#).

Netherlands-Indonesian union

[4125](#).

Netherlands New Guinea

*See* [Dutch New Guinea](#).

Neto, Agostinho, Angolan leader

[4436](#), [4438](#).

Netter, Yvonne, women's rights activist

[1914](#).

Neuburg

[616](#).

Neuchâtel

[625](#), [659](#), [748](#), [1032](#), [1227](#).

Neuhäusel

[757](#).

Neuhof, Theodore von

[745](#).

Neuilly, treaty of

[1786](#).

Neurath, Constantin von, German leader

[1984](#), [1986](#), [1991](#), [2021](#).

Neustria

[407](#), [407](#), [407](#), [407](#), [410](#), [411](#), [413](#), [413](#), [413](#).

neutrality

[1100](#), [1100](#), [1171](#); Switzerland, [748](#), [1229](#), [1229](#), [1963](#); WWI, [1141](#), [1206](#), [1225](#), [1229](#), [1283](#); Scandinavia, [1247](#); Denmark, [1253](#).

Neutrality Act, U.S.

[1565](#), [2206](#), [2208](#), [2208](#), [2598](#).

Neuve Chapelle

[1791](#).

Nevada

[1563](#), [1603](#), [1607](#); territory, [1594](#); discovery of silver, [1595](#).

Neva River

[489](#).

Nevers

[521](#).

Neves, Tancredo, Brazilian leader

[3620](#).

Neville's Cross, battle of

[512](#), [517](#).

Nevis

[931](#).

New Amsterdam

[703](#), [932](#), [935](#).

Newark, Canada

[1623](#).

New Azerbaijan Party

[3314](#).

Newbattle, Scotland

[443](#).

New Bern, North Carolina

[1587](#).

New Boston Theater

[1607](#).

New Britain

[865](#), [1477](#).

New Brunswick

[952](#), [1622](#), [1624](#), [1630](#).

Newburgh Conspiracy

[952](#).

Newbury, battles of

[592](#).

New Caledonia

[864](#), [864](#), [866](#), [1477](#), [4285](#), [4286](#).

New Carthage

[232](#).

Newcastle, Australia

[592](#), [1488](#).

Newcastle Waters, Australia



[4303](#).  
New Christians, Spanish “converts” from Judaism  
[601](#), [601](#), [910](#), [918](#).  
New College, Oxford  
[513](#).  
Newcomen, Thomas, inventor  
[647](#).  
New Culture movement, China  
[2464](#).  
New Deal  
[1702](#), [2187](#), [2187](#), [2187](#), [2204](#), [2204](#), [2204](#), [2206](#), [3390](#), [3390](#), [3427](#); agricultural legislation, [2202](#); banking legislation, [2202](#), [2202](#), [2202](#); home financing, [2202](#), [2202](#); monetary legislation, [2202](#), [2202](#), [2202](#); securities legislation, [2202](#), [2202](#); relief legislation, [2203](#), [2203](#), [2203](#); labor legislation, [2203](#), [2203](#), [2203](#), [2203](#); foreign policies, [2204](#).  
New Deal Coalition  
[2187](#).  
New Delhi  
[3269](#), [3960](#), [4152](#).  
New Democracy Party, Greece  
[3222](#).  
New Democratic Party, NDP  
[4208](#).  
New Democrats, Canada  
[3451](#).  
New Economic Policy, NEP  
[2065](#), [2068](#), [2068](#), [2072](#), [2072](#).  
New England  
[919](#), [920](#), [924](#), [926](#), [926](#), [926](#), [926](#), [926](#), [927](#), [928](#), [932](#), [933](#), [933](#), [934](#), [934](#), [939](#), [940](#), [1565](#), [1568](#), [1570](#), [1572](#), [1572](#), [1575](#).  
New England Anti-Slavery Society  
[1575](#).  
New England Confederation  
[933](#).  
New England Emigrant Aid Society  
[1583](#).  
New Forest, England  
[444](#).  
Newfoundland  
[281](#), [571](#), [573](#), [659](#), [920](#), [923](#), [929](#), [932](#), [939](#), [952](#), [991](#), [1128](#), [1625](#), [1633](#), [1637](#), [1641](#), [1641](#), [1641](#), [2235](#), [2587](#), [2599](#), [3444](#), [3456](#); and WWI, [1641](#); and Great Britain, [2236](#).

Newfoundland Banks

[940](#).

New Fourth Army Incident, China

[2483](#).

New France

[921](#).

New Front for Democracy and Development, Surinam

[3636](#).

New Georgia Island

[2629](#).

New Granada

*See* [Nueva Granada](#).

New Guinea

[14](#), [18](#), [22](#), [27](#), [27](#), [30](#), [52](#), [52](#), [61](#), [864](#), [864](#), [1476](#), [1477](#), [1477](#), [1479](#), [1494](#), [1495](#), [1497](#), [2550](#), [2627](#), [2630](#), [2638](#), [2828](#), [4125](#), [4130](#), [4283](#), [4296](#); WWI, [1768](#); WWII, [2627](#), [2629](#); West Irian, [2638](#); West, [4126](#), [4126](#), [4127](#), [4130](#), [4134](#).

New Guinea Company

[1477](#).

New Hampshire

[933](#), [933](#), [952](#).

New Hanover

[1477](#).

New Harmony, Indiana

[1035](#).

New Haven, Connecticut

[928](#), [933](#), [933](#), [990](#).

New Hebrides, Vanuatu

[864](#), [865](#), [1128](#), [1476](#), [1478](#), [2627](#), [4285](#).

New Holland, Australia

[1487](#).

Ne Win, Burmese leader

[4053](#), [4054](#), [4055](#), [4059](#), [4059](#), [4061](#).

New Intellectual Front

[2029](#).

New Ireland

[865](#), [1477](#), [2627](#).

New Jersey

[935](#), [935](#), [935](#), [948](#), [949](#), [949](#), [950](#), [3409](#).

New Jewel Movement, Grenada

[3762](#).

New Kingdom, Egypt

[43](#), [66](#), [74](#), [90](#), [90](#), [93](#), [93](#).

New Komeit , Japan

[4252](#).

Newlands Act, U.S.

[1612](#).

Newman, John Henry, English theologian

[1049](#), [1167](#).

New Mexico

[28](#), [40](#), [894](#), [903](#), [903](#), [904](#), [904](#), [904](#), [1563](#), [1579](#), [1580](#), [1602](#), [1603](#), [1690](#), [2188](#), [2204](#).

New Model Army, England

[577](#), [593](#), [668](#).

New Nationalism, Theodore Roosevelt doctrine

[1617](#).

New National Party, Grenada

[3765](#).

New Netherland Company

[932](#).

New Netherlands

[648](#), [932](#), [935](#).

New Order, Ottoman troops

[810](#), [811](#), [2632](#).

New Orleans

[922](#), [959](#), [1565](#), [1567](#), [1570](#), [1594](#); battle of, [1572](#); in the Civil War, [1587](#).

New Party, Great Britain

[1847](#).

New People's Army, NPA

[4291](#), [4292](#), [4292](#), [4292](#), [4293](#).

Newport

[928](#), [951](#).

Newport, Christopher, English navigator

[924](#), [924](#).

Newport Uprising, Wales

[1049](#).

New Progressive Party, PNP

[3732](#), [3732](#).

New Socialist Offensive, Russia

[2065](#), [2072](#).

New South Wales

[1476](#), [1487](#), [1488](#), [1488](#), [1489](#), [1489](#), [1489](#), [1490](#), [1490](#), [1490](#), [1490](#), [1491](#), [1492](#), [1492](#), [1493](#), [1493](#), [1494](#), [1494](#), [1495](#), [1495](#), [1495](#), [1495](#), [1497](#), [1497](#), [1497](#), [1497](#), [1498](#),

[1500](#), [2546](#), [4295](#).  
New South Wales Corps  
[1487](#), [1487](#), [1487](#).  
New Spain  
[901](#), [901](#), [902](#), [903](#), [903](#), [906](#), [908](#), [908](#), [909](#), [909](#), [910](#), [911](#), [911](#), [911](#), [911](#), [911](#), [1653](#).  
*See* [Mexico](#).  
newspapers  
[683](#).  
New Stone Age  
[14](#).  
New Sweden  
[932](#).  
New Sweden Company  
[932](#).  
New System  
[955](#).  
New Testament  
[401](#), [613](#), [628](#). *See* [Bible](#).  
Newton, Isaac  
[640](#), [641](#), [641](#), [641](#), [641](#), [647](#), [675](#), [1038](#), [1147](#), [1149](#).  
New World  
[2](#), [14](#), [15](#), [28](#), [28](#), [28](#), [28](#), [29](#), [40](#), [53](#), [573](#). *See* [Americas](#).  
New York, U.S. state  
[933](#), [935](#), [935](#), [935](#), [939](#), [940](#), [940](#), [943](#), [944](#), [948](#), [982](#), [1143](#), [1568](#), [1576](#), [1577](#), [1579](#),  
[1796](#), [2191](#), [2309](#), [2379](#), [2662](#), [2709](#), [2759](#), [2766](#), [2875](#), [2899](#), [2957](#), [3441](#), [3717](#),  
[3729](#), [3752](#), [4130](#), [4293](#), [4293](#).  
New York City  
[596](#), [703](#), [935](#), [935](#), [936](#), [941](#), [941](#), [948](#), [948](#), [981](#), [983](#), [984](#), [989](#), [989](#), [990](#), [990](#), [991](#),  
[1564](#), [1574](#), [1574](#), [1574](#), [1575](#), [1575](#), [1576](#), [1581](#), [1594](#), [1617](#), [1618](#), [1618](#), [1621](#),  
[2214](#), [2645](#), [2689](#), [3395](#), [3411](#), [3414](#), [3414](#), [3419](#), [3562](#), [3786](#); draft riots in, [1588](#).  
New York State Factory Commission  
[1618](#).  
New York Stock Exchange  
[1700](#), [1708](#), [1718](#), [1814](#).  
New York World's Fair  
[1700](#).  
New Youth  
[2464](#).  
New Zealand  
[52](#), [864](#), [864](#), [864](#), [864](#), [865](#), [866](#), [953](#), [1476](#), [1476](#), [1476](#), [1479](#), [1496](#), [1497](#), [1500](#),  
[1500](#), [1500](#), [1699](#), [2229](#), [2530](#), [2530](#), [2530](#), [2531](#), [2537](#), [2539](#), [2551](#), [2551](#), [2551](#),

[2551](#), [2551](#), [2551](#), [2551](#), [2636](#), [2638](#), [2642](#), [2681](#), [3396](#), [3413](#), [4107](#), [4256](#), [4266](#),  
[4283](#), [4283](#), [4284](#), [4284](#), [4287](#), [4297](#), [4299](#), [4314](#), [4315](#), [4315](#), [4315](#), [4315](#), [4315](#),  
[4315](#), [4316](#), [4316](#), [4316](#), [4316](#), [4316](#), [4316](#), [4317](#), [4317](#), [4317](#), [4317](#), [4317](#), [4317](#), [4317](#),  
[4319](#); wars, [1502](#), [1502](#), [1503](#), [1503](#); expansion in the Pacific region, [1505](#); WWI,  
[1768](#), [2530](#), [2551](#); Great Depression, [2551](#), [2551](#); between Wars, [2551](#); WWII, [2551](#),  
[2553](#); 1940s–1990s, [4314](#); and Vietnam, [4316](#).

New Zealand–Australia Free Trade Agreement  
[4316](#).

New Zealand Company  
[1500](#), [1501](#), [1502](#).

New Zealand Farmers' Union  
[1504](#).

Ney, Michel, duke d'Elchingen and prince de La Moskova  
[1029](#), [1030](#), [1033](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 55

Nezib

[437](#), [1331](#).

Nez Perce Indians

[1597](#).

Ngô Dinh Diem, Vietnamese leader

[4256](#), [4257](#), [4257](#), [4257](#), [4257](#), [4257](#), [4258](#), [4259](#), [4260](#), [4261](#), [4263](#).

Nghe An

[2525](#); rebellion, [4259](#).

Nghe-Tinh Soviet

[2525](#), [2526](#).

Ngolo Jara, Bambara leader

[870](#).

Ngoni people

[1529](#), [1546](#), [1548](#).

Ngô Quyền, king of Vietnam

[397](#).

Ngoubai, Marien, Congolese leader

[4446](#), [4446](#), [4446](#).

Nguema, Macias, leader of Equatorial Guinea

[4338](#), [4338](#), [4338](#).

Ngugi wa Thiong'o, writer

[4320](#).

Nguni Bantu people

[365](#), [365](#), [890](#), [890](#), [891](#), [1549](#).

Nguyễn Anh

See [Gia-long, emperor of Vietnam](#).

Nguyễn Cao Ky, Vietnamese commander

[4266](#), [4266](#), [4268](#), [4268](#), [4268](#), [4268](#), [4269](#).

Nguyễn Đình Thuan, Vietnamese leader

[4261](#).

Nguyễn dynasty

[863](#), [1473](#), [1473](#).

Nguyễn family

[849](#), [849](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [2524](#).

Nguyễn Khanh

[4264](#), [4264](#), [4264](#), [4264](#), [4265](#), [4265](#), [4265](#), [4265](#), [4266](#), [4266](#).

Nguyễn Thai Hoc, Vietnamese leader

[2525](#).

Nguyễn Van Linh, Vietnamese leader

[4276](#), [4276](#), [4276](#), [4277](#), [4277](#), [4278](#).

Nguyễn Van Thieu, Vietnamese commander

[4266](#), [4266](#), [4268](#), [4269](#), [4270](#), [4271](#).

Ngwane people

[1549](#), [1551](#).

Ngwato people

[4455](#), [4456](#).

Niagara, New York

[940](#), [983](#), [1623](#), [1623](#).

Niagara Falls

[982](#), [1629](#), [1639](#).

Niagara Movement, U.S.

[1616](#).

Niagara River

[1625](#).

Nian, Chinese rebels

[1417](#).

Niani

[359](#).

Niazi, Pakistani commander

[3971](#), [4003](#).

Nibelungenlied

[459](#).

Nibelungs

[426](#).

Nicaea

[309](#), [494](#), [495](#), [497](#), [501](#), [505](#), [507](#), [508](#), [508](#), [509](#), [509](#), [510](#), [510](#), [510](#), [564](#); ecumenical council, [401](#), [401](#), [433](#).

Nicaragua

[895](#), [896](#), [954](#), [1619](#), [1655](#), [1655](#), [1655](#), [1680](#), [1680](#), [1683](#), [1683](#), [1738](#), [2274](#), [2274](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2284](#), [2285](#), [2637](#), [2638](#), [2638](#), [2644](#), [2680](#), [2681](#), [3465](#), [3468](#), [3470](#), [3474](#), [3475](#), [3475](#), [3642](#), [3642](#), [3649](#), [3675](#), [3676](#), [3677](#),

[3677](#), [3680](#), [3680](#), [3684](#), [3685](#), [3686](#), [3687](#), [3688](#), [3689](#), [3689](#), [3689](#), [3692](#), [3694](#), [3695](#), [3722](#); republic of, [1683](#); WWI, [2274](#); and U.S., [2274](#), [3428](#), [3436](#), [3675](#), [3676](#), [3676](#), [3677](#), [3677](#), [3678](#), [3679](#), [3679](#), [3680](#), [3680](#), [3681](#), [3682](#), [3683](#); WWII, [2285](#); cost of war, [3677](#); civil war, [3679](#); and Russia, [3681](#); Hurricane Mitch, [3684](#); student unrest, [3685](#).

Nice

[602](#), [615](#), [1181](#), [1211](#), [1212](#), [1212](#), [2619](#), [2757](#), [2844](#).

Nicephorus I, Byzantine emperor

[433](#), [473](#).

Nicephorus I, ruler of Epirus

[564](#).

Nicephorus II, Phocas

[437](#), [437](#), [437](#).

Nicephorus III, Botaniates

[500](#).

Nichiren, Buddhist leader

[395](#).

Nichiren Buddhism

[395](#).

Nicholas, prince and regent of Romania

[2179](#).

Nicholas I, king of Montenegro

[1296](#), [1297](#), [1297](#), [1297](#), [1297](#), [1297](#), [1744](#), [1779](#), [2127](#).

Nicholas I, pope

[409](#), [409](#).

Nicholas I, tsar of Russia

[1256](#), [1257](#), [1258](#), [1258](#), [1258](#), [1268](#).

Nicholas II, pope

[454](#), [467](#), [467](#), [467](#), [1258](#), [1263](#), [1263](#), [1263](#), [1264](#), [1264](#), [1264](#), [1422](#).

Nicholas II, tsar of Russia

[1121](#), [1134](#), [1141](#), [1256](#), [1262](#), [1319](#), [1740](#), [2062](#), [2064](#), [2067](#).

Nicholas IV, pope

[375](#), [469](#).

Nicholas V, pope

[532](#), [542](#).

Nicolaievich, Nicholas

[1739](#), [1740](#), [2062](#).

Nicholas of Cologne, Crusader

[507](#).

Nicholas of Hereford, religious leader

[513](#).



Nicias, Athenian leader  
[196](#), [196](#), [197](#), [197](#), [197](#).

Nicola, Enrico de, Italian leader  
[2925](#).

Nicolaiev, occupation of  
[1774](#).

Nicolet, Jean, French explorer  
[921](#).

Nicolsburg  
[1102](#), [1233](#).

Nicomedia  
[261](#), [262](#), [309](#), [309](#).

Nicopolis  
[311](#).

Nicopolis, battles of  
[560](#), [563](#), [568](#).

Nicuesa, Diego de, Spanish explorer  
[895](#).

Nidermeyer, Oskar von, German agent in Persia  
[1751](#).

Niemciwicz, Julian Ursyn, Polish writer  
[782](#).

Niemen River  
[1029](#), [1029](#), [1739](#), [1792](#).

Niemoeller, Martin, Nazi opponent  
[1986](#).

Niepce, Joseph Nicéphore, physicist  
[989](#).

Nieszawa  
[556](#).

Nietzsche, Friedrich von, philosopher  
[1143](#), [1144](#), [1235](#).

Nieuport  
[1738](#), [1790](#).

Nieuport 3, French plane  
[1766](#).

Nieuwland, Father Julius A., scientist  
[984](#).

Nieuw Zeeland  
*See* [New Zealand](#).

Nigari, Ottoman artist

[797](#).  
Nigel, bishop of Ely  
[444](#).  
Niger  
[1128](#), [2555](#), [2555](#), [2556](#), [2556](#), [4325](#), [4325](#), [4327](#), [4365](#), [4365](#), [4365](#), [4365](#), [4365](#),  
[4365](#), [4366](#); independence, [4365](#).  
Niger, Caius Pescennius, Roman rival emperor  
[255](#), [255](#).  
Nigeria  
[110](#), [343](#), [345](#), [345](#), [345](#), [351](#), [580](#), [823](#), [873](#), [875](#), [954](#), [1511](#), [1515](#), [1516](#), [1519](#),  
[1519](#), [1519](#), [1520](#), [1520](#), [1521](#), [2554](#), [2554](#), [2556](#), [2558](#), [2558](#), [2558](#), [2558](#), [2558](#),  
[2559](#), [2559](#), [2559](#), [2559](#), [2559](#), [2636](#), [2636](#), [2644](#), [2682](#), [2694](#), [2781](#), [4320](#), [4323](#),  
[4324](#), [4324](#), [4324](#), [4326](#), [4326](#), [4358](#), [4359](#), [4365](#), [4367](#), [4368](#), [4368](#), [4369](#), [4369](#),  
[4370](#), [4371](#), [4371](#), [4371](#), [4372](#), [4373](#), [4373](#), [4373](#), [4382](#), [4383](#), [4383](#), [4383](#), [4384](#),  
[4457](#), [4469](#); WWI, [1768](#); civil war, [2667](#), [4320](#), [4320](#); postcolonial economy and  
society, [4320](#); post-WWII colonialism, [4321](#); independence, [4325](#), [4367](#); student  
unrest, [4370](#).  
Nigerian Civil War, Biafran War  
[4368](#), [4368](#).  
Nigerian juju music  
[4320](#).  
Nigeria Youth movement  
[2559](#).  
Niger Missions  
[1514](#), [1515](#).  
Niger people  
[1514](#).  
Niger River  
[344](#), [344](#), [351](#), [351](#), [352](#), [356](#), [358](#), [359](#), [870](#), [870](#), [870](#), [871](#), [878](#), [1112](#), [1507](#), [1507](#),  
[1507](#), [1507](#), [1508](#), [1510](#), [1511](#), [1511](#), [1515](#), [1517](#).  
Nightingale, Florence, British nurse  
[1155](#).  
Nihavand  
[275](#), [287](#).  
Niigata  
[1442](#).  
Nijmegen, Nijmegen  
[653](#), [656](#), [712](#), [719](#), [748](#), [2621](#); Peace of, [712](#).  
Nika Insurrection, Constantinople  
[427](#).  
Nikayas

[129](#).

Nikki

[1517](#).

Nikolas, Byzantine patriarch

[436](#).

Nikon, patriarch of Moscow

[783](#), [783](#), [784](#).

Nile River

[1](#), [29](#), [38](#), [38](#), [38](#), [42](#), [42](#), [43](#), [43](#), [62](#), [65](#), [66](#), [74](#), [89](#), [90](#), [91](#), [91](#), [92](#), [92](#), [93](#), [93](#), [94](#), [95](#), [96](#), [98](#), [98](#), [99](#), [104](#), [177](#), [192](#), [192](#), [218](#), [218](#), [245](#), [343](#), [344](#), [810](#), [879](#), [880](#), [883](#), [967](#), [969](#), [1119](#), [1121](#), [1123](#), [1366](#), [1367](#), [1370](#), [1373](#), [1508](#), [1508](#), [1508](#), [1509](#), [1524](#), [1525](#), [1527](#), [2357](#), [2561](#); Waters Agreement, [2360](#).

Nile Valley

[344](#), [351](#), [352](#).

Nimeiry, Ja'fer, Sudanese leader

[4404](#), [4404](#), [4404](#).

Nîmes

[477](#), [479](#).

Nimrod

See [Tukulti-Ninurta I, king of Assyria](#).

Nimrud

See [Kalah](#).

Niña, ship

[572](#).

Nine Archons

[180](#).

nine-power treaties

[1710](#).

Nineteen Eighty-four

[2649](#).

Ninety-Day Embargo

[1571](#).

Ninety-five Theses, of Martin Luther

[613](#).

Nineveh

[87](#), [87](#), [88](#), [123](#), [275](#).


Ningbo

[1416](#).

Ningxia

[374](#), [2481](#).

Ninigi

[167](#).  
Ninmah  
[83](#).  
Niño, Andrés, Spanish explorer  
[895](#).  
Niño, Pedro Alonso, Spanish explorer  
[895](#).  
Nintoku  
[167](#).  
Ninurta  
[83](#), [101](#).  
Nioro  
[1511](#).  
Nipkov, Paul von, inventor  
[1736](#).  
Nirvana  
[129](#).  
Nis  
[1288](#).  
Nisch  
[257](#).  
Nish  
[310](#), [494](#), [496](#), [1299](#), [1797](#).  
Nishapur  
[288](#), [292](#), [294](#).  
Nishida Kitarō , intellectual  
[2520](#).  
Nishi-Rosen Agreement  
*See* [Rosen-Nishi Agreement, Japan and Russia](#).  
Nisibis  
[272](#), [272](#), [273](#), [273](#), [275](#).  
Nissan  
[2640](#).  
Nithard, John Everard, Jesuit priest  
[718](#), [719](#), [719](#).  
Nitocris  
*See* [Naqia, queen of Assyria](#); [Nitokerti, queen of Egypt](#).  
Nitokerti, queen of Egypt  
[91](#).  
Nitta clan  
[395](#).

Nitta Yoshisada, Japanese leader  
[395](#).

Nitti, Francesco, Italian leader  
[1941](#), [1943](#).

Niue  
[1477](#), [1478](#), [4284](#).

Niumi  
[359](#).

Nivelle, Robert, French commander  
[1754](#), [1754](#), [1755](#), [1755](#), [1755](#), [1755](#), [1800](#), [1801](#), [1901](#).

Nixon, Richard M., U.S. president  
[2637](#), [2668](#), [2669](#), [2730](#), [2892](#), [2959](#), [3250](#), [3273](#), [3286](#), [3286](#), [3390](#), [3397](#), [3401](#),  
[3405](#), [3413](#), [3415](#), [3416](#), [3417](#), [3418](#), [3418](#), [3419](#), [3419](#), [3419](#), [3421](#), [3421](#), [3423](#),  
[3423](#), [3425](#), [3467](#), [3598](#), [4068](#), [4160](#), [4161](#), [4206](#), [4239](#), [4271](#), [4271](#), [4271](#), [4272](#),  
[4272](#), [4272](#), [4272](#), [4272](#), [4275](#).

Niyazov, Saparmurad A., Turkmen leader  
[3377](#), [3378](#), [3379](#), [3379](#).

Niza, Fray Marcos de, Spanish missionary  
[903](#).

Nizam al-Mulk, Seljuk leader and writer  
[301](#), [301](#), [302](#).

Nizami, poet  
[303](#).

Nizam-i Jedid, New Order  
[810](#).

Nizamiyya, Baghdad  
[302](#).

Nizam-ul-mulk, Hassan ibn-Ali, governor of Hyderabad  
[834](#).

Nizar, Fatimid leader  
[302](#).

Nizaris (Assassins)  
[301](#), [302](#), [304](#), [318](#).

Nizhni-Novgorod  
[558](#).

Njelu people  
[1529](#).

Nkomati Accord  
[4462](#), [4480](#).

Nkomo, Joshua, Zimbabwean leader  
[4466](#), [4466](#), [4466](#), [4466](#), [4467](#), [4467](#), [4467](#).

Nkore

[347](#), [883](#).

Nkrumah, Kwame, Ghanaian leader

[2644](#), [2644](#), [4320](#), [4320](#), [4322](#), [4322](#), [4324](#), [4344](#), [4344](#), [4344](#), [4344](#).

N  ami, artist

[396](#).

Nobel, Alfred B., manufacturer and philanthropist

[984](#), [1149](#).

Nobel Prize

[1149](#), [1308](#), [1400](#), [1866](#), [1869](#), [1903](#), [1913](#), [1921](#), [1952](#), [2044](#), [2056](#), [2119](#), [2191](#),  
[2241](#), [2656](#), [2665](#), [2682](#), [2684](#), [2687](#), [2841](#), [2849](#), [2855](#), [2896](#), [3272](#), [3280](#), [3284](#),  
[3430](#), [3465](#), [3465](#), [3465](#), [3768](#), [3858](#), [3915](#), [4238](#), [4247](#); Peace, [1615](#), [1701](#), [2661](#),  
[2668](#), [2679](#), [2684](#), [2687](#), [2689](#), [2698](#), [2815](#), [3006](#), [3105](#), [3287](#), [3475](#), [3493](#), [3655](#),  
[3690](#), [3777](#), [3863](#), [3986](#), [4061](#), [4222](#).

Nobilior, M. Fulvius, Roman commander

[211](#).

Noble Guard

[2960](#).

Noboa, Alvaro, Ecuadorian leader

[3572](#).

Noboa Bejarano, Gustavo, Ecuadorian leader

[2698](#), [3574](#), [3574](#).

Noboa y Astete, Diego, Latin American leader

[1671](#).

Nobunaga, Oda, Japanese commander

[576](#), [857](#), [857](#), [857](#), [857](#), [857](#), [857](#).

Nobuyori, Japanese leader

[387](#).

Nobuyuki, Abe, Japanese leader

[2519](#).

Nocera

[458](#).

Noctes Atticae, Attic Nights

[246](#).

No Force Declaration

[1722](#).

Nogaret, Guillaume de, French adviser

[453](#), [470](#), [470](#).

Nogay

[1334](#).

Noir, Victor, French journalist

1185.  
Nok culture  
345.  
Nola  
231, 244.  
Noli, Fan, Albanian leader  
2137, 2137.  
nomadic peoples  
47, 47, 47, 48, 92, 126, 344.  
Nombre de Díos  
895, 895.  
Nomonhan  
2519.  
Nomura Kichisaburo, Japanese diplomat  
2625, 2625.  
nonaggression system  
1717, 1717, 1717, 1717, 1718, 1719, 1831, 1831, 1834, 1835, 1836, 1837, 1837,  
1837, 1915, 1939, 1992, 2037, 2041, 2057, 2073, 2079, 2083, 2100, 2101, 2109,  
2124, 2333, 2479, 2612.  
nonaligned movement  
2644, 2654, 2658, 2661, 2667, 2670, 2676, 2679, 2681, 2682, 2685, 2688, 3173,  
3642, 3906, 3907, 3957, 3967, 4032, 4096, 4112, 4374.  
nonconformists  
588, 1048, 1068.  
noncooperation movement, India  
2434, 2435.  
Non-Intercourse Law, U.S.  
1570.  
Non Nok Tha  
64.  
No Popery (Gordon) Riots, London  
689.  
Nora  
110.  
Nord  
2838.  
Nordenflycht, Hedvig Charlotta, writer  
761.  
Nordenskiöld, A. E., Swedish explorer  
996.  
Nordic Council

[3041](#).  
Nordic Cultural Foundation  
[3041](#).  
Nordic Economic Union  
[3041](#).  
Nordic peoples  
[421](#), [421](#).  
Nordli, Odvar, Norwegian leader  
[3059](#).  
Nördlingen, battle of  
[621](#), [622](#).  
Norfolk, Virginia  
[947](#), [1809](#).  
Norfolk Island  
[1487](#), [1487](#), [1488](#), [1491](#).  
Noricum  
[243](#), [245](#), [248](#), [254](#), [403](#), [408](#).  
Noriega, Manuel Antonio, Panamanian leader  
[3642](#), [3642](#), [3642](#), [3642](#), [3643](#), [3644](#), [3644](#), [3644](#), [3644](#), [3645](#), [3646](#), [3646](#).  
Norinaga, Motoori, Japanese writer and scholar  
[861](#), [1437](#).  
Norman Conquest  
[422](#), [425](#), [449](#), [2215](#).  
Normandy  
[412](#), [413](#), [413](#), [414](#), [422](#), [443](#), [444](#), [444](#), [444](#), [444](#), [444](#), [445](#), [449](#), [449](#), [449](#), [449](#), [449](#), [449](#), [450](#),  
[451](#), [452](#), [515](#), [520](#), [522](#), [523](#), [709](#), [1919](#), [2597](#), [2609](#), [2619](#), [2619](#); and England, [449](#);  
invasion, [2215](#).  
Normann, W., inventor of method for solidifying fats  
[988](#).  
Normans  
[322](#), [322](#), [419](#), [422](#), [423](#), [425](#), [438](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [444](#), [445](#),  
[445](#), [448](#), [457](#), [466](#), [467](#), [467](#), [467](#), [468](#), [468](#), [469](#), [471](#), [472](#), [498](#), [499](#), [499](#), [500](#), [500](#),  
[500](#), [501](#), [501](#), [502](#), [502](#), [502](#), [503](#), [503](#), [505](#), [505](#), [505](#), [670](#); in Scotland, [447](#); sacking  
of Rome, [455](#), [468](#); in Italy, [471](#).  
Norodom, king of Cambodia  
[1409](#), [1473](#).  
Norris Anti-Injunction Act, U.S.  
[2200](#).  
Norse  
*See* [Norsemen](#).  
Norsemen



[412](#), [413](#), [413](#), [415](#), [415](#), [415](#), [424](#), [425](#), [425](#), [425](#), [426](#), [464](#), [488](#), [571](#), [571](#), [992](#).  
Norstad, Lauris, U.S. commander  
[2717](#), [2723](#).  
North, U.S.  
[1563](#), [1574](#), [1575](#), [1575](#), [1583](#), [1586](#), [1586](#), [1587](#), [1588](#), [1588](#), [1589](#), [1589](#), [1596](#),  
[1598](#), [1616](#).  
North, Lord, Frederick, 2nd earl of Guilford  
[945](#), [949](#).  
North, J. T., British entrepreneur in Chile  
[1663](#).  
North, Oliver, presidential adviser  
[3428](#).  
North, Simeon, firearms manufacturer  
[985](#).  
North Africa  
[23](#), [25](#), [38](#), [44](#), [81](#), [108](#), [110](#), [177](#), [228](#), [245](#), [246](#), [246](#), [246](#), [246](#), [246](#), [268](#), [282](#), [285](#), [285](#),  
[285](#), [287](#), [287](#), [288](#), [289](#), [291](#), [292](#), [293](#), [299](#), [299](#), [299](#), [299](#), [317](#), [317](#), [317](#), [321](#), [321](#),  
[321](#), [321](#), [322](#), [322](#), [322](#), [323](#), [323](#), [323](#), [323](#), [343](#), [344](#), [344](#), [344](#), [346](#), [351](#), [404](#), [419](#),  
[427](#), [429](#), [431](#), [434](#), [471](#), [475](#), [479](#), [498](#), [525](#), [529](#), [578](#), [791](#), [791](#), [792](#), [822](#), [822](#), [822](#),  
[822](#), [823](#), [826](#), [826](#), [827](#), [827](#), [829](#), [953](#), [954](#), [955](#), [1114](#), [1114](#), [1117](#), [1327](#), [1327](#),  
[1327](#), [1327](#), [1329](#), [1336](#), [1375](#), [1375](#), [1376](#), [1383](#), [1392](#), [1392](#), [1393](#), [1917](#),  
[2317](#), [2317](#), [2317](#), [2417](#), [2550](#), [2586](#), [2635](#), [2643](#), [2700](#), [2849](#), [2850](#), [3768](#), [3768](#),  
[3768](#), [3919](#); postclassical, [276](#); piracy, [322](#); France, [1706](#), [2421](#); WWII, [2317](#), [2607](#),  
[2611](#), [2614](#), [2614](#), [2614](#), [2615](#), [2615](#); Great Depression, [2317](#); post-WWII politics,  
[3768](#); post-WWII social change, [3768](#); post-WWII economic change, [3768](#). *See*  
[French North Africa](#).  
North America  
[3](#), [5](#), [9](#), [12](#), [18](#), [18](#), [28](#), [28](#), [28](#), [29](#), [33](#), [33](#), [33](#), [33](#), [40](#), [40](#), [40](#), [53](#), [53](#), [53](#), [53](#), [64](#), [280](#),  
[281](#), [426](#), [426](#), [505](#), [571](#), [571](#), [574](#), [577](#), [578](#), [578](#), [578](#), [579](#), [596](#), [597](#), [605](#), [662](#), [666](#),  
[688](#), [713](#), [919](#), [919](#), [919](#), [920](#), [920](#), [921](#), [923](#), [923](#), [924](#), [925](#), [926](#), [932](#), [933](#), [935](#), [939](#),  
[939](#), [941](#), [955](#), [957](#), [959](#), [959](#), [959](#), [960](#), [981](#), [993](#), [995](#), [995](#), [1256](#), [1563](#), [1567](#), [1599](#),  
[1626](#), [2187](#), [2637](#), [2640](#), [2641](#), [2643](#), [2644](#), [2704](#), [3390](#); and Latin America, [1670](#).  
North American Free Trade Agreement, NAFTA  
[3430](#), [3431](#), [3458](#), [3707](#).  
North American Free Trade Association  
[2636](#).  
Northampton  
[515](#), [517](#).  
North Arabia  
[126](#), [126](#), [127](#), [127](#), [127](#).  
North Atlantic

[281](#), [1581](#).  
North Atlantic Council  
[2708](#).  
North Atlantic Free Trade Agreement, NAFTA  
[3475](#), [3520](#), [3708](#).  
North Atlantic Treaty  
[2708](#), [2709](#), [2806](#), [2828](#), [2913](#), [2928](#), [3041](#), [3043](#), [3055](#), [3393](#), [3444](#); signed, [2762](#).  
North Atlantic Treaty Organization (NATO)  
[2637](#), [2637](#), [2649](#), [2653](#), [2677](#), [2708](#), [2709](#), [2709](#), [2709](#), [2710](#), [2710](#), [2710](#), [2711](#),  
[2711](#), [2711](#), [2711](#), [2713](#), [2713](#), [2714](#), [2716](#), [2716](#), [2717](#), [2717](#), [2718](#), [2718](#), [2719](#),  
[2720](#), [2721](#), [2722](#), [2724](#), [2725](#), [2725](#), [2725](#), [2725](#), [2726](#), [2727](#), [2727](#), [2728](#), [2730](#),  
[2730](#), [2731](#), [2731](#), [2734](#), [2736](#), [2741](#), [2745](#), [2748](#), [2751](#), [2752](#), [2752](#), [2754](#), [2754](#),  
[2754](#), [2754](#), [2756](#), [2756](#), [2756](#), [2757](#), [2802](#), [2852](#), [2854](#), [2855](#), [2857](#), [2860](#), [2885](#),  
[2900](#), [2903](#), [2915](#), [2924](#), [2951](#), [2967](#), [2969](#), [2992](#), [2994](#), [3002](#), [3005](#), [3007](#), [3010](#),  
[3026](#), [3049](#), [3084](#), [3086](#), [3118](#), [3139](#), [3163](#), [3180](#), [3180](#), [3181](#), [3181](#), [3181](#), [3182](#),  
[3185](#), [3185](#), [3185](#), [3186](#), [3186](#), [3186](#), [3189](#), [3189](#), [3197](#), [3206](#), [3232](#), [3249](#), [3278](#),  
[3365](#), [3367](#), [3368](#), [3368](#), [3370](#), [3398](#), [3417](#), [3439](#), [3443](#), [3454](#), [3790](#); 50th anniversary,  
[2696](#).  
North Berar  
[327](#).  
North Borneo  
[2636](#), [4106](#), [4106](#), [4291](#).  
North Borneo Company  
[1413](#), [1413](#).  
Northbrook, 1st earl, Thomas George Baring, viceroy of India  
[1397](#).  
North Carolina  
[938](#), [940](#), [941](#), [951](#), [1585](#), [1589](#).  
Northcliffe, viscount, Alfred Charles William Harmsworth, British publisher  
[1816](#).  
North Dakota  
[1603](#), [1623](#).  
Northeast, U.S.  
[1575](#).  
Northeast Africa (Horn)  
[346](#), [360](#), [879](#), [1522](#), [2561](#), [4390](#), [4390](#), [4395](#). *See* [Horn of Africa](#).  
Northeast Passage  
[996](#), [997](#).  
Northern Alliance, Afghanistan  
[3837](#).  
Northern Expedition

2507.

Northern Ireland

1862, 1863, 1865, 1868, 1877, 1879, 1880, 2665, 2781, 2794, 2797, 2799, 2800,  
2804, 2806, 2808, 2809, 2809, 2809, 2811, 2811, 2813, 2813, 2814, 2814, 2814,  
2815, 2815, 2815, 2815, 2816, 2817, 2817; Protestants, 2780, 2781, 2781, 2781, 2781,  
2783, 2785, 2786, 2786, 2787, 2802, 2803, 2815, 2815, 2815, 2816; Catholics, 2780,  
2781, 2781, 2781, 2781, 2783, 2785, 2785, 2786, 2786, 2787, 2802, 2803, 2809,  
2815, 2815, 2815, 2816; Unionists, 2781. *See* Ireland.

Northern Ireland Assembly

2815.

Northern Ireland Education Act

1866.

Northern Kingdom

104.

Northern League, Italy

2946.

Northern Mariana Islands

4284.

Northern Pacific Panic

1614.

Northern Pacific Railroad

1595, 1601, 1614.

Northern People's Congress, Africa

4321.

Northern Qi dynasty

158.

Northern Rhodesia

*See* Rhodesia.

Northern Securities Case, U.S. Supreme Court decision

1614.

Northern Securities Company, U.S.

1614.

Northern Society, St. Petersburg

1257, 1257.

Northern Song dynasty

371, 373, 373, 373, 373, 375, 380.

Northern Star, Irish paper

701.

Northern Star, Chartist newspaper

1049.

Northern Territory, Australia

[1494](#), [1498](#), [1498](#), [2543](#), [4303](#), [4307](#), [4309](#).

Northern Wars  
[577](#), [648](#), [659](#), [752](#), [757](#), [761](#), [761](#), [762](#), [766](#), [768](#), [769](#), [769](#), [780](#), [785](#).

Northern Wei dynasty  
[158](#), [158](#), [158](#), [158](#).

Northern Zhou dynasty  
[158](#), [158](#), [159](#), [367](#).

North Foreland  
[648](#), [671](#).

North German Confederation  
[1102](#), [1233](#), [1234](#).

North German Handicraft and Industrial Class  
[1096](#).

North Germany  
[548](#), [548](#).

North Halland  
[461](#).

North Island, New Zealand  
[866](#), [1500](#), [1502](#), [1503](#), [1503](#), [1503](#), [1504](#), [4316](#).

North Korea  
[2636](#), [2637](#), [2638](#), [2650](#), [2698](#), [2719](#), [2763](#), [3279](#), [3279](#), [3394](#), [4145](#), [4192](#), [4192](#),  
[4193](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4196](#),  
[4196](#), [4196](#), [4196](#), [4197](#), [4197](#), [4198](#), [4198](#), [4198](#), [4198](#), [4199](#), [4199](#), [4200](#), [4201](#), [4205](#),  
[4205](#), [4205](#), [4205](#), [4207](#), [4214](#), [4214](#), [4215](#), [4216](#), [4217](#), [4217](#), [4217](#), [4218](#), [4218](#),  
[4218](#), [4218](#), [4218](#), [4218](#), [4218](#), [4218](#), [4219](#), [4219](#), [4220](#), [4220](#), [4221](#), [4221](#), [4222](#),  
[4222](#), [4222](#), [4299](#); and U.S., [3433](#); and Russia, [4192](#); makeup, [4212](#); and Africa, [4467](#).

north magnetic pole  
[995](#).

Northmen  
*See* [Norsemen](#).

North Orissa  
[324](#).

North Pole  
[991](#), [992](#), [997](#), [997](#), [997](#), [998](#), [998](#), [998](#), [998](#), [2656](#), [3403](#).

Northrop, J. H., inventor  
[985](#).

North Sea  
[31](#), [998](#), [1026](#), [1026](#), [1128](#), [1741](#), [1741](#), [1741](#), [1810](#), [2681](#).

North Sea convention  
[1132](#).

Northumberland

[444](#).

Northumberland, duke of, John Dudley, lord protector of England

[587](#).

Northumbria

[421](#), [421](#), [422](#), [422](#), [422](#), [422](#), [422](#), [422](#), [425](#).

North Vietnam

[2719](#), [3062](#), [3279](#), [3279](#), [3283](#), [3968](#), [4067](#), [4084](#), [4084](#), [4085](#), [4085](#), [4085](#), [4094](#), [4094](#), [4094](#), [4098](#), [4098](#), [4099](#), [4099](#), [4099](#), [4099](#), [4099](#), [4099](#), [4257](#), [4259](#), [4260](#), [4262](#), [4264](#), [4264](#), [4264](#), [4266](#), [4266](#), [4266](#), [4266](#), [4267](#), [4268](#), [4268](#), [4268](#), [4269](#), [4269](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4271](#), [4271](#), [4271](#), [4272](#), [4272](#), [4273](#), [4273](#), [4273](#), [4274](#), [4275](#), [4275](#); and U.S., [3415](#), [3424](#). *See* [Vietnam](#).

North Wei dynasty

[129](#).

Northwest Company

[1623](#), [1625](#).

Northwestern Alliance, farmers' organization

[1605](#).

Northwest Frontier Province

[3990](#), [4005](#), [4008](#).

North-West Mounted Police

[1632](#).

Northwest Ordinance

[952](#).

Northwest Passage, search for

[923](#), [932](#), [993](#), [993](#), [993](#), [995](#), [997](#).

Northwest Provinces, India

[836](#).

Northwest Rebellion, Canada

[1635](#).

Northwest Territories

[1630](#), [3458](#).

Northwest Territory, U.S.

[1565](#), [1571](#).

North Yemen

[3891](#), [3891](#), [3891](#), [3891](#), [3891](#), [3892](#), [3892](#), [3893](#), [3893](#), [3893](#), [3893](#), [3894](#), [3894](#), [3894](#), [3894](#), [3895](#), [3895](#); civil war, [3768](#).

Norway

[33](#), [279](#), [422](#), [443](#), [456](#), [461](#), [461](#), [461](#), [464](#), [464](#), [464](#), [518](#), [551](#), [551](#), [552](#), [553](#), [553](#), [554](#), [554](#), [554](#), [571](#), [627](#), [627](#), [761](#), [761](#), [762](#), [765](#), [768](#), [768](#), [768](#), [769](#), [771](#), [772](#), [772](#), [772](#), [772](#), [772](#), [772](#), [772](#), [773](#), [773](#), [773](#), [775](#), [992](#), [997](#), [997](#), [997](#), [997](#), [1030](#), [1031](#), [1032](#), [1033](#), [1075](#), [1075](#), [1075](#), [1075](#), [1075](#), [1075](#), [1076](#), [1076](#), [1076](#), [1076](#), [1076](#), [1076](#).

[1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1248](#), [1248](#), [1248](#), [1249](#), [1250](#), [1837](#), [2036](#), [2037](#), [2041](#), [2043](#), [2043](#), [2043](#), [2044](#), [2044](#), [2044](#), [2046](#), [2047](#), [2047](#), [2051](#), [2051](#), [2051](#), [2054](#), [2072](#), [2584](#), [2646](#), [2708](#), [2717](#), [2721](#), [2728](#), [2733](#), [2752](#), [3041](#), [3054](#), [3055](#), [3057](#), [3057](#), [3057](#), [3058](#), [3059](#), [3060](#), [3061](#), [3061](#), [3061](#), [3062](#), [3087](#), [3862](#), [3868](#); WWI, [1809](#); invasion by Germany, [2047](#); WWII liberation, [2047](#); WWII, [2584](#), [2584](#), [2584](#), [2584](#), [2584](#), [2584](#), [2604](#), [2605](#), [2605](#); WWII merchant tonnage, [2604](#).

Norwegians

[412](#), [426](#), [426](#).

Norwegian Society for Women's Rights

[1248](#).

Noske, Gustav, German leader

[1973](#).

No T'ae-u, Noh Tae Woo

[4209](#), [4212](#), [4212](#), [4212](#), [4213](#), [4213](#), [4214](#), [4214](#), [4214](#), [4215](#), [4215](#).

Note, Kessai, Marshall Islands leader

[4287](#).

Notium

[198](#).

Nottingham

[591](#).

Noumea

[4285](#).

Novales, Andres, Philippine leader

[1480](#).

Novara

[601](#), [607](#), [625](#), [1067](#), [1093](#).

Nova Scotia

[18](#), [28](#), [574](#), [659](#), [934](#), [939](#), [939](#), [940](#), [952](#), [1622](#), [1623](#), [1623](#), [1625](#), [1625](#), [1630](#), [1630](#), [3456](#), [3458](#), [3459](#).

Nova Scotia Steel and Coal Corporation, Scotia

[1639](#).

Novellae Constitutiones, Novels

[260](#).

November Insurrection, Poland

[1267](#), [1268](#).

November Treaties

[1234](#).

Novgorod

[426](#), [488](#), [488](#), [488](#), [489](#), [489](#), [490](#), [548](#), [558](#), [629](#), [631](#), [631](#), [2597](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 56

Novi, battle of

[1011](#).

Novo-Georgievsk, Russian fortress

[1794](#).

Novorossiisk, Novorossiysk

[2595](#), [3314](#), [3338](#).

Novosibirsk

[3076](#).

Novosiltsov, Nikolai, Russian reformer

[1256](#).

Novotný, Antonín, Czech leader

[2725](#), [3127](#), [3128](#), [3128](#), [3128](#).

Noyon

[414](#), [607](#), [1738](#), [1755](#), [1781](#), [1812](#), [1812](#).

Nripatungavarman, ruler of India

[327](#).

NSF-22 December Group, Romania

[3257](#).

Ntaryamir, Cyprien, Burundian leader

[4412](#), [4412](#).

Ntibantunganya, Sylvestre

[4412](#).

Nubia

[38](#), [43](#), [43](#), [43](#), [43](#), [43](#), [45](#), [74](#), [89](#), [90](#), [91](#), [91](#), [91](#), [92](#), [92](#), [93](#), [93](#), [93](#), [93](#), [93](#), [96](#), [97](#), [98](#),  
[319](#), [346](#), [346](#), [346](#), [346](#), [346](#), [346](#), [346](#), [346](#), [346](#), [346](#), [360](#), [360](#), [360](#), [360](#), [360](#), [360](#), [360](#),  
[361](#), [879](#).

nuclear energy

[1730](#); reactor, [1730](#); producing electricity, [1732](#); chain reaction, [1732](#).

nuclear power

[2641](#), [2641](#), [2641](#), [2642](#), [2651](#), [2652](#), [2653](#), [2655](#), [2656](#), [2664](#), [2671](#), [2674](#), [2676](#),



[2681](#), [2681](#), [2696](#), [2703](#), [2703](#), [2717](#), [2725](#), [2736](#), [2737](#), [2738](#), [2765](#), [2768](#), [2769](#), [2865](#), [3443](#), [4216](#); atomic bomb, [1730](#); U.S., [2523](#), [2631](#), [2631](#), [3390](#), [3400](#), [3400](#), [3403](#), [3405](#), [3407](#), [3407](#), [3431](#), [3435](#), [3439](#), [3441](#), [4238](#); cold war, [2637](#); test bans and non-proliferation, [2637](#), [2641](#), [2642](#), [2660](#), [2665](#), [2666](#), [2690](#), [2692](#), [3005](#), [3203](#), [3282](#), [3408](#), [3414](#), [4217](#), [4218](#); weapons testing, [2638](#); U.S.-Russia, [2676](#), [3286](#), [3286](#), [3286](#), [3288](#); India, [2694](#), [3973](#), [3987](#), [4014](#); Pakistan, [2694](#), [2697](#), [3987](#), [4014](#), [4014](#); stockpiling, [2720](#); Great Britain, [2770](#), [2771](#), [2771](#), [2772](#), [2773](#), [2775](#), [2790](#), [2792](#); missiles, [2774](#), [2792](#); France, [2852](#), [2854](#), [2854](#), [2855](#), [2861](#), [2865](#), [2867](#), [2868](#), [2870](#), [2874](#), [2874](#), [2877](#), [2883](#), [2883](#), [2883](#), [2884](#); Malta, [2968](#); Switzerland, [2971](#), [2973](#); West Germany, [2995](#), [3005](#); Germany, [3025](#), [3026](#); Austria, [3037](#); Sweden, [3065](#); Iceland, [3086](#); Greenland, [3088](#); Yugoslavia, [3170](#), [3172](#); Albania, [3203](#); Romania, [3254](#); Russia, [3262](#), [3267](#), [3268](#), [3270](#), [3272](#), [3273](#), [3275](#), [3275](#), [3275](#), [3276](#), [3277](#), [3282](#), [3371](#); Chernobyl, [3294](#), [3297](#); Kazakhstan, [3332](#); Belarus, [3332](#); Ukraine, [3332](#); Iran, [3366](#); hydrogen bomb, [3394](#), [3398](#), [3401](#); Three Mile Island, [3426](#); Korea, [3433](#), [4217](#), [4218](#), [4218](#), [4218](#), [4218](#), [4218](#), [4218](#), [4218](#), [4219](#), [4220](#), [4221](#), [4222](#); Canada, [3449](#), [3449](#), [3449](#), [3454](#); Latin America, [3471](#); Southeast Asia, [4047](#); China, [4154](#), [4157](#), [4174](#), [4177](#); Japan, [4238](#); Pacific, [4283](#), [4283](#), [4283](#); New Zealand, [4314](#), [4316](#), [4317](#), [4317](#); Africa, [4326](#).

Nueva Galicia

[903](#), [903](#), [903](#), [903](#), [909](#).

Nueva Granada

[897](#), [897](#), [897](#), [909](#), [909](#), [909](#), [911](#), [911](#), [913](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1650](#), [1672](#), [1672](#); independence of, [1672](#). *See* [Colombia](#).

Nueva Vizcaya

[904](#), [904](#).

Nuisances Removal and Disease Prevention Act, England

[1155](#).

Nujoma, Sam, Namibian leader

[4470](#), [4476](#), [4476](#).

Nullabor Plain

[1489](#).

nullification doctrine

[1565](#), [1574](#), [1576](#), [1576](#).

Numantia

[233](#).

Numa Pompilius, legendary king of Rome

[224](#).

Numerian, Roman emperor

[258](#), [260](#).

Numerianus, Marcus Aurelius Numerius

*See* [Numerian, Roman emperor](#).

Numidia  
[231](#), [232](#), [235](#), [253](#).

Nunavut  
[3463](#).

Núñez, Rafael, Latin American leader  
[1673](#).

Núñez de Balboa, Vasco  
*See* [Vasco Núñez de ~Balboa, Spanish explorer](#).

Núñez de Vela, Blasco, Spanish colonial administrator  
[899](#).

Nupe  
[1510](#).

Nur al-Din, Zangid leader  
[318](#), [318](#), [318](#), [318](#), [319](#), [319](#).

Nuremberg, Nürnberg  
[1835](#), [2982](#), [2983](#), [2987](#); Laws, [1986](#); Tribunal, [2646](#).

Nurestan  
[1356](#).

Nurhachi  
*See* [Taizu, Chinese ruler](#).

Nuri al-Sa'id, Iraqi leader  
[2400](#), [2402](#), [2406](#), [3879](#), [3879](#).

Nur Jahan, Indian empress  
[832](#).

Nurmi, Paavo, Finnish athlete  
[1708](#).

Nursi, Saidi, religious leader  
[3792](#).

nursing  
[1071](#), [1162](#).

Nuru'd-din ar-Raniri, Malay scholar  
[841](#).

Nur-ud-din Jahangir  
*See* [Jahangir, Mughal emperor](#).

Nur-u Osmaniye mosque, Istanbul  
[808](#).

Nyamwezi people  
[1528](#), [1528](#), [1539](#), [1539](#).

Nyangoma, Leonard, Hutu rebel leader  
[4414](#).

Nyarubanga period

883.

Nyasaland

1546, 1547, 1548, 1548, 2572, 2572, 2572, 2661, 4408, 4455, 4455, 4456, 4456, 4459, 4459, 4459; and Rhodesia, 2652, 2661. *See* Malawi.

Nyasaland African Congress, NAC

4456, 4456.

Nyasaland National Congress

4459.

Nye, Archibald

3446.

Nyerere, Julius, Tanzanian leader

4408, 4426, 4426, 4426, 4426, 4426, 4426, 4426.

Nyers, Reszö, Hungarian leader

3155.

Nygaardsvold, Johan, Norwegian leader

2047.

Nymphaion, treaty of

510.

Nymphenburg

660.

Nyon

1726; agreement, 1930.

Nyoro kingdom

1536.

Nystadt, treaty of

659, 762, 766, 786.

Nyström, Swedish labor leader

1248.

Nzinga, queen of the Mbundu

886.

## O

Oates, Titus, English conspirator

676.

oath of allegiance

1591.

Oath of Salisbury, England

444.

Oaths of Strassburg

411.

Oaxaca

[570](#), [911](#), [3710](#).

Obando, José Maria, Latin American leader

[1672](#).

Obando y Bravo, Miguel, Nicaraguan archbishop

[3677](#).

Obasanjo, Olusegun (Olasgun), Nigerian leader

[4326](#), [4368](#), [4368](#), [4373](#), [4457](#), [4469](#).

Oberlin College

[1575](#).

Ober-Procurator, Russia

[786](#).

Obiang Nguema Mbasogo, Teodoro, leader of Equatorial Guinea

[4338](#), [4338](#), [4338](#), [4338](#).

Obote, Milton, Ugandan leader

[4428](#), [4428](#), [4429](#), [4429](#), [4429](#), [4429](#), [4429](#), [4429](#).

Obregón, Alvaro, Mexican leader

[2290](#), [2292](#), [2292](#), [2293](#), [2293](#), [2294](#), [2296](#), [2296](#), [2296](#), [2297](#), [2297](#), [2297](#).

Obrenovich family, rulers of Serbia

[1285](#).

O'Brians of Munster

[425](#).

Obuchi Keizo, Japanese leader

[4250](#), [4251](#), [4252](#).

Ocala

[1605](#).

Ocalan, Abdullah, Kurdish leader

[3785](#), [3804](#), [3804](#).

Ocampo, David Samanez, Peruvian leader

[2260](#).

Occasional Conformity Act, England

[683](#), [685](#).

Occupational Safety and Health Administration, OSHA

[3423](#).

Occupation Statute

[2709](#), [2710](#), [2710](#).

Ocean Island

[1479](#), [4284](#).

oceanography

[1152](#).

Ochab, Edward, Polish leader

[3098](#).  
Ochoa Sánchez, Arnaldo, Cuban leader  
[3723](#).  
Ochoa Vásquez, Fabio, drug lord  
[3585](#).  
Ochrid  
[438](#), [438](#), [499](#), [1139](#).  
Ochs, Peter, Swiss rebel  
[750](#).  
O'Connell, Daniel, Irish leader  
[1051](#), [1051](#), [1051](#), [1051](#), [1051](#), [1052](#).  
O'Connor, Feargus, Irish Chartist leader  
[1049](#).  
O'Connor, Sandra Day, Supreme Court Justice  
[3427](#).  
O'Connors of Connaught  
[425](#).  
Ocosingo  
[913](#).  
Octavia, wife of Mark Antony  
[242](#), [242](#).  
Octavia, wife of Nero  
[248](#), [248](#).  
Octavian (later Augustus)  
[219](#), [241](#), [241](#), [241](#), [241](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [242](#), [243](#), [243](#).  
Octavianus, Gaius Julius Caesar, Octavian  
*See* [Augustus](#); [Octavian \(later Augustus\)](#).  
October Diploma, Austria  
[1239](#).  
Octoberist Party, Russia  
[1263](#), [2064](#).  
October Manifesto, Russia  
[1263](#), [1263](#), [1263](#), [1264](#).  
October Revolution, Russia  
[1269](#).  
Oczakov  
[789](#).  
Oda, archbishop of Canterbury  
[422](#).  
Oda family  
[857](#), [859](#).

Odaware  
[858](#).

Oddsson, Davíð, Icelandic leader  
[3086](#), [3087](#).

Odenathus, ruler of Palmyra  
[257](#), [272](#).

Ödenburg  
[1817](#), [2025](#).

Oder-Neisse line  
[2731](#), [2731](#), [2982](#), [3006](#), [3006](#), [3011](#), [3089](#), [3094](#), [3099](#).

Oder River  
[402](#), [405](#), [461](#), [486](#), [755](#), [1835](#).

Odescalchi, Benedetto  
*See* [Innocent XI, pope](#).

Odessa  
[1262](#), [1272](#), [1299](#), [1774](#), [2067](#), [2067](#), [2593](#), [2593](#), [2597](#).

Odessos, Varna  
[568](#).

Odinga, Oginga, Kenyan leader  
[4417](#), [4417](#), [4417](#), [4417](#).

Odo, Eudes  
[412](#), [413](#), [413](#).

Odoacer  
*See* [Odovacar, Herulian leader](#).

O'Donnell, Leopoldo, Spanish leader  
[1199](#), [1199](#), [1199](#).

Odovacar, Herulian leader  
[269](#), [269](#), [270](#), [403](#), [406](#), [406](#).

Odrysae  
[203](#), [203](#).

Oduber, Daniel, Costa Rican leader  
[3689](#).

O'Duffy, Eoin (Owen), Irish leader  
[1872](#), [1873](#).

Odumegwu-Ojukwu, Chukwuemeka, Nigerian leader  
[4368](#).

Odysseus  
[173](#).

Odyssey  
[173](#), [229](#).

Oedipus

173.

Oedlsting, Norway

1075.



e Hiromoto, scholar

394.



e Kenzabur , writer

4246, 4247.

Oeniadea

192.

Oersted, Hans, physicist

1038, 1039.

Offenses Against the State Act, Ireland

2809.

Office de redressement économique, Belgium

1888.

Office of Anthropology, Mexico

2294.

Office of Defense Mobilization, U.S.

3394.

Office of Economic Opportunity, U.S.

3390, 3410, 3422.

Office of Economic Stabilization, U.S.

2212.

Office of Economic Warfare, U.S.

2214.

Office of Inter-American Affairs, U.S.

2210.

Office of Management and Budget, U.S.

3420.

Office of Production Management, U.S.

2210.

Office of War Information, U.S.

2608.

Office of War Mobilization, U.S.

2212.

Official Languages Act, Canada

3454.

Official Translation Office, China

847.

Ogaden

2564, 4396, 4397, 4400, 4400.



gai, Mori, writer

[1471](#).

Ogata Taketora, Japanese leader

[4229](#).

Ogere, Nigeria

[2558](#).

Oghuz Turks

[301](#), [309](#).

Ogi, Adolf, Swiss leader

[2977](#).



Ogi ski, Michal, Polish engineer

[781](#).

Oglethorpe, James, English colonizer

[938](#).

Ögödei, Mongol leader

[374](#), [374](#), [375](#).

Ogoni

[4371](#), [4373](#).

Ogowe

[1509](#).

Ohain, Hans von, airplane engineer

[1736](#).

Ohanian, Avans, film director

[2341](#).

O'Higgins, Bernardo, Latin American leader

[1648](#), [1648](#), [1648](#), [1648](#), [1662](#).

O'Higgins, Kevin, Irish leader

[1864](#), [1870](#).

Ohio

[1567](#), [1623](#), [2188](#), [3401](#).

Ohio Company

[939](#).

Ohio River

[53](#), [939](#), [939](#), [939](#), [940](#), [940](#), [944](#), [1581](#).



hira Masayoshi, Japanese leader

[4234](#).

Ohm, Georg S., physicist

[1039](#).

oil

[981](#); companies, [1700](#); pipeline, [1737](#); globalization, [3774](#).



oil fields

[2668](#), [2670](#), [2681](#); Romania, [1312](#), [2590](#); Iran, [1351](#), [1353](#), [3433](#); Arabia, [1364](#), [2413](#); Iraq, [2402](#), [2402](#), [2402](#), [2405](#), [3842](#), [3883](#), [3884](#), [3884](#), [3900](#); Bahrain, [2413](#); Saudi Arabia, [2416](#), [2416](#), [3889](#); Russia, [2595](#), [3098](#); Mexico, [2603](#), [3703](#); Caucasus, [2627](#); Norway, [3058](#); Poland, [3095](#); Azerbaijan, [3314](#), [3314](#); Kazakhstan, [3337](#), [3338](#); Latvia, [3349](#); U.S., [3417](#), [3425](#); Peru, [3553](#); Ecuador, [3568](#), [3569](#), [3571](#), [3571](#); Colombia, [3593](#); Venezuela, [3594](#), [3596](#); Middle East, [3770](#); Rumayla, [3782](#); Turkey, [3791](#); Eurasia, [3804](#); North Yemen, [3895](#); Qatar, [3896](#); Kuwait, [3896](#); Abu Dhabi, [3896](#); Dubayy, [3896](#), [3897](#); Oman, [3897](#); Sharja, [3897](#); Algeria, [3929](#); Libya, [3947](#); Seris, [4118](#); Nigeria, [4324](#), [4373](#); Chad, [4337](#); Sudan, [4404](#); Luanda, [4432](#); Angola, [4439](#), [4442](#).

Oirat

[376](#).

Oise-Aisne Canal

[1801](#).

Ojeda, Alonso de, Spanish explorer

[573](#), [895](#).

Oka

[3457](#).

Okada Keisuke, Japanese leader

[2514](#).

O'Keefe, Matthew

[1164](#), [1167](#).

O'Kelly, Seán T., Irish leader

[1881](#), [2804](#), [2805](#).

Oken, Lorenz, naturalist

[1042](#).

Okhrid

[441](#), [442](#), [1797](#).

Oki Island

[395](#).

Okinawa

[2631](#), [3418](#), [4226](#), [4236](#), [4238](#), [4239](#).

Okitsugu, Tanuma, Japanese official

[861](#).

Ok-kyun, Kim, Korean leader

[1431](#).

Oklahoma

[903](#), [905](#), [1576](#), [1593](#); settlement of, [1603](#).

Oklahoma City

[3433](#).

Olaf I Trygvesson, king of Norway  
[464](#).

Olaf II, St. Olaf  
[463](#), [464](#).

Olaf V, king of Denmark and Norway  
[551](#), [551](#), [553](#), [553](#), [3057](#), [3057](#), [3058](#), [3060](#).

Old Age Pension Act, England  
[1163](#).

old age pension law(s)  
[1867](#); Belgium, [1886](#).

Old Believers, Russian schismatics  
[783](#), [784](#), [785](#).

Oldcastle, John (Lord Cobham)  
[514](#).

Old Chosroes  
[160](#), [160](#), [160](#).

Old Delhi  
[3980](#).

Oldenburg  
[1072](#).

Oldenburg dynasty  
[1077](#).

Old Hittite Kingdom  
[113](#).

Old Kingdom, Egypt  
[66](#), [91](#), [91](#), [91](#), [95](#).

Old Northwest, U.S. territory  
[950](#), [1567](#).

Oldowan stone technology  
[19](#).

Old Pretender  
[See James Edward \(the Old Pretender\), son of James II.](#)

Old Stone Age  
[14](#), [138](#).

Old Testament  
[419](#), [469](#).

Olduvai Gorge  
[4](#), [7](#), [9](#), [19](#), [19](#), [19](#), [19](#), [19](#), [19](#), [19](#), [4409](#).

Old World  
[2](#), [14](#), [15](#), [19](#), [20](#), [20](#), [22](#), [23](#), [23](#), [24](#), [24](#), [25](#), [28](#), [29](#), [35](#), [36](#), [40](#), [40](#), [41](#), [52](#), [61](#), [869](#).

Olechowski, Andrzej, Polish leader

[3115](#).  
Oleg, Russian prince  
[436](#), [488](#).  
Oleksy, Jozef, Polish leader  
[3117](#), [3118](#).  
Olga, queen and regent of Greece  
[2144](#).  
Olga, Russian princess  
[437](#), [488](#), [488](#).  
Olid, Cristóbal de, Spanish conquistador  
[902](#), [902](#).  
Olinda  
[915](#), [916](#).  
Oliva, treaty of  
[648](#), [761](#), [776](#).  
Olivares, count-duke, Gaspar de Guzman, favorite of Philip IV  
[603](#), [604](#).  
Oliver, James, developer of chilled plow  
[987](#).  
Olivier, Borg, Maltese leader  
[2967](#).  
Oljeitu, Ilkhanid leader  
[305](#), [306](#).  
Ollivier, Émile, French leader  
[1185](#).  
Olmecs  
[54](#), [54](#), [54](#), [61](#), [63](#).  
Olmütz  
[663](#).  
Olmütz Proclamation  
[1230](#).  
Oloibiri, Nigeria  
[4324](#).  
Olöt Jungars  
[852](#), [852](#).  
Olsen-Chubbock, Colorado  
[12](#).  
Olszewski, Andrzej, Polish leader  
[3115](#).  
Olszewski, Jan, Polish leader  
[3114](#).

Olybrius, Roman emperor in the west

[269](#).

Olympia

[186](#).

Olympian Games

[176](#).

Olympias, wife of Philip II of Macedonia

[205](#), [209](#).

Olympic Games

[1706](#), [1708](#); of classical Greece, [959](#); modern, [959](#), [1279](#); London, [1706](#), [2648](#), [2761](#); VII Summer, [1883](#); Tokyo, [2661](#); Mexico, [2665](#), [3702](#); Munich, [2669](#), [3859](#); Montreal, [2673](#); Moscow, [2677](#), [3290](#); Los Angeles, [2680](#); Barcelona, [2688](#), [2907](#), [4316](#); U.S., [3292](#), [3436](#); China, [4171](#); Australia, [4171](#), [4301](#), [4313](#); Korea, [4212](#), [4213](#), [4279](#); Japan, [4235](#), [4250](#), [4279](#).

Olympic Peninsula

[33](#).

Olympio, Sylvanus, Togolese leader

[4386](#), [4386](#).

Olynthiac Orations

[204](#).

Olynthus

[200](#), [200](#), [203](#), [204](#), [204](#), [204](#).

Omagh

[2815](#).

Omagua

[916](#).

Omaha

[1605](#).

Oman

[126](#), [288](#), [817](#), [820](#), [820](#), [820](#), [821](#), [880](#), [882](#), [882](#), [882](#), [1358](#), [1360](#), [1360](#), [1361](#), [1361](#), [1361](#), [1364](#), [2408](#), [2409](#), [2413](#), [3338](#), [3776](#), [3889](#), [3896](#), [3896](#), [3897](#), [3897](#), [3897](#), [3897](#), [3899](#); and Africa, [1528](#), [1528](#), [1528](#), [1528](#), [1528](#), [1529](#).

Omanis

[343](#).

Omar Bongo University, Gabon

[4341](#).

Bashir, Omar Hassan al-, Sudanese leader

[4392](#), [4405](#), [4406](#), [4407](#).

Omar Pasha, Michael Lattas

[1296](#), [1296](#).

Omdurman, battle of

[1123](#), [1526](#).

Omladina

See [United Serbia Youth](#).

Omortag

[440](#).

Omri, king of Israel

[104](#), [104](#), [109](#).

Omsk, Siberia

[2067](#).



mura, lord of Nagasaki

[857](#), [857](#).

Omurtag, Bulgarian ruler

[440](#).

On

See [Heliopolis](#).

Ona

[570](#).

Oñate, Juan de, Spanish conquistador

[904](#).

Oncenio, Peruvian administration

[2259](#).

Oneida Indians

[935](#), [946](#), [1563](#).

O'Neill, Hugh, earl of Tyrone

[589](#), [590](#).

O'Neill, Terence, Irish leader

[2781](#), [2809](#).

O'Neils of Ulster

[425](#).

One Israel

[3868](#).

Onganía, Juan Carlos, Argentine leader

[3487](#), [3487](#), [3489](#).

Ong Teng Cheong, Singaporean leader

[4117](#).



in War, Japan

[396](#).

Onitsha, Nigeria

[4323](#).

Ónod

[758](#).

Onomarchus, Phocian leader  
[203](#), [203](#), [204](#).

Onondaga Indians  
[935](#).

Ono no Imoko, Japanese diplomat  
[383](#).

Ontario  
[1622](#), [1623](#), [1630](#), [1630](#), [1632](#), [1634](#), [2232](#), [2687](#).

Ontario Hockey Association  
[1635](#).

Ontario Hydroelectric Commissionaries  
[1639](#).

Ontong Java  
[865](#).

Öosterchelledam  
[2832](#).

Oost Indische Compagnie  
*See* [Dutch East India Company](#).

Opechanough, American Indian leader  
[925](#).

Open Door policy  
[970](#), [971](#), [1129](#), [1424](#), [1465](#), [1610](#), [1610](#), [1710](#).

open-hearth process  
[956](#); of steelmaking, [984](#).

Open Housing Law  
[3415](#).

Operation Blast Furnace  
[3547](#).

Operation Crossroads, U.S.  
[4283](#).

Operation Desert Storm  
[2879](#).

Opitz, Martin, German writer  
[624](#).

opium  
[1395](#), [1415](#), [1415](#), [1416](#), [1416](#), [1416](#), [1417](#), [1418](#), [1424](#), [1439](#); conference on, [1714](#).

Opium War  
[953](#), [961](#), [1415](#), [1416](#), [1438](#), [1473](#).

Opoku Ware, Asante ruler  
[876](#).

Oporto, Portugal

[918](#), [1064](#), [1937](#).  
Oppa River  
[660](#).  
Oppenheim  
[622](#).  
Oppenheimer, J. Robert, scientist  
[3397](#), [3398](#).  
Oppert, Ernst, German adventurer  
[1430](#).  
Opuntian Locris  
[192](#).  
oral traditions  
[2](#).  
Oran, Algeria  
[601](#), [601](#), [826](#), [828](#), [828](#), [1381](#), [1381](#), [1381](#), [1382](#), [1382](#), [1382](#), [1383](#), [1383](#), [1386](#),  
[2605](#), [2614](#).  
Orange, Dutch royal house  
[595](#), [652](#), [659](#), [703](#), [704](#).  
Orange, of  
[1033](#).  
Orange Free State  
[1552](#), [1553](#), [1553](#), [1559](#), [2574](#).  
Orange Guard, Bulgaria  
[2160](#).  
Orange Naussau  
[705](#).  
Orange River, South Africa  
[890](#), [1552](#), [1553](#), [1768](#).  
Orange River Sovereignty  
[1552](#).  
Orang Kaya, council of nobles in Malaya  
[837](#), [837](#), [837](#), [837](#).  
Orang Laut  
[837](#), [837](#), [837](#), [837](#), [837](#), [837](#).  
Orang Suku Bentan  
[837](#).  
Orang Suku Bulang  
[837](#).





## Subject Index

### Page 57

- Oranyon, of Benin  
[359](#).
- Orban, Viktor, Hungarian leader  
[3162](#).
- Orbegoso, Luis José de, Latin American leader  
[1668](#), [1670](#), [1670](#).
- Orchomenos  
[171](#), [171](#), [182](#), [203](#).
- Orchomenos ware  
*See* [Minyan Ware](#).
- Ordaz, Diego de, Spanish explorer  
[897](#).
- ORDEN, El Salvador  
[3664](#), [3664](#), [3665](#), [3665](#), [3666](#).
- Order No. 1, issued by Petrograd Soviet  
[2064](#).
- Order of Alcántara  
[476](#).
- Order of Calatrava  
[476](#).
- Order of Santiago  
[476](#).
- Order of St. Michael  
[507](#).
- Order of the Garter  
[507](#).
- Order of the Golden Fleece  
[507](#).
- Order of the Star  
[507](#).

Order Service, Orde Dienst  
[1898](#).

Orders of Transportation, England  
[694](#).

Ordono III, king of León  
[419](#).

Ordos  
[28](#), [154](#).

Oreamuno, Próspero Fernández, Latin American leader  
[1685](#).

Oregon  
[903](#), [954](#), [1607](#), [1612](#), [1616](#); region, [1568](#), [1574](#), [1577](#), [1578](#), [1628](#).

Oregon Treaty, U.S. and Britain  
[1578](#), [1628](#).

O'Reilly, Philip, Irish rebel  
[694](#).

Orel  
[2593](#), [2596](#).

Orellana, José, Guatemalan leader  
[2278](#), [2278](#), [2278](#).

Orenburg  
[2067](#).

Oresme, Nicole, scientist  
[524](#).

Orestes, troop master  
[269](#), [269](#).

Organic Act, U.S.  
[2312](#).

Organic Articles, France  
[1014](#), [1014](#).

organic compounds  
[1152](#), [1152](#).

organic statute, Poland  
[1268](#).

Organic Statute, Ottoman Empire  
[1336](#).

Organic Statute, Romania  
[1311](#).

Organic Work, Poland  
[1268](#).

Organisation de l'armée secrète, OAS

[2853](#), [2853](#), [3928](#).  
Organización de Estados Centro Americanos, ODECA  
[3470](#).  
Organization for Economic Cooperation and Development, OECD  
[2721](#), [2836](#), [3086](#).  
Organization for European Economic Cooperation, OEEC  
[2700](#), [2707](#), [2721](#).  
Organization for International Economic Cooperation, OIEC  
[2749](#).  
Organization for Latin American Solidarity  
[3471](#).  
Organization for Security and Cooperation in Europe, OSCE  
[3344](#), [3804](#).  
Organization for the Liberation of the Occupied South, South Yemen  
[3891](#).  
Organization of African Unity, OAU  
[2644](#), [2675](#), [2679](#), [2680](#), [2696](#), [2914](#), [2915](#), [3924](#), [4320](#), [4394](#), [4398](#), [4411](#), [4416](#),  
[4416](#), [4416](#), [4453](#), [4475](#).  
Organization of American States, OAS  
[1699](#), [2694](#), [2694](#), [3466](#), [3466](#), [3469](#), [3470](#), [3471](#), [3471](#), [3473](#), [3474](#), [3474](#), [3474](#),  
[3474](#), [3477](#), [3477](#), [3525](#), [3538](#), [3566](#), [3572](#), [3599](#), [3636](#), [3639](#), [3645](#), [3664](#), [3677](#),  
[3686](#), [3688](#), [3694](#), [3719](#), [3721](#), [3735](#), [3735](#), [3737](#), [3739](#), [3739](#), [3739](#), [3740](#), [3746](#).  
Organization of Arab Petroleum Exporting Countries, OAPEC  
[3772](#), [3774](#).  
Organization of Petroleum Exporting Countries, OPEC  
[2640](#), [2668](#), [2671](#), [2673](#), [2679](#), [2681](#), [2741](#), [2757](#), [3568](#), [3601](#), [3606](#), [3606](#), [3771](#),  
[3772](#), [3775](#), [3782](#), [3890](#), [3947](#).  
Organized Crime Control Act  
[3421](#).  
Orhan, Ottoman leader  
[309](#), [309](#), [309](#), [309](#), [309](#), [310](#).  
Oribe, Manuel, Latin American leader  
[1667](#), [1667](#), [1667](#).  
Oriel  
[425](#).  
Oriental Development Company  
[2488](#).  
Orientalists  
[1394](#), [1394](#).  
Oriente  
[3714](#), [3714](#), [3714](#).

Orient Express  
[1346](#), [2704](#).

Origen, early Christian author  
[259](#).

Origin of Species, by Charles Darwin  
[1143](#), [1151](#), [1158](#).

Orinoco River  
[572](#), [897](#), [897](#), [910](#), [1650](#), [1675](#).

Orissa  
[129](#), [129](#), [327](#), [327](#), [333](#), [333](#), [835](#), [836](#).

Orkhon River  
[368](#).

Orkney Islands  
[426](#), [464](#), [518](#).

Orlando, Vittorio, Italian leader  
[1784](#), [1784](#), [1941](#), [1941](#).

Orléanists, France  
[1081](#), [1082](#), [1083](#), [1177](#), [1181](#), [1189](#), [1189](#), [1191](#).

Orléans, Orleans  
[402](#), [407](#), [407](#); battle of, [515](#); siege of, [522](#), [522](#).

Orléans, duke of  
[723](#).

Orléans, French royal house  
[449](#), [522](#), [522](#), [523](#), [597](#), [653](#), [1003](#).

Orleans, Island of  
[940](#).

Orléans, Philippe Égalité, duke of  
[1006](#).

Orlich Bolmarcich, Francisco José, Costa Rican leader  
[3689](#).

Orlov, Russian family  
[788](#).

Orlov, Yury, physicist  
[3301](#).

Orm, English monk  
[446](#).

Ormantayev, Kamal, Kazakh leader  
[3333](#).

Ormonde, 1st duke of, James Butler, Irish leader  
[693](#).

Ormos, Mária

[3155](#).  
Ormuz  
[474](#).  
Orne River  
[2619](#).  
Orodes II, king of Parthia  
[216](#).  
Orontes I, satrap of Armenia  
[119](#).  
Orontes II, satrap of Armenia  
[119](#).  
Orontes River  
[86](#), [93](#), [100](#), [102](#), [107](#), [113](#).  
Orosius, Paulus, Spanish priest  
[422](#).  
Orozco, José Clemente, artist  
[2241](#).  
Orsini, Clarice, wife of Lorenzo de' Medici  
[535](#).  
Orsini, Felice, attempted assassination of Napoleon III  
[1157](#), [1180](#), [1211](#).  
Orsini, Pietro Francesco  
*See* [Benedict XIII, antipope](#).  
Orsini family  
[536](#), [609](#).  
Ørsted, Anders, Danish leader  
[1251](#).  
Ortega Saavedra, Daniel, Nicaraguan leader  
[3678](#), [3680](#), [3681](#), [3681](#), [3682](#), [3683](#), [3684](#).  
Ortega y Gasset, José, writer  
[1921](#).  
Orthodox Christianity  
[279](#), [279](#), [808](#).  
Orthodox Church  
*See* [Eastern Orthodox Church](#).  
Ortiz, Roberto M., Argentine leader  
[2243](#), [2243](#).  
Ortiz Rubio, Pascual, Mexican leader  
[2298](#), [2298](#).  
Orvieto  
[607](#).

Orwell, George, writer

[1816](#), [1839](#), [2649](#).



saka

[167](#), [396](#), [857](#), [1437](#), [1439](#), [1442](#), [1445](#), [1447](#), [1449](#), [2667](#).



saka Bay

[163](#).



saka Castle

[858](#), [859](#).



saka Exposition

[4239](#).

Osborne, Ruth, suspected witch

[687](#).

Osborne Pact, between France and Great Britain

[1312](#).

Oscan

[222](#).

Oscar I, king of Sweden and Norway

[1075](#), [1076](#), [1076](#), [1247](#).

Oscar II, king of Sweden and Norway

[1247](#), [1247](#), [1247](#).

Oско-Umbrian

[222](#), [222](#).

Osei Bonsu, Asante leader

[1514](#).

Oshawa, Ontario

[2232](#).

O'Shea, Katherine, Irish activist

[1170](#), [1170](#).

O'Shea, Thomas, curate

[1164](#), [1167](#).

O'Shea, William Henry, husband of Katherine O'Shea

[1170](#).

Osirak nuclear reactor

[3884](#).


Osiris

[90](#).

Oslo (Christiania)

[627](#), [772](#), [773](#), [1896](#), [2584](#), [2693](#), [3057](#), [3868](#); agreements, [1896](#); convention, [2036](#), [2036](#).

Osman I, Ottoman leader

[309](#), [309](#), [309](#), [309](#).  
Osman II, Ottoman sultan  
[800](#), [800](#).  
Osman III, Ottoman sultan  
[808](#).  
Osman Pasvano lu, opponent of the Ottoman Empire  
[810](#).  
Osmena, Sergio, Philippine leader  
[1486](#), [2534](#), [2534](#), [2535](#), [2535](#), [2536](#), [4289](#).  
Osnabrück  
[622](#), [624](#).  
Osobka-Morawski, Eduard, Polish leader  
[3089](#).  
Osorio, Oscar, Salvadoran leader  
[3662](#).  
Osorkon II, king of Egypt  
[94](#).  
Osorkon IV, king of Egypt  
[95](#), [105](#).  
Ospina, Pedro Nel, Colombian leader  
[2267](#).  
Ospina Pérez, Mariano, Colombian leader  
[3575](#).  
Os-Rox mission  
[2534](#).  
Ossawatomie  
[1617](#).  
Ossola  
[625](#).  
Ostend  
[658](#), [1738](#), [1789](#), [1811](#), [1813](#), [2585](#), [2587](#).  
Ostend East India Company  
[686](#).  
Ostende Trade Company, Austria  
[758](#).  
Ostend Manifesto  
[1583](#).  
Ostmark  
[411](#).  
ostracism  
[189](#).

Ostrogoths

[257](#), [266](#), [270](#), [402](#), [402](#), [403](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [406](#), [407](#), [408](#), [427](#).

Ostrolenka, battle of

[1268](#).

O'Sullivan, John, publisher

[1577](#).

Oswald, king of Northumbria

[421](#).

Oswald, Lee Harvey, alleged assassin

[3410](#).

Oswego

[935](#).

Otago

[1502](#), [1502](#).

Otawi, battle of

[1768](#).

Otho, Marcus Salvius Otho

[248](#), [251](#), [251](#), [251](#).

Otis, Elisha G., inventor

[984](#).

Otis, James, American leader

[941](#).

tomo Srin

See [Yoshishige, lord of Ky!\[\]\(98e0dd3c5f32ab687ab08e39ab3c4a93\_img.jpg\)sh!\[\]\(ccc816e88e597094be1e75fdd33fad7d\_img.jpg\)](#).

Otranto

[314](#), [500](#), [532](#).

Ottar, Othere

[992](#).

Ottawa

[921](#), [1625](#), [1641](#), [2218](#), [2225](#), [2226](#), [2228](#), [2229](#), [2678](#), [2710](#), [3447](#), [3452](#), [3454](#), [3456](#), [3459](#), [3461](#); colonial conference, [1636](#); Imperial Economic Conference at, [1848](#).

Ottawa Indians

[940](#).

Ottawa River

[921](#), [1623](#), [1625](#).

Otto I, the Great

[276](#), [416](#), [416](#), [416](#), [416](#), [416](#), [416](#), [416](#), [416](#), [416](#), [416](#), [437](#), [465](#), [465](#), [465](#), [465](#), [465](#), [469](#), [491](#).

Otto I, king of Greece

[1278](#), [1278](#), [1278](#), [1278](#).

Otto II, Holy Roman emperor



[414](#), [416](#), [416](#), [416](#), [417](#), [465](#), [465](#).  
Otto III, Holy Roman emperor  
[414](#), [414](#), [417](#), [417](#), [417](#), [417](#), [437](#), [466](#), [466](#), [466](#), [485](#), [486](#).  
Otto IV, Brunswick  
[445](#), [450](#), [457](#), [457](#), [469](#).  
Otto, Nicholas August, builder of first practical gas engine  
[981](#).  
Ottoboni, Pietro  
*See* [Alexander VIII](#), pope.  
Otto cycle, for internal combustion engines  
[981](#).  
Ottokar I, king of Bohemia  
[459](#), [460](#), [484](#).  
Ottokar II, the Great  
[484](#), [484](#), [485](#), [485](#), [485](#), [485](#), [493](#), [493](#), [540](#).  
Ottoman-British relations  
[1363](#).  
Ottoman-Egyptian relations  
[1274](#).  
Ottoman Empire  
[281](#), [281](#), [282](#), [293](#), [294](#), [299](#), [305](#), [305](#), [305](#), [305](#), [306](#), [306](#), [306](#), [306](#), [307](#), [307](#), [307](#),  
[308](#), [308](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [309](#), [310](#),  
[310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [310](#), [311](#), [311](#), [311](#), [311](#), [311](#), [312](#),  
[312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [312](#), [313](#), [313](#), [313](#), [313](#), [313](#), [313](#), [313](#), [313](#), [313](#),  
[313](#), [313](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [314](#), [315](#), [315](#), [315](#), [315](#), [315](#), [315](#), [315](#), [315](#),  
[316](#), [320](#), [320](#), [320](#), [322](#), [323](#), [333](#), [508](#), [532](#), [532](#), [538](#), [539](#), [541](#), [542](#), [542](#), [555](#), [560](#),  
[561](#), [561](#), [562](#), [563](#), [563](#), [563](#), [563](#), [564](#), [565](#), [565](#), [566](#), [567](#), [567](#), [567](#), [567](#), [567](#), [567](#), [567](#), [567](#), [567](#),  
[568](#), [568](#), [568](#), [568](#), [568](#), [568](#), [575](#), [575](#), [578](#), [578](#), [579](#), [580](#), [584](#), [584](#), [584](#), [601](#), [602](#),  
[603](#), [607](#), [609](#), [609](#), [611](#), [611](#), [612](#), [613](#), [613](#), [614](#), [615](#), [615](#), [616](#), [616](#), [631](#), [632](#), [632](#),  
[634](#), [635](#), [635](#), [635](#), [636](#), [659](#), [735](#), [736](#), [736](#), [740](#), [745](#), [745](#), [752](#), [753](#), [753](#), [757](#), [757](#),  
[757](#), [757](#), [758](#), [777](#), [777](#), [779](#), [779](#), [780](#), [782](#), [783](#), [784](#), [784](#), [785](#), [785](#), [787](#), [789](#), [789](#),  
[789](#), [789](#), [789](#), [789](#), [791](#), [791](#), [791](#), [791](#), [791](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#), [792](#),  
[793](#), [793](#), [793](#), [793](#), [793](#), [793](#), [794](#), [794](#), [794](#), [794](#), [794](#), [794](#), [794](#), [794](#), [795](#), [795](#), [795](#), [795](#),  
[795](#), [795](#), [795](#), [796](#), [796](#), [796](#), [796](#), [796](#), [797](#), [797](#), [797](#), [797](#), [798](#), [798](#), [799](#), [799](#), [799](#), [799](#), [799](#),  
[799](#), [799](#), [799](#), [799](#), [799](#), [800](#), [800](#), [800](#), [800](#), [800](#), [800](#), [800](#), [800](#), [800](#), [800](#), [801](#), [801](#), [801](#), [801](#),  
[801](#), [801](#), [801](#), [801](#), [801](#), [802](#), [803](#), [803](#), [803](#), [803](#), [803](#), [803](#), [803](#), [803](#), [803](#), [804](#), [804](#), [804](#), [804](#), [804](#),  
[804](#), [805](#), [805](#), [805](#), [805](#), [805](#), [805](#), [805](#), [805](#), [805](#), [806](#), [806](#), [806](#), [806](#), [806](#), [806](#), [806](#), [806](#), [807](#), [807](#), [807](#),  
[808](#), [808](#), [808](#), [808](#), [808](#), [809](#), [809](#), [809](#), [809](#), [809](#), [809](#), [810](#), [810](#), [810](#), [810](#), [810](#), [810](#), [810](#), [811](#),  
[811](#), [811](#), [812](#), [813](#), [813](#), [813](#), [814](#), [816](#), [817](#), [823](#), [823](#), [826](#), [831](#), [871](#), [953](#), [954](#), [955](#),  
[955](#), [955](#), [956](#), [957](#), [957](#), [957](#), [957](#), [957](#), [961](#), [962](#), [962](#), [965](#), [965](#), [967](#), [970](#), [978](#), [979](#), [980](#),  
[980](#), [1010](#), [1011](#), [1017](#), [1024](#), [1025](#), [1029](#), [1033](#), [1045](#), [1100](#), [1104](#), [1105](#), [1105](#), [1106](#).

[1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1107](#), [1107](#), [1108](#), [1108](#), [1108](#), [1110](#), [1110](#), [1110](#), [1113](#), [1113](#), [1114](#), [1122](#), [1122](#), [1132](#), [1132](#), [1133](#), [1133](#), [1135](#), [1136](#), [1136](#), [1136](#), [1245](#), [1259](#), [1272](#), [1274](#), [1274](#), [1275](#), [1275](#), [1278](#), [1279](#), [1279](#), [1279](#), [1296](#), [1299](#), [1311](#), [1311](#), [1312](#), [1312](#), [1312](#), [1312](#), [1317](#), [1321](#), [1322](#), [1323](#), [1325](#), [1327](#), [1327](#), [1328](#), [1328](#), [1329](#), [1331](#), [1331](#), [1331](#), [1331](#), [1331](#), [1332](#), [1333](#), [1334](#), [1334](#), [1334](#), [1335](#), [1335](#), [1335](#), [1336](#), [1336](#), [1339](#), [1339](#), [1342](#), [1343](#), [1344](#), [1345](#), [1345](#), [1345](#), [1346](#), [1347](#), [1347](#), [1347](#), [1347](#), [1348](#), [1348](#), [1349](#), [1349](#), [1350](#), [1350](#), [1350](#), [1351](#), [1356](#), [1358](#), [1358](#), [1369](#), [1376](#), [1386](#), [1387](#), [1400](#), [1706](#), [1712](#), [1713](#), [1717](#), [2318](#), [2318](#), [2320](#), [2321](#), [2321](#), [2322](#), [2322](#), [2322](#), [2325](#), [2325](#), [2325](#), [2326](#), [2330](#), [2378](#), [2380](#), [2389](#), [2399](#), [2400](#), [2404](#), [2408](#), [2432](#), [2456](#), [3838](#), [3896](#); wars with Venice, [538](#), [538](#), [538](#); attacks on Hungary, [614](#), [635](#), [635](#), [792](#), [793](#), [793](#), [793](#), [794](#), [794](#), [796](#), [804](#); attack on Italy, [615](#), [615](#); under sultan Selim I, [792](#); siege of Vienna, [793](#), [804](#); treaty with France, [793](#); campaigns against Venice, [793](#), [806](#); campaigns against Iran, [794](#), [795](#), [797](#), [799](#), [807](#), [807](#); siege of Malta, [796](#); treaties with France, [796](#); and battle of Lepanto, [797](#); and the Mediterranean area, [797](#); treaties with England, [797](#), [803](#); and trade with England, [798](#); treaty with the Netherlands, [800](#); siege of Baghdad, [800](#); treaty with Iran, [801](#), [815](#); and Arabia, [803](#), [820](#), [1361](#), [1361](#), [1361](#), [1362](#), [1362](#), [1362](#), [1362](#), [1363](#), [1363](#), [1364](#), [1364](#), [1365](#), [1366](#); and war with the Holy League, [804](#); treaties with Russia, [806](#); war against Russia, [808](#), [809](#), [811](#), [1107](#), [1108](#), [1317](#); war with Great Britain, [811](#); wars with Iran, [813](#), [1328](#), [1333](#); and North Africa, [822](#), [823](#), [823](#), [826](#), [826](#), [826](#), [826](#), [826](#), [826](#), [826](#), [827](#), [827](#), [827](#), [827](#), [827](#), [828](#), [828](#), [1225](#), [1329](#), [1376](#), [1381](#), [1382](#); and Southeast Asia, [839](#), [839](#); and Africa, [879](#), [1524](#), [1524](#), [1524](#), [1524](#); and Montenegro, [1136](#), [1296](#), [1296](#); and Balkan Wars, [1136](#), [1137](#), [1137](#), [1138](#), [1138](#), [1138](#), [1138](#), [1139](#), [1348](#); and Italy, [1137](#); wars with Russia, [1256](#), [1258](#), [1260](#), [1260](#), [1276](#), [1328](#), [1329](#), [1343](#); and Balkan Peninsula, [1271](#), [1271](#), [1342](#); and Egypt, [1272](#), [1331](#), [1331](#), [1346](#), [1347](#), [1366](#), [1366](#), [1367](#), [1367](#), [1369](#), [1369](#), [1370](#), [1372](#), [1372](#), [1373](#), [1374](#); and Greece, [1272](#), [1272](#), [1328](#); wars with Greece, [1272](#), [1272](#), [1273](#), [1273](#), [1273](#), [1273](#), [1274](#), [1275](#), [1275](#), [1275](#), [1279](#), [1279](#), [1346](#); and Serbia, [1284](#), [1284](#), [1284](#), [1284](#), [1285](#), [1285](#), [1286](#), [1286](#), [1286](#), [1287](#), [1328](#), [1329](#), [1337](#); war with Serbia, [1288](#); war with Montenegro, [1296](#); and Bulgaria, [1299](#), [1299](#), [1299](#), [1299](#), [1299](#), [1299](#), [1304](#), [1304](#), [1304](#), [1307](#), [1309](#); and Russia, [1311](#), [1311](#), [1312](#), [1334](#); and Romania, [1312](#), [1312](#), [1314](#), [1316](#), [1333](#); and Albania, [1326](#), [1326](#), [1326](#), [1326](#), [1326](#); destruction of the Janissaries, [1329](#); and Kurdistan, [1331](#); and Iraq, [1331](#); and Libya, [1331](#), [1392](#), [1392](#), [1392](#), [1392](#), [1392](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#); and Hijaz, [1332](#), [1334](#); and Lebanon, [1333](#), [1333](#), [1335](#); and slave trade, [1333](#); and Crimean War, [1334](#); revolts against, [1334](#), [1334](#), [1337](#), [1340](#), [1346](#), [1346](#), [1347](#), [1348](#), [1362](#), [1364](#), [1367](#), [1381](#), [1381](#); and union of Moldavia and Wallachia, [1335](#); bankruptcy of, [1341](#), [1341](#); wars with Syria and Montenegro, [1341](#); and treaty of San Stefano, [1343](#); and Cyprus, [1344](#); and treaty of Berlin, [1344](#); and Jewish settlement in Palestine, [1346](#), [1347](#); and Young Turks, [1346](#), [1346](#), [1347](#), [1347](#), [1348](#), [1348](#); and Armenian agitation, [1346](#); and Germany, [1346](#);

war with Italy, [1348](#); and Europe, [1348](#); and Algeria, [1381](#), [1381](#); and Tunisia, [1385](#), [1387](#), [1387](#), [1387](#), [1387](#); WWI, [1740](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1749](#), [1749](#), [1749](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1751](#), [1751](#), [1752](#), [1752](#), [1752](#), [1752](#), [1753](#), [1753](#), [1753](#), [1753](#), [1753](#), [1780](#), [2318](#), [2320](#); after WWI, [2317](#); and Armenians, [2319](#); and Arabs, [2320](#); official end, [2325](#); Caliphate, [2410](#).

Ottoman Freedom Society, Young Turk group  
[1346](#).

Ottoman-German relations  
[1748](#).

Ottoman-Greek relations  
[1272](#).

Ottoman Imperial Lycée of Galatasaray, Istanbul  
[1338](#).

Ottoman Imperial University, Istanbul  
[1347](#).

Ottoman Maritime Commerce Code  
[1335](#).

Ottoman-Saudi Treaty  
[1365](#).

Ottoman Theater  
[1337](#).

Ottoman Wars  
[757](#), [777](#).

Ottonian Renaissance  
[416](#).

Otto of Bavaria, king of Hungary  
[560](#).

Otto of Brandenburg, ruler of Brandenburg  
[460](#).

Otumba, battle of  
[901](#).

Ouattara, Alassane D., Ivory Coast leader  
[4353](#), [4354](#), [4354](#), [4354](#).

Ouchy, convention  
[1887](#), [1896](#).

Ouchy, treaty of  
*See* [Lausanne](#).

Oudenarde  
[649](#), [653](#), [659](#).

Oudh  
*See* [Avadh](#).

Oudinot, Nicolas Charles, duke of Reggio  
[1029](#), [1030](#), [1093](#), [1093](#).

Oudney, Walter, explorer  
[1507](#).

Oueddei, Goukouni, Chadian leader  
[4336](#), [4336](#).

Ouedraogo, Gerard, Upper Voltan leader  
[4330](#), [4330](#).

Oujda  
[1378](#).

Oun Cheeang Sun, Cambodian leader  
[4077](#).

Ourcq, battle of  
[1789](#).

Ourique, battle of  
[480](#).

Ousmane, Mahamaue, Niger leader  
[4365](#).

Outer Mongolia  
[576](#), [1427](#), [2486](#), [2487](#), [2496](#), [2519](#), [2634](#), [4152](#), [4160](#).

Ouyang Xiu, writer  
[371](#), [373](#).

Ovambo  
[4475](#).

Ovamboland  
[4476](#).

Ovamboland People's Organization, South-West Africa  
[4470](#), [4470](#).

Ovando, Nicolás de, Spanish colonial administrator  
[895](#), [895](#).

Ovando Candia, Alfredo, Bolivian leader  
[3541](#), [3542](#).

Overseas Council, Portugal  
[918](#).

“Overseer of all the Prophets of the Gods”  
[90](#).

Overweg, Adolf, German explorer  
[1508](#).

Overysseel  
[595](#), [595](#).

Ovid, Roman poet

239.  
Oviedo, Fernandez de, Spanish historian  
604.  
Oviedo, Lino Cesar, Paraguayan leader  
3525, 3525, 3526, 3526, 3527.  
Ovimbundu people  
1541, 1543.  
Owada Masako, emperor's wife  
4246.  
Owari  
857.  
Owari family  
861.  
Owen, Robert, utopian socialist  
1035, 1035, 1046, 1047, 1048.  
Owens, Chandler, U.S. activist  
2188.  
Owens, Jesse, U.S. athlete  
1706.  
Owens, M. J., inventor of automatic bottle-making machine  
986.  
Owerri  
2559.  
Oxenstierna, Axel, Swedish chancellor  
620, 620, 622, 628, 628.  
Oxenstierna, Johan Axelsson, Swedish envoy  
624.  
Oxford  
2783.  
Oxford Movement, England  
1049.  
Oxford University  
444, 446, 446, 513, 513, 513, 514, 516, 590, 604, 1048, 1840.  
Oxley, John, English explorer  
1488.  
Oxus River  
217, 273, 289, 301, 301, 325, 817, 2334.  
Oyanguren, mercenary  
1480.  
Oyo  
875, 876, 876, 1513, 1513.

Özal, Turgut, Turkish leader  
[3798](#), [3799](#), [3800](#).

## P

Paasikivi, Juho, Finnish leader  
[2059](#), [3070](#), [3071](#), [3073](#).

Pachacútec, Inca king  
[570](#).

Pacheco, Gaspar and Melchor, Spanish explorers  
[902](#).

Pacheco y Sampayo, F. X. Assis, Portuguese envoy to China  
[852](#).

Pachomius, monastic leader  
[401](#).

Pachuca  
[911](#).

Pacific area  
[903](#), [1487](#), [1698](#), [1710](#), [2192](#), [2483](#), [2494](#), [2500](#), [2530](#), [2530](#), [2530](#), [2531](#), [2550](#), [2606](#),  
[2630](#), [2636](#), [2636](#), [2638](#), [2642](#), [2681](#), [2697](#), [2770](#), [2852](#), [3292](#), [3390](#), [3403](#), [3407](#),  
[4283](#), [4314](#), [4316](#); and U.S., [2208](#); WWII, [2522](#), [2523](#), [2609](#), [2625](#), [2627](#), [2631](#).

Pacification of Ghent  
[595](#).

Pacific Basin  
[864](#).

Pacific Coast  
[903](#), [904](#), [904](#), [906](#).

Pacific Islands  
[52](#), [52](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [958](#), [970](#), [1476](#), [2647](#), [4283](#), [4283](#), [4283](#),  
[4285](#), [4316](#), [4316](#); settlement of, [864](#), [864](#); exploration of, [865](#), [865](#), [865](#), [865](#), [865](#),  
[865](#), [865](#), [865](#), [865](#), [866](#), [866](#), [866](#), [866](#), [866](#), [866](#), [866](#), [866](#), [866](#).

Pacific Islands Commission  
[4285](#).

Pacific Islands Forum  
[4287](#).

Pacific Northwest, U.S.  
[33](#).

Pacifico, David, Moorish Jew in Greece  
[1099](#).

Pacific Ocean  
[27](#), [28](#), [30](#), [33](#), [34](#), [40](#), [52](#), [52](#), [52](#), [52](#), [61](#), [163](#), [280](#), [281](#), [573](#), [574](#), [578](#), [581](#), [631](#), [864](#),

[864](#), [864](#), [865](#), [865](#), [865](#), [865](#), [865](#), [865](#), [865](#), [865](#), [865](#), [866](#), [866](#), [867](#), [895](#), [895](#), [903](#), [906](#), [912](#), [955](#), [955](#), [956](#), [956](#), [993](#), [993](#), [1043](#), [1437](#), [1476](#), [1498](#), [1568](#), [1574](#), [1577](#), [1578](#), [1584](#), [1598](#), [1623](#), [1634](#), [2634](#).

Pacific Rim

[864](#), [4295](#).

Pacific Treaty

*See* [Four-power Pacific Treaty](#).

Pacific War

[4227](#).

pacifism

[1814](#), [1855](#); Germany, [1986](#).

Pacores, suzerain

[130](#).

Pacorus, son of Orodes II

[216](#).

Pacta Conventa, Poland

[633](#).

Pact of 1815, Switzerland

[1070](#), [1095](#).

Pact of Brundisium

[242](#).

Pact of Corfu

[2127](#).

Pact of Friendship

[2169](#).

Pact of Paris

*See* [Paris](#).

Pact of San Sebastian

[1924](#).

Pact of Union, Costa Rica

[2274](#).

Pact of Union, Uruguay

[1667](#).

Pactyas, Lydian king

[114](#).

Pacuvius, Marcus, Roman artist

[229](#).

Paderewski, Ignace Jan, Polish leader

[2113](#), [2114](#), [2114](#).

Paderno Canal

[743](#).

Padilla, David, Bolivian leader

[3543](#).

Padilla, Herberto, poet

[3721](#).

Padilla, Juan de, insurgent

[602](#).

Padlock Law, Spain

[1204](#).

Padua

[537](#), [538](#), [607](#).

Paekche

[160](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [167](#), [167](#), [377](#), [377](#), [377](#), [377](#), [377](#), [377](#), [377](#), [377](#), [383](#), [383](#), [384](#).

Paeligni

[222](#).

es, Sidonio, Portuguese dictator

[1934](#), [1934](#).

Paetus, Roman official

[248](#).

Páez, Federico, Ecuadorian leader

[2264](#), [2265](#), [2265](#).

Páez, José Antonio de, Latin American leader

[1650](#), [1651](#), [1651](#), [1675](#), [1675](#), [1675](#).

Paez, Pedro, Jesuit in Africa

[879](#).

Pagan, Boyan

[439](#).

Pagan, Burma

[341](#), [341](#), [341](#), [844](#).

Pagan Min, king of Burma

[1402](#).

Page, Earle

[2541](#), [2542](#), [2548](#), [2549](#), [2549](#).

Page, Edward, Jr., U.S. diplomat

[3238](#).

Page, Robert H., radar researcher

[1736](#).

Pago Pago

[1477](#).

Pahang

[838](#), [1411](#), [1411](#).



Pahlavas

[130](#), [130](#), [133](#).

Pahlavi

[289](#).

Pahlavi, Muhammad Riza Shah, Iranian leader

[1706](#), [2335](#), [2336](#), [2337](#), [2337](#), [2338](#), [2338](#), [2339](#), [2339](#), [2339](#), [2339](#), [2342](#), [2343](#),  
[2344](#), [2613](#), [3821](#).

Pailin

[4090](#).

Pai Marire, millennial movement

[1502](#), [1503](#).

Paine, John Knowles, composer

[1600](#).

Paine, Thomas, philosopher

[645](#), [947](#).

Painlevé, Paul, French leader

[1755](#).

Painted Porch

[208](#).

painting

[1429](#).

Paisiello, Giovanni, composer

[735](#).

Paisley, Ian, Irish leader

[2780](#), [2780](#), [2781](#), [2781](#).

Paithan

[132](#).

Paix de Monsieur

*See* [Peace of Chastenoy](#).

Paixhans, Henri J., inventor

[985](#).

Pak Chi-wn, scholar

[856](#), [856](#).

Pak Chng-hi, Park Chung Hee

[4202](#), [4202](#), [4203](#), [4203](#), [4203](#), [4203](#), [4203](#), [4203](#), [4203](#), [4203](#), [4205](#), [4205](#), [4206](#), [4206](#),  
[4208](#), [4208](#), [4209](#), [4209](#), [4209](#), [4209](#).

Pakeha

[1502](#), [1503](#), [1504](#), [1504](#).

Pak Hn-yng, Korean leader

[4196](#).

## Pakistan

[39](#), [42](#), [48](#), [154](#), [272](#), [1706](#), [2636](#), [2636](#), [2638](#), [2641](#), [2643](#), [2644](#), [2654](#), [2665](#), [2668](#), [2694](#), [2700](#), [2763](#), [2780](#), [3770](#), [3771](#), [3832](#), [3832](#), [3833](#), [3834](#), [3952](#), [3953](#), [3953](#), [3953](#), [3954](#), [3956](#), [3957](#), [3958](#), [3958](#), [3958](#), [3962](#), [3966](#), [3967](#), [3968](#), [3971](#), [3973](#), [3974](#), [3987](#), [3987](#), [3988](#), [3988](#), [3989](#), [3990](#), [3990](#), [3990](#), [3991](#), [3995](#), [3995](#), [3996](#), [3997](#), [3997](#), [3998](#), [4003](#), [4003](#), [4003](#), [4003](#), [4004](#), [4005](#), [4006](#), [4008](#), [4008](#), [4010](#), [4011](#), [4013](#), [4014](#), [4014](#), [4014](#), [4014](#), [4014](#), [4015](#), [4015](#), [4016](#), [4016](#), [4017](#), [4018](#), [4154](#), [4156](#), [4256](#); postcolonial issues, [3950](#), [3950](#), [3951](#); makeup, [3950](#), [4016](#); integration and organization, [3990](#), [3990](#); economy, [3990](#), [4016](#); Dominion, [3990](#); and U.S., [3992](#), [3999](#), [4014](#), [4014](#); Islamic Republic of Pakistan, [3993](#); and China, [3996](#), [3996](#), [3998](#); civil disobedience, [4006](#), [4008](#). *See* [East Pakistan](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 58

- Pakistan Day  
[4003.](#)
- Pakistan Democratic Movement  
[4000.](#)
- Pakistan National Alliance, PNA  
[4006.](#)
- Pakistan People's Party, PPP  
[4001,](#) [4002.](#)
- Pak Kyu-su, scholar  
[1429.](#)
- Paksas, Rolandas, Lithuanian leader  
[3357,](#) [3357.](#)
- Pak Yl, assassin  
[2492.](#)
- Pala  
[324.](#)
- Palace of Christiansborg, Copenhagen  
[769.](#)
- Palace of Justice, Vienna  
[2003.](#)
- Palace School, Aachen  
[411,](#) [411.](#)
- Palach, Jan, Czech leader  
[3133.](#)
- Palácky, Francis, Bohemian leader  
[1089.](#)
- Palaeolithic era  
[14,](#) [160,](#) [166.](#)
- Palaeologi dynasty

562.  
Palais-Bourbon, Paris  
1187.  
Palamas, Gregory, theologian  
569.  
Palang Dharma Party, Thailand  
4073.  
Palatinate  
541, 590, 617, 617, 652, 653, 653, 1102, 1979.  
Palatine Guard of Honor  
2960.  
Palatine Hill  
224.  
Palau, Belau  
1478, 1768, 2630, 4285.  
Palembang, Sumatra  
840.  
Palenque  
55, 570.  
Paleo-Indians  
12, 12, 28, 33, 33, 33, 34.  
Paleologi dynasty  
564, 564, 569, 569.  
Paleologus, Constantine, Byzantine commander  
568.  
Paleologus, Thomas, Byzantine commander  
568.  
Paleozoic Era  
1043.  
Palermo  
467, 502, 533, 584, 746, 1066, 1092, 1212, 2617.  
Palermo Stone  
90.  
Palestine  
68, 86, 88, 91, 92, 92, 93, 93, 93, 99, 100, 102, 103, 103, 103, 106, 110, 127, 250,  
275, 287, 289, 317, 317, 318, 318, 319, 451, 505, 797, 797, 807, 808, 808, 809, 970,  
1259, 1331, 1331, 1334, 1337, 1346, 1701, 1706, 1839, 1851, 1853, 2357, 2359,  
2373, 2376, 2385, 2385, 2386, 2387, 2388, 2388, 2389, 2389, 2389, 2389, 2390,  
2390, 2391, 2391, 2391, 2391, 2392, 2393, 2393, 2393, 2394, 2395, 2396, 2397,  
2397, 2432, 2537, 2551, 2638, 2638, 2643, 2644, 2647, 2648, 3806, 3854, 3854,  
3855, 3855, 3856, 3858, 3878, 3902; Jewish settlements, 1346, 1346, 1346, 1347; and



Pallavicino-Trivulzio, Giorgio, Italian leader  
[1211](#).

Pallottine Fathers, Germany  
[2568](#).

Palma, Bautillo, Guatemalan leader  
[2278](#).

Palmach  
[3769](#).

Palmares  
[915](#), [915](#), [915](#), [916](#).

Palmas Island  
[1896](#).

Palme, Olaf, Swedish leader  
[3063](#), [3064](#), [3065](#), [3065](#).

Palmero  
[459](#).

Palmerston, 3rd viscount, Henry John Temple, English leader  
[1155](#), [1157](#).

Palmyra  
[257](#), [258](#), [272](#).

Palo Alto, battle of  
[1578](#).

Paloma  
[34](#).

Palos  
[572](#).

Paluo  
[884](#).

Pamfili, Giambattista  
*See [Innocent X, pope](#)*.

Pamir  
[474](#).

Pamir Mountains  
[154](#), [155](#), [368](#).

Pampas  
[1658](#).

Pampeluna, British siege of  
[602](#).

Pamphylas  
[174](#).

Pamphylia

[213](#), [213](#), [218](#), [218](#), [218](#), [245](#).

Pamplona  
[410](#).

Pan-African Congress  
[4320](#), [4325](#).

Pan-Africanism  
[1706](#), [2554](#), [2554](#), [4325](#).

Pan-Africanist Congress, PAC  
[4477](#), [4477](#), [4481](#), [4483](#).

Panama  
[572](#), [573](#), [895](#), [895](#), [898](#), [898](#), [909](#), [909](#), [1650](#), [1672](#), [1673](#), [1674](#), [1678](#), [1678](#), [1685](#),  
[1738](#), [1738](#), [2267](#), [2275](#), [2275](#), [2275](#), [2276](#), [2276](#), [2276](#), [2277](#), [2287](#), [2598](#), [2599](#),  
[2600](#), [2641](#), [2674](#), [2697](#), [3475](#), [3637](#), [3637](#), [3638](#), [3640](#), [3642](#), [3642](#), [3642](#), [3646](#),  
[3647](#), [3673](#), [3676](#), [3753](#); Isthmus of, [865](#), [1678](#); independence of, [1674](#), [1678](#); and  
U.S., [1679](#), [2275](#), [3425](#), [3440](#), [3478](#), [3637](#), [3638](#), [3639](#), [3639](#), [3639](#), [3640](#), [3640](#), [3641](#),  
[3642](#), [3642](#), [3642](#), [3642](#), [3643](#), [3644](#), [3644](#), [3645](#), [3645](#), [3646](#), [3646](#), [3646](#); WWI,  
[2274](#); Panama Canal treaty with U.S., [2276](#); invasion by U.S., [3645](#).

Panama Canal  
[956](#), [961](#), [1195](#), [1673](#), [2192](#), [2600](#), [2697](#), [3425](#), [3440](#), [3478](#), [3644](#), [3646](#), [3646](#), [3673](#),  
[3686](#); opening of, [1621](#), [1679](#); construction of, [1679](#); treaty, [3638](#), [3639](#), [3640](#), [3641](#),  
[3642](#), [3645](#).

Panama Canal Accords  
[2674](#).

Panama Canal Company  
[1195](#), [1678](#).

Panama Canal Zone  
[1678](#), [2275](#), [2276](#), [2276](#), [2600](#), [2674](#).

Panama City  
[2276](#), [3638](#).

Panama Province  
[1651](#).

Pan-American  
[1603](#), [1718](#), [2204](#), [2238](#), [2239](#), [2240](#), [2240](#), [2240](#), [2240](#), [2240](#), [2240](#), [2240](#), [2240](#),  
[2248](#), [2598](#), [3466](#), [3575](#); high commission, [2239](#); Treaty, [2239](#).

Pan American Convention on Air Navigation  
[1698](#).

Pan-American highway  
[2600](#).

Pan-Americanism  
[1699](#).

Pan-American Union

[1603](#), [1699](#), [1717](#), [1721](#), [2240](#), [2248](#), [2599](#), [2603](#), [3466](#).  
Pan American World Airways  
[1736](#), [2696](#), [2756](#), [2834](#), [3781](#), [3785](#), [3948](#), [3949](#).  
Pan-Arab Congress  
[2391](#).  
Pan-Arab movement  
[2317](#).  
Panay incident  
[2479](#).  
Panchatantra  
[131](#).  
Panchen Lama, Tibetan leader  
[853](#), [4151](#).  
Panday, Basdeo, Trinidadian leader  
[3765](#).  
Pandects, Digest  
[260](#).  
Pandion, Indian ruler  
[133](#).  
Pando, José Manuel, Latin American leader  
[1669](#).  
Pandolf I, duke of Spoleto  
[465](#).  
Pandulph, papal legate  
[445](#).  
Pandus  
[129](#).  
Pandya  
[133](#).  
Pandya dynasty  
[326](#), [326](#), [327](#), [327](#), [328](#), [328](#), [332](#), [336](#), [337](#), [338](#).  
Pangalos, Theodore, Greek leader  
[2149](#), [2150](#), [2150](#).  
Pangeran, ruler of Jambi  
[841](#).  
Pan-German League  
[1236](#).  
Pan-German movement  
[1243](#).  
Pangkor, treaty of  
[1411](#).



Pangkor Island

[1410](#).

Panhard, René, automobile pioneer

[990](#).

Pan-Hellenic Socialist Movement, PASOK

[3225](#).

Pan-Hellenism

[186](#).

Paniagua Corazao, Valentin, Peruvian leader

[3566](#).

Panic

[1574](#); of 1837, [1576](#); of 1857, [1583](#).

Panic, Milan, Yugoslavian leader

[3178](#).

panics, financial

[683](#); Mississippi Bubble, [715](#).

Panini, Sanskrit grammarian

[129](#).

Panionium

[175](#).

Panipat, battle of

[830](#), [831](#), [835](#).

Pan-Islamism

[1342](#), [1346](#), [1357](#), [1372](#), [3774](#).

Panium

[214](#), [218](#).

Panjtar

[130](#).

Pankalia

[438](#).

Pankhurst, Emmeline, British suffragist

[1162](#), [1163](#).

P'anmunj m, Korea

[4196](#), [4198](#), [4198](#), [4198](#).

Pannonia

[243](#), [243](#), [243](#), [243](#), [245](#), [247](#), [251](#), [254](#), [255](#), [258](#), [266](#), [402](#), [406](#), [408](#), [439](#), [440](#), [440](#).

Panormus

[184](#), [228](#), [230](#).

Pansa, Roman consul

[241](#).

Pan-Slav Congresses



[1500](#).

Papak, vassal king of Parthia  
[272](#).

Papal Legations  
[1211](#).

Papal States  
[408](#), [458](#), [458](#), [458](#), [465](#), [465](#), [469](#), [530](#), [531](#), [532](#), [533](#), [540](#), [607](#), [607](#), [609](#), [609](#), [610](#),  
[729](#), [737](#), [1014](#), [1026](#), [1032](#), [1066](#), [1066](#), [1067](#), [1068](#), [1212](#), [1216](#).

Papandreou, Andreas  
[3218](#), [3218](#), [3218](#), [3225](#), [3227](#), [3228](#).

Papandreou, George, Greek leader  
[2698](#), [3215](#), [3216](#), [3217](#), [3217](#), [3217](#), [3218](#), [3218](#), [3786](#), [3805](#).

Papariga, Aleka, Greek leader  
[3228](#).

Papeete, bombardment by Germans  
[1795](#).

Papen, Franz von, German leader  
[1984](#), [1984](#), [1984](#), [1984](#), [1984](#), [1986](#).

Papendorp, battle of  
[1549](#).

paper  
[292](#).

Paphos  
[173](#).

Papineau, Louis Joseph, Canadian leader  
[1625](#), [1625](#).

Papinian, Roman jurist  
[255](#).

Papists' Disabling Act, England  
[676](#), [695](#).

Pappenheim, Gottfried, German general  
[620](#), [620](#).

Papua New Guinea  
[864](#), [864](#), [1477](#), [1479](#), [1497](#), [2530](#), [2641](#), [4283](#), [4283](#), [4284](#), [4285](#), [4287](#), [4287](#), [4296](#),  
[4302](#), [4308](#).

Papua New Guinea, University of  
[4283](#).

Papua New Guinea Act, Australia  
[4302](#).

papyrus  
[90](#).

Pará

[918](#), [3627](#).

Paracelsus, Philippus, Theophrastus von Hohenheim

[637](#), [640](#).

Paraguarí, battle of

[1666](#).

Paraguay

[907](#), [907](#), [910](#), [913](#), [913](#), [1644](#), [1645](#), [1645](#), [1646](#), [1647](#), [1660](#), [1665](#), [1667](#), [1667](#), [1669](#), [1677](#), [1717](#), [1721](#), [2248](#), [2248](#), [2248](#), [2248](#), [2255](#), [2255](#), [2694](#), [2698](#), [3467](#), [3475](#), [3475](#), [3477](#), [3477](#), [3520](#), [3522](#), [3523](#), [3523](#), [3523](#), [3525](#), [3526](#), [3549](#), [3739](#); independence of, [1645](#); WWI, [2248](#); between Wars, [2248](#), [2249](#); and U.S., [3523](#); economy, [3523](#).

Paraguay River

[900](#), [900](#), [900](#), [2248](#).

Paraíba

[914](#), [2271](#).

Parakramabahu I, Ceylonese ruler

[338](#).

Parakramabahu II, Ceylonese ruler

[338](#).

Paramara dynasty

[325](#), [328](#).

Paraná River

[570](#), [900](#), [900](#), [900](#), [915](#), [916](#), [1659](#), [1665](#).

parasites

[1153](#).

Pardo, José, Latin American leader

[1670](#), [2258](#), [2258](#).

Pardo, Manuel, Latin American leader

[1670](#).

Pardo Leal, Jaime, Colombian leader

[3584](#).

Paré, Ambroise, physician

[637](#).

Paredes, Manuel, Mexican leader

[1688](#), [1688](#).

Pare Mountains

[347](#).

Pareto, Vilfredo, sociologist

[1815](#).

Parhae

378.

Parihaka

1503.

Pari Khan Khanum, sister of Isma'il II

813.

Paris

407, 407, 412, 413, 413, 414, 443, 444, 449, 450, 450, 511, 513, 513, 515, 521, 521, 521, 521, 522, 522, 522, 522, 597, 598, 598, 599, 599, 599, 599, 657, 708, 709, 711, 713, 715, 717, 717, 750, 959, 959, 965, 989, 990, 990, 991, 1000, 1001, 1001, 1001, 1001, 1001, 1002, 1003, 1003, 1005, 1005, 1007, 1008, 1008, 1009, 1009, 1019, 1021, 1021, 1029, 1031, 1033, 1033, 1035, 1045, 1059, 1060, 1061, 1061, 1061, 1068, 1081, 1081, 1081, 1081, 1081, 1081, 1081, 1081, 1081, 1083, 1083, 1091, 1096, 1111, 1117, 1123, 1129, 1141, 1142, 1143, 1178, 1179, 1179, 1183, 1185, 1185, 1186, 1187, 1188, 1188, 1188, 1188, 1189, 1194, 1198, 1234, 1268, 1372, 1383, 1418, 1610, 1699, 1707, 1708, 1717, 1764, 1771, 1778, 1781, 1784, 1784, 1784, 1784, 1789, 1812, 1816, 1817, 1819, 1835, 1901, 1917, 1919, 1986, 2013, 2334, 2352, 2529, 2554, 2585, 2619, 2619, 2635, 2635, 2644, 2670, 2679, 2702, 2704, 2704, 2706, 2707, 2709, 2711, 2713, 2714, 2715, 2716, 2718, 2719, 2727, 2728, 2751, 2838, 2844, 2851, 2854, 2861, 2869, 2871, 2872, 2873, 2874, 2875, 2877, 2878, 2883, 2883, 2926, 2992, 3072, 3122, 3142, 3186, 3218, 3235, 3246, 3827, 3920, 3928, 3940, 4075, 4093, 4285; treaty of 1129, 451; treaty of 1259, 451; as center of medieval culture, 452; treaty of 1763, 666, 688, 724, 835, 906, 940; treaty of 1783, 842, 952; treaty of 1810, 1026; treaty of 1814, 1032, 1550, 1695; treaty of 1815, 1033; treaty of 1856, 1100, 1105, 1259, 1260, 1285, 1334, 1334, 1339; exposition of 1855, 1180; exposition of 1867, 1183; congress of 1856, 1312; conference of 1858, 1313; exhibition of 1867, 1337; Arab Congress, 1348; treaty of 1857, 1350; treaty of 1898, 1482, 1609, 1693; Kellogg-Briand Pact, 1698; WWI, 1738, 1738; conferences, 1822; peace conferences, 1839, 1941, 2538, 4272; riots, 1910; and Spain, 1932; and Poland, 2112, 2113, 2124, 2125; and U.S., 2191; Pact of, 2200; summit conference, 3274; Vietnam peace talks, 3415; Vietnam cease-fire agreement, 3424; International Conference on Cambodia, 4089; Peace Talks, 4100, 4270, 4270, 4271, 4271, 4271; Peace Accords, 4273.

Paris, J. A., inventor

990.

Paris, count of, Louis Philippe Albert d'Orléans

1081, 1189, 1190.

Paris, Matthew, historian

446, 446.

Paris, University of

450, 522, 522.

Paris Commune

[1003](#), [1004](#), [1005](#), [1007](#), [1007](#), [1188](#), [1188](#), [1188](#), [1188](#), [1188](#), [1188](#), [1192](#).

Paristrum

[442](#).

Parity Amendment, Philippines

[4290](#).

Park, Mungo, explorer

[878](#), [1507](#).

Parker, Alton B., U.S. leader

[1614](#).

Parkes, Alexander, discoverer of celluloid

[984](#).

Parkes, Henry

[1495](#), [1497](#).

Park Tae Joon, Korean leader

[4222](#).

Parlement

[452](#), [707](#), [707](#), [707](#), [707](#), [707](#), [707](#), [707](#), [708](#), [708](#), [709](#), [710](#), [712](#), [716](#), [716](#), [717](#), [1184](#), [1198](#); Breton, [717](#).

Parliament

[1093](#), [1230](#), [1839](#), [2029](#), [2317](#), [3355](#), [3382](#), [3788](#), [3946](#), [4295](#), [4407](#); Australia, [1497](#); Austria, [1090](#), [1242](#); Bulgaria, [1300](#); Canada, [1630](#); Carlisle, [446](#); China, [1427](#), [1427](#); England, [445](#), [445](#), [446](#), [446](#), [446](#), [446](#), [513](#), [513](#), [513](#), [513](#), [513](#), [514](#), [514](#), [514](#), [514](#), [514](#), [514](#), [515](#), [515](#), [515](#), [515](#), [515](#), [516](#), [578](#), [585](#), [585](#), [585](#), [585](#), [586](#), [586](#), [587](#), [587](#), [589](#), [589](#), [589](#), [589](#), [590](#), [590](#), [590](#), [590](#), [590](#), [590](#), [590](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [592](#), [592](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [593](#), [671](#), [671](#), [673](#), [673](#), [673](#), [674](#), [675](#), [676](#), [676](#), [676](#), [676](#), [678](#), [678](#), [678](#), [679](#), [680](#), [682](#), [683](#), [683](#), [685](#), [685](#), [688](#), [689](#), [693](#), [694](#), [695](#), [696](#), [700](#), [700](#), [798](#), [835](#), [934](#), [937](#), [939](#), [941](#), [941](#), [942](#), [945](#), [949](#), [1047](#), [1047](#), [1049](#), [1049](#), [1051](#), [1051](#), [1051](#), [1141](#), [1157](#), [1157](#), [1160](#), [1163](#), [1165](#), [1165](#), [1168](#), [1169](#), [1170](#), [1170](#), [1329](#), [1394](#), [1395](#), [1396](#), [1398](#), [1490](#), [1497](#), [1627](#), [1628](#), [1860](#), [2589](#); France, [1384](#), [2840](#); Frankfurt, [1096](#), [1096](#), [1096](#), [1096](#), [1096](#), [1097](#), [1097](#), [1097](#), [1098](#), [1098](#); Germany, [1234](#), [1234](#); Hungary, [1239](#), [1246](#); Ireland, [585](#), [696](#), [701](#), [1051](#), [1166](#), [1168](#), [1862](#); Italy, [1219](#), [1222](#), [1223](#), [1225](#); New Zealand, [1503](#), [1504](#); Ottoman Empire, [1342](#), [1342](#), [1343](#), [1347](#), [1348](#), [1348](#); Piedmont, [1093](#), [1093](#); Rome, [1093](#); Scotland, [517](#), [674](#); South Africa, [1558](#); Sweden, [1250](#); Switzerland, [1229](#); Victoria, [1494](#). *See* [Parlement](#).

Parliamentary system reform

[3062](#).

Parliament Bill, Great Britain

[2762](#).

Parliament House

[2543](#).

Parliament of the World's Religions

[2644](#).

Parma

[459](#), [468](#), [607](#), [607](#), [660](#), [662](#), [723](#), [723](#), [737](#), [745](#), [745](#), [745](#), [1031](#), [1066](#), [1066](#), [1068](#), [1092](#), [1211](#), [1211](#), [1212](#).

Parma, duke of

See [Alexander ~Farnese, duke of Parma and governor of the Netherlands](#).

Parmehutu, Hutu party

[4420](#), [4420](#).

Parmenides, Greek philosopher

[186](#).

Parmenio, Persian general

[205](#), [206](#).

Parnassos

[170](#).

Parnell, Charles Stewart, Irish leader

[1162](#), [1162](#), [1162](#), [1169](#), [1169](#), [1170](#), [1170](#).

Parnell, Fanny, Irish organizer

[1169](#).

Paros

[168](#), [176](#), [188](#), [611](#).

Parr, Catherine, wife of Henry VIII

[585](#).

Parry, William Edward

[995](#), [995](#), [995](#), [995](#).

Parsargadae

[120](#).

Parsis, Parsees

[327](#), [1396](#), [1398](#), [2437](#).

Parsons, Charles A., inventor

[982](#).

Parsya

[129](#).

Partheniae

[184](#).

Parthenon

[186](#), [193](#).

Parthia

[70](#), [70](#), [123](#), [130](#), [213](#), [214](#), [214](#), [215](#), [215](#), [216](#), [216](#), [216](#), [216](#), [216](#), [216](#), [216](#), [241](#), [241](#), [242](#), [243](#), [247](#), [248](#), [251](#), [253](#), [254](#), [255](#), [256](#), [271](#), [271](#), [272](#).

Parthian Wars

[253](#), [255](#).  
Parti Canadien, later Parti Patriot  
[1623](#).  
Parti congolais du travail  
[4446](#).  
Parti Dahoméen de l'Unité  
[4329](#).  
Parti de l'unité, Guinea  
[4348](#).  
Parti Démocratique de Guinée  
[4324](#).  
Parti Démocratique Gabonaise  
[4341](#).  
Partido Autonomista Nacional, PAN  
[1660](#).  
Partido de Liberación Nacional, PLN  
[3688](#).  
Partido Federal, Philippines  
[1484](#).  
Partido Nacionalista, Philippines  
[2535](#).  
Partido Obrero Socialista, Chile  
[1664](#).  
Partido Union Nacionalista, Philippines  
[1486](#).  
Parti du Peuple Algérien, PPI  
[2424](#).  
Parti Islamique, Mauritania  
[4364](#).  
Parti populaire français, Fascist party  
[1912](#).  
Parti Populaire Syrien  
[2379](#).  
Parti Québécois, PQ  
[3453](#), [3462](#).  
Parti Social Démocrate, PSD  
[4492](#).  
Parti social français, Fascist party (PSF)  
[1912](#).  
partition, India  
[3950](#).



Partition, Treaties of  
[657](#), [657](#), [720](#).

Partito Popolare  
[1941](#).

Parton, Sara, writer  
[1582](#).

Party of Communists of Kirghizstan  
[3341](#).

Party of Democratic Socialism, East Germany  
[3021](#).

Party of National Reconciliation, PCN  
[3669](#).

Party of Social Democracy, Romania  
[3260](#).

Party of the Brazilian Democratic Movement, PMDB  
[3619](#).

Party of the Institutionalized Revolution, PRI  
[3701](#).

Party of the Mexican Revolution, PRM  
[2300](#).

Parvataka  
*See* [Porus, Indian king](#).

Pasai  
[839](#).

Pascal, Blaise, French scientist  
[639](#), [639](#), [712](#).

Pascal-Trouillot, Ertha, Haitian leader  
[3749](#).

Paschal II, pope  
[455](#), [455](#), [468](#).

Paschal III, antipope  
[469](#).

Pasco  
[3559](#).

Pas-de-Calais  
[2838](#).

Pashich, Nicholas, Balkan  
[1288](#), [1293](#), [1293](#), [2128](#), [2130](#).

Pashtunistan  
[3832](#).

Pashtun tribes

[3832](#), [3832](#), [3834](#).  
Pasir Puteh  
[2455](#).  
Passarowitz, treaty of  
[745](#), [806](#), [807](#).  
Passau, Convention of  
[619](#).  
Passchendaele  
See [Ypres](#).  
Passfield White Paper, Palestine  
[2389](#).  
passion plays  
[812](#).  
passive resistance  
[1558](#).  
Passover  
[1332](#).  
Pasternak, Boris, writer  
[2068](#), [2068](#), [2656](#), [3272](#), [3280](#).  
Pasteur, Louis, chemist  
[987](#), [1143](#), [1151](#), [1151](#), [1152](#), [1152](#), [1152](#).  
pasteurization  
[987](#).  
Pasto  
[1650](#).  
Pastrana Arango, Andres, Colombian leader  
[3591](#), [3591](#), [3592](#), [3593](#), [3605](#), [3727](#).  
Pastrana Borrero, Misael (Miguel), Colombian leader  
[2757](#), [3579](#), [3591](#).  
Patagonia  
[28](#), [570](#).  
Pataliputra, Patna  
[129](#), [129](#), [129](#), [130](#).  
Patani  
[847](#).  
Patanjali  
[129](#).  
Pataria movement  
[467](#).  
Patasse, Age-Felix, leader of Central African Republic  
[4335](#), [4335](#).

Pate

[1528](#).

patents

[1596](#).

Paterson, William, British leader

[1487](#).

Pathans

[1398](#), [4008](#).

Pathet Lao

[4093](#), [4094](#), [4095](#), [4095](#), [4096](#), [4098](#), [4098](#), [4098](#), [4098](#), [4098](#), [4098](#), [4099](#).

Pathfinder, U.S. satellite probe on Mars

[3436](#).

Patiala

[332](#).

Patiños

[2255](#).

Patna

[129](#), [130](#), [324](#).

Paton, Alan, writer

[2648](#).

patriarchs, biblical

[104](#).

Patria Vieja, Latin America

[1647](#), [1648](#).

Patrick, saint

[425](#).

Patrimonium Petri

*See* [Papal States](#).

Patriotic League, Argentina

[2242](#).

Patriotic Manuel Rodríguez Front, Chile

[3516](#).

Patriotic National Movement, Fascist

[2056](#), [2056](#).

Patriotic People's Front, Hungary

[3155](#).

Patriotic Pole Coalition, Venezuela

[3604](#).

Patriotic Society, Poland

[1267](#).

Patriotic Union of Kurdistan

3881.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 59

Patriot Party, Holland

[705](#), [705](#).

Patrona Halil, Janissary rebel

[807](#).

Patronato Law, Spain

[1693](#).

Patrons of Husbandry

*See* [Grange, U.S.](#).

Päts, Konstantin, Estonian leader

[2102](#), [2102](#), [2106](#), [2107](#), [2108](#), [2108](#).

Patsatsia, Otar, Georgian leader

[3328](#).

Pattakos, Styliano, Greek leader

[3218](#), [3223](#).

Patzinaks (Pechenegs)

[440](#), [441](#), [441](#), [441](#), [488](#), [491](#), [492](#), [496](#), [498](#), [499](#), [501](#), [501](#), [501](#).

Pauker, Anna, Romanian leader

[3246](#), [3249](#).

St. Paul (Saul) of Tarsus, Christian leader

[250](#), [259](#), [401](#), [401](#).

Paul, king of Greece

[3208](#), [3211](#), [3214](#), [3216](#), [3216](#).

Paul, prince-regent of Yugoslavia

[2134](#), [2134](#).

Paul I, tsar of Russia

[783](#), [790](#), [790](#), [790](#), [1010](#).

Paul II, pope

[532](#).

Paul III, pope

[604](#), [609](#).

Paul IV, pope

[608](#), [609](#), [609](#).

Paul V, pope

[610](#).

Paul VI, pope

[2663](#), [2665](#), [2667](#), [2675](#), [2777](#), [2955](#), [2955](#), [2956](#), [2957](#), [2957](#), [2958](#), [2958](#), [2959](#),  
[2959](#), [2960](#), [2960](#), [3098](#), [3152](#), [3239](#), [3472](#), [4305](#).

Paul, Alice, U.S. reformer

[1621](#), [2187](#).

Pauli, Wolfgang, physicist

[1729](#).

Paulicians

[435](#), [441](#).

Pauline letters

[259](#).

Paulinus, Suetonius, governor of Britain

[249](#).

Paulistas, slave raiders

[916](#), [916](#), [916](#).

Paullus, Lucius Aemilius, Roman consul

[211](#), [231](#), [233](#), [233](#).

Paul the Deacon, historian

[408](#), [411](#).

Paulus, Julius, Roman jurist

[255](#).

Pausanias, king of Sparta

[189](#), [189](#), [190](#), [199](#).

Pavia

[269](#), [408](#), [408](#), [408](#), [409](#), [416](#), [465](#), [472](#), [537](#), [537](#), [537](#).

Pavia, battles of

[586](#), [602](#), [607](#), [614](#).

Pavia, Felix, Paraguayan leader

[2250](#), [2250](#).

Pavia, synod of

[469](#).

Pavia-Siena, council of

[531](#).

Pavia University

[742](#).

Pavletic, Vlatko, Croatian leader

[3192](#), [3192](#).

Pavlov, Ivan Petrovich, physiologist  
[1144](#), [1152](#).

Pavlov, Valentin, Russian leader  
[3303](#).

Pavón, battle of  
[1659](#).

Pawtucket  
[1565](#).

Pax des dames  
*See* [Cambrai](#).

pax Romana  
[246](#).

Paxton, Joseph, construction engineer  
[984](#).

Payer, Julius, Austrian explorer  
[996](#).

Payne-Aldrich Act, U.S.  
[1486](#).

Payne-Aldrich tariff, U.S.  
[1617](#).

Paz, Octavio, writer  
[3465](#).

Paz Estenssoro, Victor, Bolivian leader  
[3538](#), [3538](#), [3538](#), [3538](#), [3539](#), [3539](#), [3546](#), [3546](#), [3547](#), [3547](#).

Paz García, Policarpo, Honduran leader  
[3694](#).

Pazmany, cardinal  
[635](#).

Pazyryk burial mounds, Siberia  
[47](#).

Paz Zamora, Jaime, Bolivian leader  
[3548](#), [3548](#).

Pazzi conspiracy  
[532](#), [536](#), [537](#).

Pazzi family  
[535](#).

Pe, Egypt  
[91](#).

Peace Association  
[2461](#).

Peace Ballot

1849.  
Peace Corps  
3406, 4336.  
peace negotiations  
1769, 1769; WWII, 1699. *See* World War I.  
Peace of 562  
427.  
peace of 1126  
502.  
peace of 1176  
502.  
peace of 1295  
470.  
peace of 1381  
560.  
Peace of Apamea  
214.  
Peace of Augsburg  
615.  
Peace of Callias  
193.  
Peace of Cateau-Cambresis  
598.  
Peace of Chastenois  
599.  
Peace of Church  
712.  
Peace of Constantine  
401.  
“peace offensive”  
3264.  
Peace of God  
466; and feudalism, 449.  
Peace of Lapseki  
312.  
Peace of Naupactus  
211.  
Peace of Nicias  
196, 197.  
Peace of Nürnberg  
615.



Peace of Paris  
*See* [Paris](#).

Peace of Philocrates  
[204](#), [204](#).

Peace of Phoenice  
[211](#), [232](#).

Peace of Prague  
[621](#).

Peace of Troyes  
[588](#).

Peace of Vienna  
*See* [Vienna](#).

Peace of Westphalia  
*See* [Westphalia](#).

Peace Preservation Law, Japan  
[1454](#).

“Peach Blossom Spring”  
[158](#).

Peacock Theatre  
[1868](#).

Peake, Frederick, British commander  
[2397](#).

Pearl Harbor, Hawaii  
[2481](#), [2483](#), [2521](#), [2531](#), [2625](#), [2626](#).

Pearl Street, New York City  
[981](#).

Pearse, Patrick H., Irish rebel  
[1858](#).

Pearson, Karl, social scientist  
[1148](#).

Pearson, Lester B., Canadian leader  
[2717](#), [3446](#), [3447](#), [3449](#), [3449](#), [3451](#), [3452](#).


Pearson, Paul M., governor of Virgin Islands  
[2311](#).

Peary, Robert E., American explorer  
[997](#), [997](#).

Peasant Land Bank, Russia  
[1261](#).

Peasant Party, Bulgaria  
[2160](#), [2160](#), [2166](#).

Peasant Party, Poland

[1269](#), [2119](#), [2122](#).  
Peasants' Revolt, England  
[514](#), [514](#).  
Peasants' War, in Swabia and Franconia  
[614](#).  
Pe   
[562](#), [562](#).  
Peçanha, Nilo, Latin American leader  
[1677](#).  
Pechenegs  
*See* [Patzinaks \(Pechenegs\)](#).  
Pechenga  
[2054](#).  
Pedi people  
[1552](#), [1554](#), [1555](#).  
Pedro I, emperor of Brazil  
[1064](#), [1064](#), [1656](#), [1656](#), [1656](#), [1656](#), [1677](#), [1677](#).  
Pedro II, emperor of Brazil  
[1677](#), [1677](#), [1677](#).  
Pedro II, king of Aragon  
[479](#).  
Pedro III, king of Aragon (later Peter I of Sicily)  
[459](#), [526](#), [533](#), [533](#), [564](#).  
Pedro (Peter) IV, king of Aragon  
[525](#), [526](#), [526](#), [526](#).  
Pedro V, king of Portugal  
[1207](#).  
Pedro the Cruel, king of Castile and León  
[521](#), [525](#).  
Pedubast I, king of Egypt  
[94](#).  
Peel, Robert  
[1046](#), [1047](#), [1049](#), [1051](#).  
Peel, Thomas, settler in Australia  
[1489](#).  
Peel Commission, Palestine  
[1851](#), [2391](#), [2391](#).  
Peelites, England  
[1155](#), [1157](#).  
Pegu  
[336](#), [341](#), [342](#), [844](#), [844](#), [844](#), [844](#), [845](#), [845](#), [845](#), [845](#), [846](#), [1402](#), [1402](#), [1402](#).

Pehlvi

[131.](#)

Pehrsson, Axel, Swedish leader

[2050.](#)

Pei Ju, Chinese leader

[367.](#)

Peirce, Charles Sanders, philosopher

[1144.](#)

Peisistratids

[179](#), [180](#), [188.](#)

Peisistratus, tyrant of Athens

[180](#), [180](#), [180.](#)

Peixoto, Floriano, Latin American leader

[1677.](#)

Pejë

[1326.](#)

Pekah

[105.](#)

Pekahiah

[105.](#)

Peker, Recep, Turkish leader

[3788.](#)

Peking

*See* [Beijing.](#)

Pekkala, Mauno, Finnish leader

[3071.](#)

Pelagius, papal legate

[507.](#)

Pelambang

[841.](#)

Pelayo, ruler of Asturias

[420.](#)

Pelé, soccer player

[3617.](#)

Pelekanon, battle of

[309.](#)

Peleset

*See* [Philistia.](#)

Peli, king of Elam

[122.](#)

Peliza, Robert, Gibraltarian leader

[2923](#).  
Pella  
[197](#).  
Pella, Guiseppe  
[2932](#).  
Pellegrini, Carlos, Latin American leader  
[1660](#).  
Pelliot, Paul, French Orientalist  
[1425](#).  
Pelloux, Luigi, Italian leader  
[1222](#).  
Pelopidas, Theban general  
[200](#), [202](#).  
Peloponnesian League  
[179](#), [179](#), [187](#), [193](#), [195](#), [197](#), [201](#).  
Peloponnesian Wars  
[186](#), [186](#), [192](#), [192](#), [195](#).  
Peloponnesus  
[168](#), [170](#), [174](#), [178](#), [189](#), [190](#), [191](#), [192](#), [192](#), [192](#), [193](#), [196](#), [196](#), [196](#), [196](#), [198](#), [198](#),  
[198](#), [204](#), [204](#), [206](#), [209](#), [210](#), [210](#), [210](#), [211](#), [242](#), [403](#), [430](#), [438](#), [508](#), [508](#), [564](#), [1272](#).  
Pelops  
[211](#).  
Pemba  
[1528](#), [1528](#), [1529](#).  
Pembroke  
[425](#).  
PEMEX  
[3704](#), [3705](#), [3707](#).  
Peña Gomez, José Francisco, Dominican leader  
[3743](#), [3744](#).  
Penal Code, France  
[1182](#).  
penal codes  
[1332](#), [1368](#); Egypt, [1368](#); Japan, [1452](#).  
Peñaloza, Vicente (“El Chacho”), Latin American leader  
[1660](#).  
Penang  
[842](#), [1411](#).  
Peñaranda, Enrique, Bolivian leader  
[2257](#), [2257](#).  
Pendleton Act, U.S.

1601.  
Dehuai, Peng, Chinese leader  
2475, 4143, 4151, 4151.  
Penguin Books  
1850.  
Peng Zhen, Chinese leader  
4156, 4166.  
Peninsula and Oriental Steamship Company  
1492.  
Peninsula Campaign  
1587.  
Peninsulars  
912, 912, 1653.  
Peninsular War  
1027, 1027, 1027, 1027, 1028, 1028, 1029, 1062.  
Penjdeh  
1112.  
Penn, William, founder of Pennsylvania  
935, 935.  
Penna, Affonso, Latin American leader  
1677.  
Pennsylvania  
935, 935, 935, 939, 940, 940, 943, 944, 948, 950, 956, 981, 983, 989, 1565, 1575,  
2641, 2653, 3420, 3426; in the Civil War, 1588, 1588.  
Penobscot River  
1624.  
Peñon, fortress  
826.  
Peñon de Velez  
1376.  
Penruddock, John, English rebel  
671.  
Pensacola  
905, 907.  
Pentagon  
3414.  
Pentagon Papers  
3422.  
Pentapolis  
408, 410, 473.  
Pentateuch

[105](#).  
Pentathlus of Sparta  
[185](#).  
Pentland Firth  
[424](#).  
Pentonville system  
[1490](#).  
People's Action Party, Singapore  
[4108](#), [4117](#), [4117](#).  
People's Alliance, Sri Lanka  
[4038](#).  
People's Association  
[2488](#).  
People's Budget, England  
[1163](#).  
People's Court, Nazi Germany  
[1986](#).  
People's Democratic Front  
[3247](#).  
People's Democratic Party of Afghanistan  
[3832](#).  
People's Front, Yugoslavia  
[3167](#).  
People's Liberation Army, PLA  
[4145](#), [4151](#), [4152](#), [4156](#), [4157](#), [4157](#), [4157](#), [4158](#), [4165](#), [4167](#).  
People's Liberation Front, Ceylon  
[4032](#).  
People's Liberation Organization of Tamil Eelam, PLOTE  
[4042](#).  
People's National Congress, British Guiana  
[3758](#).  
People's National Congress, PNC  
[3767](#).  
People's National Movement, Trinidad and Tobago  
[3757](#).  
People's National Party of Jamaica, PNP  
[3762](#), [3766](#).  
People's Party, Austria  
[3028](#).  
People's Party, Egypt  
[2354](#).

People's Party, Germany  
[1975](#), [1978](#), [1999](#).

People's Party, Siam  
[2451](#).

People's Party, Syria  
[3839](#).

People's Party, Turkey  
[2325](#).

People's Party, U.S.  
[1605](#).

People's Progressive Party, PPP  
[3756](#), [3758](#), [3766](#).

People's Progressive Party, Gambia  
[4343](#).

People's Republic of China  
*See* [Chinese People's Republic \(PRC\)](#).

People's Socialist Community, Cambodia  
[4076](#).

People's Socialist Party, South Yemen  
[3891](#).

People's United Front, Ceylon  
[4026](#).

People's Unity Union, Kazakhstan  
[3334](#).

People's Volunteer Organization, Burma  
[4049](#).

Peoria  
[921](#).

Pepe, Guglielmo, Italian rebel leader  
[1066](#).

Pepin I, king of Aquitaine  
[411](#), [411](#), [411](#).

Pepin I of Landen, Frankish mayor of the palace  
[407](#), [407](#), [407](#).

Pepin II of Heristal, Frankish ruler  
[407](#), [407](#), [407](#).

Pepin III, the Short  
[407](#), [408](#), [408](#), [408](#), [410](#), [410](#), [410](#), [410](#), [410](#), [410](#), [411](#), [432](#).

pepper trade  
[840](#), [841](#), [841](#).

Pepsi-Cola

[2640](#).  
Pepy I, king of Egypt  
[91](#), [103](#).  
Pepy II, king of Egypt  
[91](#).  
Pequot Indians  
[927](#).  
Peraea  
[250](#).  
Perak  
[838](#), [838](#), [1410](#), [1411](#), [1411](#), [1411](#).  
Peralta Azurdia, Enrique, Guatemalan leader  
[3651](#).  
Peralta y Barnuevo, Pedro de, Spanish-American writer  
[912](#).  
Perdiccas, Macedonian general  
[217](#).  
Perdiccas, regent for Philip III Arrhidaeus  
[209](#).  
Perdiccas I, king of Macedon  
[182](#).  
Perdiccas II, king of Macedon  
[193](#), [197](#).  
Pereda Asbun, Juan, Bolivian leader  
[3543](#).  
Pereira, Gabriel A., Latin American leader  
[1667](#).  
Pereira de Melo, Fontes, Portuguese leader  
[1207](#).  
Pereira De Souza, Washington Luís, Brazilian leader  
[2271](#), [2271](#), [2271](#).  
Pereire, Jacob Émile and Isaac, French financiers  
[1178](#).  
Perennis, Tigidius, Roman praetorian prefect  
[254](#).  
Perequazione, tax system  
[738](#).  
Peres, Shimon, Israeli leader  
[3861](#), [3862](#), [3862](#), [3863](#), [3864](#), [3865](#).  
Perestrello, Bartholomew, father-in-law of Columbus  
[572](#).



perestroika

[3294](#), [3297](#).

Peretti, Felice

*See* [Sixtus V, pope](#).

Pereyra de Faria, Bento, Portuguese envoy to China

[852](#).

Pérez, Carlos Andres, Venezuelan leader

[3601](#), [3601](#), [3601](#), [3601](#), [3603](#), [3604](#).

Pérez, José Joaquín, Latin American leader

[1663](#), [1663](#).

Pérez Balladares, Ernesto, Panamanian leader

[3646](#), [3646](#).

Pérez de Cuéllar, Javier, U.N. leader

[2688](#), [3915](#).

Pérez Jiménez, Marcos, Venezuelan leader

[3597](#), [3597](#), [3597](#), [3598](#).

Pergamon

[431](#).

Pergamum

[211](#), [213](#), [213](#), [213](#), [213](#), [214](#), [214](#), [214](#), [214](#), [215](#), [233](#), [233](#), [233](#), [235](#), [235](#), [245](#), [246](#), [246](#).

Pergolesi, Giovanni, Italian composer

[735](#).

Periander, tyrant of Corinth

[179](#), [180](#).

Pericles, Athenian statesman

[186](#), [191](#), [192](#), [192](#), [192](#), [193](#), [193](#), [194](#), [196](#), [196](#).

Périgord

[451](#), [451](#).

Perioikoi, non-Spartan Laconians

[178](#).

Peripatetic School of philosophy, Lyceum

[186](#), [208](#).

Periplus

[132](#).

Perkin, William H., chemist

[983](#).

Perkins, Francis, U.S. leader

[2187](#), [2205](#).

Perkins, Jacob, inventor

[986](#).

Perlate, Charlemagne, Haitian leader

2316.  
Perlis  
1408, 1411, 1411, 2455.  
Perlis, ruler of Malaysia  
4108.  
Perm  
2067.  
Permanent Court of Arbitration, The Hague  
959, 970, 1698.  
Permanent Court of International Justice  
*See* World Court, Hague.  
Permanent Joint Defense Board  
3391.  
Permet  
2143.  
Pernambuco  
574, 915, 915, 916, 918, 918, 918, 1656, 1677, 2273.  
Perón, Eva Duarte de, Argentine leader  
3480, 3484.  
Perón, Juan D.  
1704, 1705, 3481, 3481, 3482, 3483, 3483, 3483, 3484, 3484, 3484, 3484, 3484, 3484,  
3484, 3485, 3487, 3490, 3490, 3490, 3491.  
Perón, María Estela (Isabelita), Argentine leader  
3491, 3492.  
Peronists  
3482, 3484, 3485, 3485, 3485, 3487, 3502; revolt, 3485.  
Peronist Women's Party  
3481.  
Péronne  
1738, 1755, 1800, 1812, 1812.  
Peroz, king of Persia  
273, 273, 273, 324.  
Perpendicular Gothic style  
513, 513.  
Perpetual Peace  
427.  
Perrault, Charles, French writer  
714.  
Perrault, Claude, architect  
643.  
Perry, Matthew C., U.S. admiral

[576](#), [954](#), [1430](#), [1438](#), [1438](#), [1438](#), [1439](#), [1440](#), [1582](#).  
Perry, Oliver Hazard, U.S. commander  
[1623](#).  
Persepolis  
[120](#), [124](#), [206](#).  
Perseus, king of Macedonia  
[211](#), [211](#), [211](#), [233](#), [233](#), [234](#).  
Pershing, John J., U.S. commander  
[1621](#), [1781](#).  
Persia  
[68](#), [70](#), [70](#), [78](#), [81](#), [88](#), [88](#), [95](#), [95](#), [95](#), [95](#), [95](#), [105](#), [109](#), [109](#), [109](#), [114](#), [115](#), [117](#), [119](#), [120](#),  
[121](#), [121](#), [122](#), [123](#), [123](#), [123](#), [124](#), [124](#), [124](#), [124](#), [127](#), [129](#), [177](#), [183](#), [187](#), [187](#), [187](#),  
[187](#), [187](#), [187](#), [188](#), [188](#), [188](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [190](#), [190](#), [190](#),  
[190](#), [192](#), [192](#), [192](#), [193](#), [193](#), [198](#), [198](#), [198](#), [198](#), [199](#), [199](#), [199](#), [199](#), [200](#), [200](#), [200](#),  
[203](#), [203](#), [205](#), [205](#), [205](#), [205](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [206](#), [207](#), [207](#), [216](#), [256](#),  
[257](#), [257](#), [257](#), [257](#), [258](#), [258](#), [261](#), [261](#), [262](#), [263](#), [264](#), [270](#), [271](#), [272](#), [272](#), [272](#), [272](#),  
[272](#), [273](#), [273](#), [273](#), [273](#), [273](#), [273](#), [274](#), [274](#), [274](#), [274](#), [274](#), [275](#), [275](#), [275](#), [275](#), [275](#),  
[275](#), [281](#), [287](#), [295](#), [296](#), [300](#), [301](#), [301](#), [301](#), [302](#), [308](#), [325](#), [331](#), [332](#), [334](#), [334](#), [334](#),  
[335](#), [347](#), [347](#), [362](#), [362](#), [362](#), [364](#), [368](#), [373](#), [375](#), [402](#), [427](#), [428](#), [428](#), [429](#), [429](#), [429](#),  
[429](#), [473](#), [474](#), [479](#), [530](#), [564](#), [575](#), [584](#), [584](#), [812](#), [812](#), [830](#), [831](#), [833](#), [847](#), [955](#), [957](#),  
[971](#), [977](#), [979](#), [1127](#), [1131](#), [1134](#), [1369](#), [1394](#), [1396](#), [1703](#); and India, [834](#); wars with  
Russia, [1256](#), [1258](#). *See* [Iran](#).  
Persian calendar  
[3818](#).  
Persian carpets  
[813](#).  
Persian Cossack Brigade  
[1351](#), [1352](#), [1352](#).  
Persian Gulf  
[82](#), [84](#), [84](#), [85](#), [120](#), [127](#), [135](#), [155](#), [207](#), [253](#), [271](#), [288](#), [317](#), [323](#), [343](#), [794](#), [795](#), [812](#),  
[814](#), [817](#), [821](#), [840](#), [970](#), [974](#), [1131](#), [1133](#), [1327](#), [1347](#), [1358](#), [1360](#), [1361](#), [1750](#), [2341](#),  
[2344](#), [2408](#), [2413](#), [2596](#), [2636](#), [2683](#), [2684](#), [3775](#), [3776](#), [3778](#), [3780](#), [3782](#), [3784](#),  
[3825](#).  
Persian Gulf War  
[2636](#), [2638](#), [2641](#), [2641](#), [2686](#), [3390](#), [3428](#), [3606](#), [3875](#), [3899](#), [3900](#), [4118](#), [4310](#).  
Persian khanate  
[374](#).  
Persian Wars  
[186](#), [187](#), [187](#), [188](#), [188](#), [189](#), [189](#), [189](#), [193](#), [427](#), [427](#), [428](#), [428](#), [428](#), [429](#), [429](#).  
Persian Zoroastrian Amelioration Fund  
[1351](#).

Persis, Fars

[272](#), [272](#).

Persius Flaccus, Aulus, Roman satirist

[246](#).

Persson, Goran, Swedish leader

[3069](#).

Perth

[670](#), [1489](#).

Pertinax, Roman emperor

[255](#).

Pertinax, Publius Helvetius

See [Pertinax, Roman emperor](#).

Pertini, Alessandro, Italian leader

[2925](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 60

#### Peru

[7](#), [8](#), [8](#), [34](#), [34](#), [40](#), [53](#), [57](#), [58](#), [63](#), [281](#), [570](#), [584](#), [602](#), [603](#), [660](#), [898](#), [898](#), [898](#), [898](#), [898](#), [899](#), [899](#), [899](#), [899](#), [899](#), [908](#), [908](#), [908](#), [909](#), [909](#), [909](#), [910](#), [911](#), [911](#), [911](#), [911](#), [911](#), [911](#), [912](#), [913](#), [913](#), [913](#), [913](#), [957](#), [961](#), [1199](#), [1644](#), [1648](#), [1648](#), [1648](#), [1649](#), [1649](#), [1649](#), [1649](#), [1650](#), [1662](#), [1663](#), [1663](#), [1664](#), [1668](#), [1668](#), [1668](#), [1668](#), [1670](#), [1671](#), [1718](#), [1738](#), [2241](#), [2246](#), [2254](#), [2258](#), [2258](#), [2259](#), [2259](#), [2259](#), [2260](#), [2261](#), [2263](#), [2264](#), [2265](#), [2266](#), [2267](#), [2268](#), [2695](#), [2698](#), [3465](#), [3467](#), [3473](#), [3477](#), [3548](#), [3552](#), [3556](#), [3560](#), [3562](#), [3562](#), [3563](#), [3564](#), [3564](#), [3565](#), [3566](#), [3566](#), [3572](#), [3579](#), [3585](#), [3722](#); independence of, [1649](#), [1649](#); WWI, [1770](#), [2258](#); between Wars, [2259](#), [2260](#); Great Depression, [2260](#), [2262](#); WWII, [2263](#); and U.S., [3552](#), [3552](#), [3552](#), [3554](#), [3559](#); and Russia, [3554](#); cocaine, [3559](#), [3559](#); and Japan, [3563](#), [3564](#), [3566](#).

#### Peru-Bolivia Confederation

[1659](#), [1662](#), [1662](#), [1668](#).

#### Perugia

[242](#), [470](#), [537](#).

#### Perugino

[532](#).

#### Perungina, ruler of India

[328](#).

#### Peru 2000 Party

[3566](#).

#### Peruvian Corporation, society of bondholders

[1670](#).

#### Peruvian Socialist Party

[2260](#).

#### Peruzzi

[534](#).

#### Pervomayskoye

[3367](#).

#### Peryslavl, treaty of

[776](#).  
Pesant, Pierre le, French economist  
[714](#).  
Pescadores Islands  
[1421](#), [1457](#), [3400](#), [4181](#), [4227](#).  
Pescara, marqués de, Fernando Francisco de Avalos, Spanish commander  
[602](#), [607](#).  
Peschiera  
[1211](#).  
Peshawar  
[130](#), [130](#), [817](#), [1354](#), [1354](#), [1354](#), [1355](#), [1355](#), [2439](#).  
Peshwa  
[1394](#).  
pessimism  
[1036](#).  
Pessôa, Epitácio, Brazilian leader  
[2270](#).  
Pessôa, João, Brazilian leader  
[2271](#).  
Pest, Hungary  
[793](#), [798](#), [1087](#), [1087](#), [1087](#), [1284](#).  
Pestalozzi, Johann Heinrich, educator  
[725](#), [749](#).  
Pestamo  
[3072](#).  
Pestel, Paul, Russian leader  
[1257](#).  
Pétain, Henri Phillipe, Vichy leader  
[1755](#), [1791](#), [1800](#), [1901](#), [1916](#), [1916](#), [1916](#), [1917](#), [1917](#), [2418](#), [2586](#), [2590](#), [2839](#).  
Petar, king of Croatia  
[494](#), [494](#).  
Petén  
[902](#).  
Peter, St., Christian leader  
[250](#), [401](#), [401](#).  
Peter, regent of Portugal  
[529](#).  
Peter, ruler of Bulgaria  
[441](#), [441](#).  
Peter I, Balkan king  
[1292](#), [1293](#), [1779](#), [2128](#).

Peter (Pedro) I, the Severe

[528](#), [528](#), [528](#).

Peter I, prince-bishop (vladika) of Montenegro

[1296](#).

Peter I, the Great

[575](#), [657](#), [657](#), [659](#), [659](#), [769](#), [783](#), [783](#), [784](#), [784](#), [784](#), [785](#), [785](#), [785](#), [785](#), [785](#), [785](#), [785](#), [785](#), [785](#), [786](#), [789](#), [790](#), [806](#), [3303](#).

Peter II, Balkan king

[2134](#), [2134](#), [3173](#).

Peter II, king of Aragon

[475](#), [479](#).

Peter II, king of Portugal

[727](#), [727](#), [727](#), [728](#), [728](#).

Peter II, prince-bishop (vladika) of Montenegro

[1296](#), [1296](#).

Peter II, tsar of Russia

[665](#), [783](#), [786](#).

Peter III, king of Portugal

[665](#), [730](#), [783](#), [788](#), [789](#).

Peter IV, king of Portugal

See [Pedro I, emperor of Brazil](#).

Peter Island

[2045](#).

Peterle, Lojze, Slovenian leader

[3176](#).

Peterloo Massacre, England

[1046](#), [1046](#).

Peter of Bracheuil, Crusader

[508](#), [508](#).

Peter of Chelchich, religious leader

[545](#).

Peter of Pisa, grammarian

[411](#).

Peters, Karl, German leader

[1530](#), [1530](#).

Petersberg agreement

[2708](#).

Petersburg, battle of

[1589](#), [1590](#).

Peter's pence

[628](#).

Peter the Hermit, religious leader  
[505](#), [505](#).

Peter Urseolo, king of Hungary  
[491](#), [491](#).

Pétion, Alexandre, Haitian leader  
[1650](#), [1696](#), [1696](#).

Petit, Alexis, scientist  
[1042](#).

Petit, Jean-Sorieus, French physician  
[716](#).

Petite Église  
[1014](#).

Petition of Right, England  
[591](#).

Petitpierre, Max, Swiss leader  
[2971](#).

Petkov, Nikola, Bulgarian leader  
[1306](#), [3235](#).

Petkovski, Tito, Macedonian leader  
[3197](#).

Petliura, Simon, Russian leader  
[1817](#), [2067](#).

Petrarch, Francesco, poet  
[400](#), [513](#), [525](#), [530](#), [533](#), [534](#).

Petre, Edward  
[676](#).

Petri, Olaus, religious reformer  
[628](#).

Petrine theory  
[401](#), [469](#).

Petrobrás, Brazil  
[3610](#).

Petrograd  
[1756](#), [1774](#), [2064](#), [2064](#), [2064](#), [2064](#), [2064](#), [2065](#), [2065](#), [2067](#), [2068](#). *See* [Leningrad](#);  
[St. Petersburg](#).

Petroleos Peruanas  
[3554](#).

Petronilla, daughter of Ramiro I  
[479](#).

Petronius, Roman author  
[246](#), [249](#).



Petronius Maximus, Roman emperor in the west

[269.](#)

Petrópolis, treaty of

[1669.](#)

Petrov, Vladimir, Russian diplomat

[4300.](#)

PETROVEN, Venezuela

[3601.](#)

Petsamo

[2582, 2635.](#)

Petsche, Maurice, French leader

[2844.](#)

Peugeot

[2640.](#)

Peugeot, Armand, automobile pioneer

[990.](#)

Peye

*See [Piankhy, king of Egypt.](#)*

Peynardo, Jacinto B., Dominican leader

[2314.](#)

Peza Conference

[2143.](#)

Pfaffendorf

*See [battle of Liegnitz.](#)*

Pfizer Inc.

[4489.](#)

Pfleumer, F., pioneer in sound recording

[990.](#)

Pflimlin, Pierre, French leader

[2850.](#)

Pfrimer, Walter, Austrian leader

[2005.](#)

Phaestus

[169.](#)

Phags-pa, Tibetan lama

[375.](#)

Phaistos

[169.](#)

Phalanges Libanaises

[2380.](#)

Phalanthus, Spartan colonist

[184](#).  
Phalaris, tyrant of Acragas  
[185](#).  
Phalo, Xhosa ruler  
[891](#).  
Pham Van Dong, Vietnamese leader  
[4271](#).  
Phanariotes, Greek family  
[806](#).  
Phan Boi Chau, Vietnamese leader  
[2524](#), [2524](#), [2524](#), [2524](#).  
Phan Chu Trinh  
[2524](#).  
Phan Huy Quat  
[4266](#), [4266](#).  
pharaoh, title  
[93](#).  
Pharisees  
[250](#).  
Pharnabazus  
[199](#).  
Pharnaces I, king of Pontus  
[214](#), [241](#).  
Pharsalia  
[246](#).  
Pharsalus  
[241](#), [500](#).  
Pheidon, king of Argos  
[178](#).  
Pherae  
[202](#), [202](#).  
Phidias, Greek sculptor  
[186](#).  
Philadelphia  
[935](#), [935](#), [936](#), [943](#), [944](#), [946](#), [948](#), [949](#), [951](#), [952](#), [959](#), [1575](#), [1576](#), [1594](#), [2209](#), [2214](#),  
[2681](#), [3409](#).  
Philadelphia, Asia Minor  
[565](#).  
Philaret, Theodore Nikitich Romanov  
[630](#).  
Philby, H. St. John, British diplomat

2396.

Philemon, Greek playwright

208.

Philetaerus, governor of Pergamum

213.

Philhellenism

1274.

Philip

*See Metacom, chief of the Wampanoags.*

Philip, archduke of Austria

601, 601.

Philip, duke of Burgundy

521, 522.

Philip, the Bold

595.

Philip, the Good

523, 524, 595.

Philip, the Handsome

595, 613.

Philip, duke of Milan

615.

Philip, duke of Orléans

715.

Philip, duke of Parma

745.

Philip, king of Swabia

506.

Philip, landgrave of Hesse

615.

Philip, prince, consort of Elizabeth II

2760, 3450.

Philip, Roman emperor

257, 272.

Philip I, king of France

449, 455, 467, 468.

Philip I, king of Portugal

*See Philip II, king of Spain and Philip I of Portugal.*

Philip I of Antioch

215.

Philip II, Augustus

444, 444, 445, 445, 445, 445, 445, 445, 449, 450, 450, 450, 450, 450, 450, 450, 450, 450, 450,

[452](#), [457](#), [457](#), [457](#), [469](#), [492](#), [505](#), [505](#), [522](#).

Philip II, king of Macedon

[124](#), [203](#), [203](#), [203](#), [203](#), [203](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [204](#), [205](#), [205](#), [205](#), [205](#), [209](#).

Philip II, king of Spain and Philip I of Portugal

[575](#), [587](#), [587](#), [595](#), [595](#), [595](#), [595](#), [599](#), [602](#), [602](#), [603](#), [603](#), [603](#), [603](#), [603](#), [603](#), [603](#), [603](#), [605](#), [605](#), [606](#), [615](#), [657](#), [905](#).

Philip II of Antioch

[215](#).

Philip III, the Bold

[451](#), [452](#), [453](#), [479](#).

Philip III, king of Spain

[603](#), [707](#), [918](#).

Philip III Arrhidaeus, king of Macedonia

[209](#).

Philip IV, the Fair

[446](#), [452](#), [452](#), [452](#), [452](#), [452](#), [452](#), [452](#), [452](#), [452](#), [453](#), [453](#), [453](#), [453](#), [453](#), [453](#), [453](#), [453](#), [470](#), [470](#), [470](#), [470](#), [512](#), [520](#), [520](#), [530](#), [540](#), [540](#).

Philip IV, king of Spain

[603](#), [604](#), [604](#), [648](#), [649](#), [657](#), [718](#), [720](#).

Philip V, the Tall

[520](#), [520](#).

Philip V, king of Macedonia

[210](#), [211](#), [211](#), [211](#), [211](#), [211](#), [211](#), [211](#), [211](#), [211](#), [214](#), [231](#), [232](#), [233](#), [233](#).

Philip V, king of Spain

[657](#), [659](#), [659](#), [660](#), [714](#), [718](#), [720](#), [720](#), [720](#), [720](#), [722](#), [723](#), [723](#), [723](#), [723](#), [723](#), [723](#), [723](#), [723](#), [723](#), [723](#), [740](#), [745](#).

Philip VI, king of France

[453](#), [512](#), [512](#), [520](#), [520](#), [520](#), [520](#), [520](#), [520](#), [533](#), [909](#).

Philip, Arthur, British colonial administrator

[1487](#).

Philip, John, missionary

[1550](#), [1551](#).

Philiphaugh, battle of

[592](#).

Philip Neri, Saint, cardinal

[609](#).

Philip of Anjou

See [Philip V, king of Spain](#).

Philip of Artois

[450](#).

Philip of Swabia, Holy Roman emperor and king of Germany

[457](#), [469](#), [476](#).

Philippa, daughter of John of Gaunt

[528](#).

Philippa of Hainault, wife of Edward III

[512](#).

Philippi

[203](#), [241](#).

Philippic, of Demosthenes

[204](#).

Philippics, by Cicero

[241](#).

Philippicus, Byzantine emperor

[431](#).

Philippine Bill, U.S.

[1485](#).

Philippine Commissions

[1483](#), [1484](#).

Philippine Islands

[339](#), [574](#), [724](#), [837](#), [851](#), [857](#), [859](#), [860](#), [865](#), [865](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [868](#), [868](#), [868](#), [904](#), [909](#), [911](#), [911](#), [954](#), [1436](#), [1478](#), [1480](#), [1482](#), [1601](#), [1693](#), [1706](#), [2211](#), [2521](#), [2531](#), [2533](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2534](#), [2535](#), [2535](#), [2535](#), [2536](#), [2536](#), [2627](#), [2630](#), [2630](#), [2636](#), [2637](#), [2641](#), [2643](#), [2644](#), [2959](#), [3413](#), [4047](#), [4047](#), [4106](#), [4106](#), [4106](#), [4107](#), [4107](#), [4110](#), [4131](#), [4256](#), [4289](#), [4289](#), [4289](#), [4290](#), [4291](#), [4291](#), [4291](#), [4291](#), [4292](#), [4292](#), [4293](#), [4293](#), [4293](#), [4294](#), [4294](#); exploration of, [867](#), [867](#); under Spanish control, [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [868](#); revolution in, [1481](#), [1481](#), [1482](#), [1610](#); and U.S., [1609](#), [3396](#); WWII, [2600](#), [2606](#), [2625](#), [2626](#), [4289](#); 1940s–1990s, [4289](#); republic, [4289](#); Communist Party, [4291](#); student unrest, [4292](#).

Philippines, University of the

[4292](#).

Philippine Sea, battles of

[2533](#), [2630](#).

Philippopolis

[437](#), [509](#).

Philippsburg

[622](#).

Philippus, Marcus Julius, the Arab

See [Philip, Roman emperor](#).

Philips Electrical

[1700](#).

Philistia

[87](#), [93](#), [100](#), [103](#), [104](#), [104](#), [104](#), [104](#), [105](#), [105](#), [106](#).

Philistines

[67](#).

Phillips, William, U.S. diplomat

[2225](#).

Phillipsburg

[653](#), [656](#).

Philo, Alexandrian scholar

[295](#).

Philocrates, Athenian leader

[204](#).

Philomelion, battle of

[501](#).

Philomelus, Phocian leader

[203](#), [203](#).

Philopoemen, Greek general

[211](#), [211](#).

philosophes, France

[1000](#), [1037](#).

philosophy

[68](#), [131](#), [141](#), [239](#), [300](#), [319](#), [319](#), [319](#), [1143](#), [2701](#); modern, [1815](#), [1815](#);  
existentialism, [2701](#), [2839](#), [2861](#); structuralism, [2701](#), [2861](#); postwar, [2701](#);  
poststructuralism, [2701](#), [2861](#); deconstruction, [2701](#), [2861](#). *See* [culture](#).

Philotas

[206](#).

Phips, William

[934](#).

phlogiston theory

[641](#).

Phnom Penh

[340](#), [849](#), [849](#), [849](#), [2453](#), [2857](#), [4075](#), [4081](#), [4082](#), [4085](#), [4086](#), [4086](#), [4087](#), [4091](#),  
[4275](#).

Phocaea

[110](#), [175](#), [177](#), [177](#), [185](#).

Phocas, Byzantine emperor

[275](#), [275](#), [428](#), [428](#), [429](#).

Phocian, Athenian commander

[204](#).

Phocis

[168](#), [189](#), [192](#), [193](#), [193](#), [203](#), [203](#), [203](#), [203](#), [204](#), [204](#), [204](#), [210](#).

Phoenicia

[95](#), [95](#), [100](#), [101](#), [103](#), [104](#), [105](#), [107](#), [108](#), [108](#), [108](#), [108](#), [109](#), [109](#), [109](#), [109](#), [109](#),  
[109](#), [109](#), [110](#), [110](#), [110](#), [112](#), [124](#), [169](#), [176](#), [184](#), [184](#), [185](#), [185](#), [206](#), [213](#), [218](#), [228](#),  
[240](#).

Phoenix Islands

[4284](#).

Phogola-Thukela region

[1549](#).

Pholien, Joseph, Belgian leader

[2821](#).

phonograph

[990](#).

Phormio, Athenian leader

[194](#), [196](#).

Photius, patriarch of Constantinople

[435](#), [435](#), [435](#), [435](#).

Photius, rival to patriarch of Constantinople

[409](#).

photography

[989](#), [990](#), [990](#), [1736](#).

photosynthesis

[1041](#).

Phoui Sananikone

[4094](#), [4094](#).

Phoumi Nosavan, prince, Laotian leader

[4094](#), [4095](#), [4095](#).

Phraates I, king of Parthia

[216](#).

Phraates II, king of Parthia

[215](#), [215](#), [216](#).

Phraates III, king of Parthia

[216](#).

Phraates IV, king of Parthia

[216](#).

PhraBuddha Loes Fa Nobhalai

See [Rama II, king of Siam](#).

Phra Buddha Yod Fa Chulalok

See [Rama I, king of Siam](#).

Phrachai, king of Siam

[847](#).

Phra Chom Klao Mongkut

*See* [Rama IV, king of Siam](#).

Phra Maha Chulalongkorn  
*See* [Rama V, king of Siam](#).

Phra Nang Klao  
*See* [Rama III, king of Siam](#).

Phrantzes, Georgios, historian  
[569](#).

Phraortes, Khshathrita?  
[123](#).

Phrygia  
[111](#), [112](#), [112](#), [113](#), [114](#), [114](#), [114](#), [114](#), [115](#), [119](#), [199](#), [209](#).

Phrygian dynasty  
[434](#).

Phya Bahol Sena, Siamese leader  
[2451](#), [2452](#).

Phyle  
[199](#).

Physcon  
*See* [Ptolemy VII Eurgetes II, king of Egypt](#).

physics  
[1040](#), [1147](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1729](#), [1730](#), [1730](#), [1730](#), [1730](#); superconductivity, [2704](#).

Physocrats, school of economics  
[645](#).

physiology  
[1151](#), [1151](#), [1151](#), [1152](#), [1152](#).

Piacenza  
[468](#), [607](#), [607](#), [660](#), [662](#), [723](#), [737](#), [745](#), [745](#), [745](#), [1031](#).

Piacenza, synod of  
[505](#).

Piankhy, king of Egypt  
[95](#), [99](#).

Piany, Antoine, French leader  
[2846](#).

Piast dynasty  
[486](#), [486](#), [486](#), [487](#).

Piatakov, George, Russian leader  
[2077](#).

Piave River, battle of  
[1757](#), [1778](#), [1778](#), [1805](#).

Piazzi, Giuseppi, astronomer



[1038](#).  
Pibul Songgram, Luang, Thai leader  
[4065](#), [4065](#), [4066](#), [4067](#).  
Picado, Teodoro, Costa Rican leader  
[3686](#).  
Picardy  
[604](#), [1789](#).  
Picasso, Pablo, artist  
[1146](#), [1816](#), [1930](#), [2864](#), [2899](#).  
Piccolomini, Aeneas Sylvius  
*See* [Pius II, pope](#).  
Piccolomini, Octavio, military commander  
[622](#).  
Pichegru, Charles, French general  
[1015](#).  
Pichincha, battle of  
[1652](#).  
Pichon, Stéphen Jean Marie, French diplomat  
[1784](#), [1901](#).  
Picquart, Georges, French general  
[1195](#).  
Picts  
[424](#), [424](#), [424](#), [425](#), [426](#).  
Pidie  
[839](#).  
Pieck, Wilhelm, German leader  
[3011](#), [3012](#), [3014](#).  
Piedmont  
[608](#), [612](#), [615](#), [653](#), [746](#), [746](#), [935](#), [985](#), [1009](#), [1066](#), [1066](#), [1066](#), [1067](#), [1068](#), [1068](#),  
[1091](#), [1092](#), [1092](#), [1092](#), [1092](#), [1092](#), [1092](#), [1092](#), [1093](#), [1093](#), [1181](#), [1210](#), [1210](#), [1211](#),  
[1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1211](#), [1212](#), [1212](#), [1213](#); and Austria, [1239](#).  
pieds noirs, Algeria  
[1384](#).  
Pierce, Franklin, U.S. president  
[1581](#), [1581](#).  
Pierleone  
*See* [Anacletus II, antipope](#).  
Pierlot, Hubert, Belgian leader  
[1891](#).  
Piérola, Nicolás de, Latin American leader  
[1670](#), [1670](#), [1670](#), [1670](#), [1670](#), [1670](#).

Laporte, Pierre, Quebec leader

[3455](#).

Pietism

[646](#), [754](#), [772](#).

Pietermaritzburg

[1551](#).

pig iron

[956](#).

Pignatelli, Antonio

*See* [Innocent XII, pope](#).

Pignerol

[600](#), [608](#).

Pig War, Austro-Serbian

[1293](#).

Pikes Peak, Colorado

[1594](#).

Pilate, Pontius, Roman prefect of Judaea

[250](#).

pilgrimages

[505](#); to Mecca and Medina, [808](#), [810](#), [880](#), [1351](#), [1358](#).

Pilgrims, New England

[926](#).

Pilgrim of Passau, missionary

[491](#).

Pillersdorf, Franz, Austrian leader

[1089](#), [1090](#).

Pilles, king of Tyre

[109](#).

Pillon, Germain, French artist

[600](#).

Pilsudski, Józef, Polish leader

[1269](#), [1270](#), [2110](#), [2111](#), [2111](#), [2112](#), [2112](#), [2113](#), [2113](#), [2114](#), [2114](#), [2117](#), [2119](#), [2119](#), [2119](#), [2120](#), [2120](#), [2122](#).

Pimería Alta, Arizona

[910](#).

Pimiko, queen of Yamatai

[167](#).

Pinchot, Gifford, U.S. official

[1617](#).

Pinckney, Thomas, U.S. leader

[1565](#), [1565](#).

Pinckney's treaty

*See* [San Lorenzo](#).

Pindar, Greek poet

[176](#).

Pindaris

[1394](#).

Pineda, Álvarez, explorer

[574](#).

Pineda, José Laureano, Latin American leader

[1683](#).

Pinerolo

[671](#), [707](#), [738](#).

Pingshan

[2461](#).

Pinjarra

[1489](#).

Pinkerton detectives

[1605](#).

Pinkowski, Jozef, Polish leader

[3100](#), [3102](#).

Pinochet Ugarte, Augusto, Chilean leader

[2698](#), [2801](#), [3465](#), [3474](#), [3477](#), [3507](#), [3513](#), [3514](#), [3514](#), [3514](#), [3514](#), [3514](#), [3514](#), [3514](#), [3515](#), [3516](#), [3516](#), [3517](#), [3518](#), [3520](#), [3520](#), [3520](#), [3521](#), [3521](#).

Pinsk

[1740](#), [1802](#).

Pinta, ship

[572](#).

Pinto, Aníbal, Latin American leader

[1663](#).

Pinto, Francisco Antonio, Latin American leader

[1662](#).

Pinto, José Manuel, Latin American leader

[1663](#).

Pinturicchio

[532](#).

Pinzón, Martín, explorer

[572](#).

Pinzón, Vicente Yáñez, explorer

[573](#).

Pinzón brothers

[572](#).

Pio, Louis, Danish socialist

[1252](#).

Pioneer

[2641](#).

Pioneer Column, South Africa

[1548](#).

Pipinelis, Panayoti, Greek leader

[3216](#).

Piquigny

[524](#).

piracy

[322](#), [473](#), [906](#), [1100](#), [1410](#), [1412](#); and Morocco, [824](#), [824](#), [824](#), [825](#), [1375](#); and North Africa, [826](#), [826](#), [826](#), [827](#); and Algiers, [826](#), [828](#); and Tripoli, [828](#); and Tunisia, [828](#), [1385](#), [1385](#); and Tunis, [829](#); and China, [851](#); and Taiwan, [852](#); and Japan, [855](#), [857](#); and Philippine Islands, [868](#); and Caribbean, [906](#); and Arabia, [1358](#), [1360](#); and Algeria, [1381](#); and Libya, [1392](#), [1392](#).

Piraeus

[187](#), [191](#), [196](#), [199](#), [199](#), [209](#), [1099](#), [1278](#), [1758](#), [3221](#).

Pi-Ramses

*See* [Tanis \(later Pi-Ramses\)](#).

Pirandello, Luigi, writer

[1952](#).

Pires, Thom e, Portuguese leader

[376](#).

Piri Reis, Ottoman commander

[795](#).

Pirna, battle of

[662](#).

Pirot, battle of

[1112](#), [1301](#).

Pirot

[1797](#).

Pir Sultan Abdal, Anatolian poet

[797](#).

Pisa

[471](#), [472](#), [498](#), [501](#), [505](#), [526](#), [531](#), [534](#), [534](#), [535](#), [537](#), [607](#), [744](#); council of, [531](#).



## Subject Index

### Page 61

- Pisano, Vittorio, Venetian commander  
[538.](#)
- Pishavari, Ja`far, Azerbaijani leader  
[3813.](#)
- Piso, Caius Calpurnius, Roman leader  
[249.](#)
- Piso, Lucius Calpurnius, Roman lawgiver  
[233.](#)
- Pistoia  
[534.](#)
- Pitalkhora  
[129.](#)
- Pitcairn Islands  
[865, 866.](#)
- Pithecusae, Ischia  
[182, 182, 184, 184.](#)
- Pitkhana, king of Kussara  
[113.](#)
- Pitt, William, the Elder  
*See [Chatham, William Pitt, earl of, English leader.](#)*
- Pitt, William, the Younger  
[692, 836.](#)
- Pitti, Luca, Florentine leader  
[535.](#)
- Pittman Act, U.S.  
[2599.](#)
- Pittsburgh  
[1609, 1736, 2191.](#)
- Pittsburg Landing, battle of  
[1587.](#)

Pius II, pope  
[530](#), [531](#), [532](#), [542](#).

Pius IV, pope  
[609](#).

Pius V, saint  
[609](#), [1009](#).

Pius VI, pope  
[737](#).

Pius VII, pope  
[1014](#), [1019](#), [1026](#), [1026](#), [1066](#), [1068](#).

Pius VIII, pope  
[1068](#).

Pius IX, pope  
[1069](#), [1091](#), [1092](#), [1092](#), [1092](#), [1092](#), [1093](#), [1165](#), [1204](#), [1210](#), [1211](#), [1215](#), [1219](#),  
[1219](#).

Pius X, pope  
[1223](#), [1224](#), [1941](#), [2954](#).

Pius XI, pope  
[1701](#), [1945](#), [1946](#), [1952](#), [1956](#), [1957](#).

Pius XII, pope  
[1701](#), [1957](#), [2953](#), [2953](#), [2954](#), [2954](#), [3484](#).

Pixii, Hippolyte, pioneer in electricity  
[981](#).

Pizarro, Francisco, Spanish conquistador  
[281](#), [897](#), [898](#), [898](#), [898](#), [898](#), [898](#), [898](#), [898](#), [898](#), [898](#).

Pizarro, Gonzalo, Spanish explorer  
[898](#), [898](#), [899](#), [899](#), [899](#).

Pizarro, Hernando, Spanish explorer  
[898](#).

Pizarro brothers  
[898](#), [898](#).

Pizarro, Carlos  
[3585](#).

Place, Francis, English reformer  
[1046](#), [1049](#).

Placentia  
[231](#).

Placilla, battle of  
[1663](#).

Plain, French political party  
[1003](#), [1004](#).

Plaine des Jarres  
[4098](#), [4098](#), [4098](#), [4098](#), [4099](#), [4099](#).

Plains of Abraham, battle of the  
[940](#).

Plains Sioux Indians  
[1597](#).

Planck, Max, scientist  
[1147](#), [1149](#).

Plan de Agua Prieta  
[2296](#).

Plan de Ayala  
[2290](#).

Planta, Rudolf, leader of Swiss Catholic faction  
[626](#).

Plantagenet dynasty  
[444](#), [521](#).

plantation societies  
[605](#).

Planudes Maximus, scholar  
[569](#).

Plassey, battle of  
[835](#).

Plastiras, Nikolas, Greek leader  
[2145](#), [2153](#), [3211](#).

Plataea  
[124](#), [180](#), [183](#), [196](#), [196](#).

Plato, philosopher  
[68](#), [186](#), [202](#), [294](#), [300](#), [401](#), [438](#), [471](#), [475](#).

Platonic Academy, Florence  
[536](#).

Platonism  
[208](#), [246](#).

Platt Amendment, U.S.-Cuba  
[1611](#), [1693](#), [2204](#), [2304](#).

Plattsburg, battle of  
[1623](#).

Plautus, Titus Maccius, Roman playwright  
[229](#).

Playfair, John, geologist  
[1041](#).

Plaza, Victorino de la, Latin American leader



[1661](#).  
Plaza de Mayo, Buenos Aires  
[3493](#), [3494](#), [3497](#).  
Plaza Gutiérrez, Leonidas, Latin American leader  
[1671](#), [1671](#).  
Plaza Lasso, Galo, Ecuadorian leader  
[3567](#).  
Plaza Oriente, Madrid  
[2906](#).  
Plaza Tlateloco  
[3702](#).  
Plebeians  
[570](#).  
Plehve, Viacheslav, Russian official  
[1262](#).  
Pléiade, La, group of French poets  
[600](#).  
Pleiku  
[4266](#).  
Pleistarchus, ruler of Cilicia  
[209](#), [209](#).  
Pleistocene epoch  
[18](#).  
Plekhanov, Georgy, philosopher  
[1262](#).  
Pless  
[1770](#).  
Plessen, Christian von, Danish official  
[769](#).  
Plessy v. Ferguson, U.S. Supreme Court decision  
[1609](#).  
Plethon, Georgios, historian  
[569](#).  
Pleven, René, French leader  
[2844](#), [2844](#), [2845](#), [2845](#), [2845](#), [2846](#).  
Plevlje, taken by Austrians  
[1744](#).  
Plevna  
[1107](#), [1107](#), [1317](#).  
Plinius Caecilius Secundus, Caius  
*See* [Pliny the Younger, Roman scholar](#).

Plinius Secundus, Caius

*See [Pliny the Elder, Roman scholar](#).*

Pliny the Elder, Roman scholar

[133](#), [246](#), [426](#), [637](#).

Pliny the Younger, Roman scholar

[246](#), [253](#).

Pliska

[439](#), [440](#), [440](#).

Plotina, wife of Trajan

[253](#).

Plovdiv

[1301](#).

Plowman's Front

[3245](#).

plows

[987](#), [1576](#).

Plug Plot Strikes, England

[1049](#).

Plumer, Herbert, British leader

[1801](#), [2389](#).

Plural Voting Bill, England

[1163](#).

Plymouth, England

[924](#), [933](#), [934](#), [934](#).

Plymouth Brethren

[1541](#).

Plymouth Colony

[926](#), [928](#).

Plymouth Company

[924](#), [926](#), [926](#), [926](#).

Po, Fernando, explorer

[281](#).

Pobiedonostsev, Constantine, Russian official

[1260](#), [1263](#).

Poblet, abbey

[477](#).

pocket boroughs, England

[1047](#).

Podgorny, N.

[3288](#).

Podiebrad, George, king of Bohemia



780, 780, 780, 780, 780, 780, 781, 781, 781, 781, 781, 782, 782, 782, 782, 783, 783, 784, 787, 787, 789, 790, 803, 804, 804, 805, 808, 1024, 1029, 1032, 1032, 1100, 1100, 1136, 1266, 1267, 1267, 1267, 1267, 1267, 1267, 1268, 1268, 1268, 1268, 1268, 1268, 1269, 1270, 1270, 1311, 1704, 1708, 1728, 1817, 1817, 1817, 1817, 1819, 1819, 1821, 1821, 1824, 1825, 1825, 1828, 1831, 1832, 1835, 1835, 1835, 1835, 1835, 1836, 1837, 1837, 1837, 1837, 1838, 1838, 1838, 1838, 1838, 1838, 1838, 1838, 1838, 1838, 1853, 1853, 1915, 1915, 1932, 1957, 2020, 2021, 2033, 2064, 2067, 2086, 2086, 2087, 2087, 2088, 2088, 2093, 2110, 2180, 2208, 2208, 2597, 2637, 2637, 2641, 2665, 2676, 2677, 2685, 2700, 2700, 2706, 2715, 2725, 2729, 2731, 2735, 2748, 2749, 2750, 2752, 2754, 2754, 2754, 2756, 2757, 2982, 3006, 3006, 3011, 3017, 3089, 3116, 3118, 3152, 3162, 3163, 3166, 3201, 3250, 3265, 3324, 4150, 4262; union with Lithuania, 550; partitions of, 578, 667, 667, 667, 781, 782, 782, 790, 1073; kingdom of, 1267, 1267, 1268, 1268, 1268, 1268, 1269, 1269, 1269; and Russia, 1268, 2079, 2079, 3096; WWI, 1739, 1740, 1740, 1740, 1769, 1769, 1772, 1772, 1772, 1772, 1774, 1778, 1778, 1778, 1780, 1780, 1784, 1784, 1794, 2110, 2110, 2110, 2111, 2111, 2112, 2112, 2112, 2113, 2113, 2114; independence, 1785; and Germany, 1992, 1992, 1992, 1992; invasion by Germany, 1992, 2124, 2582, 2582, 2582, 2582; war with Russia, 2068; invasion by Russia, 2079; Republic, 2113; between Wars, 2114, 2114, 2114, 2115, 2116, 2116, 2117, 2118, 2119, 2121, 2123, 2123, 2124, 2124, 2124, 2124; Great Depression, 2120; WWII, 2124, 2124, 2124, 2124, 2125, 2125, 2125, 2126, 2593, 2597, 2597, 2620, 2621, 3110; end of WWII, 2126; post-WWII, 3089, 3089, 3089, 3089, 3091; Communist, 3092, 3092, 3093, 3093, 3095, 3095, 3096, 3096, 3096, 3096, 3097, 3098, 3098, 3098, 3098, 3098, 3099; and Western powers, 3094; liberalization, 3099, 3100, 3100, 3100, 3100, 3101, 3102, 3102, 3102, 3102, 3104, 3104, 3105, 3106, 3107, 3108, 3109, 3109, 3109, 3110, 3111, 3111, 3112, 3112, 3113, 3113, 3113, 3113, 3115, 3116, 3117, 3117, 3118, 3118, 3119, 3119, 3132, 3139; Polish People's Republic, 3111; Polish Republic, 3111.

Polani, unified six tribes of Poland  
486.

Polaris  
2725, 3405.

Pole, Reginald, religious leader  
587, 588.

Polianov, treaty of  
631, 633.

police  
1157; Russia, 1257; Ottoman Empire, 1345; Iran, 1351; Libya, 1393; India, 1395.

Polignac, Auguste Jules Armand Marie  
1060.

Polisario Front, Sahara

[3921](#), [3924](#), [3924](#), [4364](#).  
Polish-Austrian War  
[1267](#).  
Polish Beer Lovers' Party, Poland  
[3116](#).  
Polish League  
[1269](#).  
Polish National Committee, Warsaw  
[2110](#).  
Polish Note  
[2123](#).  
Polish Peasant Party, PSL  
[3116](#).  
Polish-Russian War  
[1817](#), [2123](#).  
Polish United Workers' Party, PUWP  
[3092](#), [3093](#), [3111](#).  
Polish Wars  
[550](#).  
Politburo, Czechoslovakia  
[3096](#), [3133](#).  
Politburo, Poland  
[3099](#).  
Politburo, Russia  
[2067](#), [3128](#), [3266](#).  
Political Institute, Switzerland  
[1070](#).  
political parties  
[1191](#); in Spain, [1204](#); in Egypt, [1374](#); in U.S., [1565](#).  
Polk, James K., U.S. president  
[1577](#), [1577](#), [1578](#), [1688](#).  
pollen analysis  
[18](#).  
Pollentia  
[265](#), [403](#).  
Pollock v. Farmers Loan and Trust Co.  
[1608](#).  
Polo, Marco, Italian traveler  
[337](#), [373](#), [375](#), [474](#).  
Polo, Nicolo and Maffeo  
[473](#), [474](#).

Polonnaruva

[338](#).

Polotsk

[557](#), [629](#), [633](#).

Pol Pot, Soloth Sar

[4086](#), [4087](#), [4087](#), [4087](#), [4087](#), [4091](#), [4163](#), [4275](#).

Poltava

[657](#), [780](#), [2593](#); battle of, [657](#).

Polybius, Greek historian

[211](#).

Polybius, Roman freedman

[248](#).

Polycarp of Smyrna, bishop

[259](#).

Polyclitus, Greek sculptor

[186](#).

Polycrates, tyrant of Samos

[179](#).

Polygnotus, Greek artist

[186](#).

polymers

[984](#).

Polynesia

[52](#), [52](#), [280](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [864](#), [1500](#).

Polyperchon, Macedonian leader

[209](#).

polytheism

[101](#).

Pomaks, Bulgaria

[3241](#).

Pomares, Tahiti

[1476](#), [1476](#).

Pombal, marquis de, Sebastião José de Carvalho e Mello, Portuguese leader

[578](#), [727](#), [729](#), [729](#), [729](#), [730](#), [730](#), [730](#), [730](#), [916](#), [918](#).

Pomerania

[456](#), [460](#), [461](#), [461](#), [486](#), [486](#), [486](#), [555](#), [555](#), [619](#), [620](#), [620](#), [653](#), [662](#), [761](#), [765](#), [1031](#), [1032](#); under Swedish rule, [771](#).

Pomerelia

[550](#).

Pomorze, Poland

[1992](#), [1992](#), [2124](#).

Pompadour, marquise de, Jeanne Poisson  
[662](#).

Pompeius, Cn.  
*See* [Pompey the Great](#).

Pompey, Pompeii  
[215](#), [215](#), [216](#), [252](#).

Pompey, Sextus, son of Pompey the Great  
[241](#), [242](#), [242](#).

Pompey the Great  
[237](#), [237](#), [237](#), [238](#), [239](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [240](#), [241](#), [241](#),  
[241](#), [241](#), [241](#), [241](#).

Pompidou, Georges, French leader  
[2727](#), [2838](#), [2853](#), [2853](#), [2859](#), [2860](#), [2862](#), [2864](#), [2865](#), [3284](#).

Ponce, René Emilio, Salvadoran leader  
[3672](#).


Ponce de León, Juan, Spanish explorer  
[573](#), [895](#), [905](#).

Ponce de León, Luis, Spanish theologian and poet  
[604](#).

Pondichéry, captured by British  
[656](#), [666](#), [835](#), [835](#).

Pondoland  
[1556](#).

Pongidae family  
[19](#).

Pong-jun, Ch n, Korean leader  
[1432](#).

Pons, Antonio, Ecuadorian leader  
[2264](#).

Pons Aemilia  
[229](#).

Ponsot, Henri, French leader  
[2375](#), [2379](#).

Pontgrave, French explorer  
[920](#), [920](#).

Ponthieu  
[512](#), [521](#).

Pontiac, Ottawa Indian leader  
[940](#).

Pontic coast  
[111](#), [112](#), [194](#).

Pontine marshes

[1952](#).

Pontus

[213](#), [213](#), [214](#), [237](#), [240](#), [240](#), [245](#).

Poona Pact, India

[2441](#).

Poona Sarvajanik Sabha, Indian association

[1398](#).

Poor Law Amendment Act, England

[1048](#), [1048](#).

Poor Laws, England

[589](#), [686](#), [689](#), [692](#), [1048](#), [1048](#), [1051](#), [1159](#), [1160](#), [1162](#), [1846](#); in Ireland, [1170](#).

Poor Richard's Almanac, by Benjamin Franklin

[935](#).

Popayán

[897](#), [897](#), [897](#), [1650](#).

pope

*See* [papacy](#).

Poperingen

[653](#).

Pphng, Korean king

[162](#).

Popieluszko, Jerzy, Polish priest

[3106](#), [3106](#), [3107](#).

Popish Plot, England

[676](#), [695](#).

Poplasen, Nicola, Bosnian leader

[3189](#), [3189](#).

Popov, Alexander, inventor

[990](#), [1262](#).

Popov, Dimitur, Bulgarian leader

[3241](#).

Poppaea Sabina, wife of Nero

[248](#).

Popular Action Front, FRAP

[3509](#).

Popular Action Party, AP

[3556](#).

Popular Christian Party, PPC

[3555](#).

Popular Democracy Party, Ecuador



[3572](#).  
Popular Democratic Movement, MDP  
[3514](#).  
Popular Democratic Party, PPD  
[2309](#), [3731](#).  
Popular Democratic Union, UDP  
[3545](#).  
Popular Front for the Liberation of Palestine  
[3845](#).  
Popular Front movement  
[2075](#), [2243](#), [2423](#); Belgium, [1889](#); France, [1910](#), [1911](#), [1912](#), [1912](#), [1913](#), [1914](#), [1914](#);  
Spain, [1929](#), [1929](#); Chile, [2247](#), [2247](#).  
Popular Movement for the Liberation of Angola, MPLA  
[2694](#).  
Popular Party, Greece  
[3207](#).  
Popular Party, Italy  
[1944](#), [1946](#).  
Popular Party, Puerto Rico  
[3729](#).  
Popular Radical Party, Argentina  
[3486](#).  
Popular Revolutionary Bloc, BPR  
[3664](#).  
Popular Revolutionary Party, Mexico  
[3710](#).  
Popular Socialist Party, PSP  
[2306](#).  
popular sovereignty, doctrine  
[1582](#), [1583](#), [1583](#).  
Popular Union, UP  
[3584](#), [3585](#).  
Popular Unity, UP  
[3511](#).  
population  
[84](#), [87](#), [91](#), [91](#), [93](#), [98](#), [100](#), [104](#), [106](#), [109](#), [111](#), [115](#), [120](#), [124](#), [129](#), [135](#), [140](#), [156](#),  
[158](#), [208](#), [257](#), [285](#), [299](#), [364](#), [1046](#); prehistoric, [22](#), [24](#), [29](#); Roman Republic, [229](#);  
Roman Empire, [245](#); Africa, [348](#), [869](#), [890](#), [890](#); China, [367](#), [370](#), [371](#), [373](#), [375](#),  
[1415](#); Korea, [378](#); Japan, [384](#); Vietnam, [397](#); Europe, [400](#); postclassical Europe, [406](#);  
Spain, [419](#); Western Europe, [443](#), [443](#), [511](#); Sicily, [443](#); Italy, [443](#), [511](#); British Isles,  
[443](#), [511](#); France, [443](#), [511](#); Iberian Peninsula, [443](#), [511](#); Scandinavia, [443](#), [511](#);

Germany, [443](#), [511](#); England, [444](#), [513](#); Americas, [570](#), [908](#), [908](#), [908](#), [908](#), [908](#), [911](#), [918](#); Mayas, [570](#); Caribbean region, [570](#); Incas, [570](#); Brazil, [570](#), [1677](#); 1500–1800, [579](#), [584](#), [584](#), [584](#), [584](#), [584](#), [584](#), [584](#), [584](#), [584](#), [584](#), [908](#); after Thirty Years' War, [644](#); England in the 17th and 18th centuries, [668](#); and Malthusian theories, [692](#); France in the 18th century, [707](#); Spain in the 17th and 18th centuries, [718](#); Portugal in the 17th and 18th centuries, [727](#); Italy in the 17th and 18th centuries, [735](#); Switzerland in the 17th and 18th centuries, [748](#); Prussia, [755](#); Scandinavia in the 17th and 18th centuries, [761](#); Middle East 1500–1800, [791](#); Algiers, [826](#); India 1500–1800, [830](#); Southeast Asia 1500–1800, [837](#); China 1500–1800, [852](#); Pacific Islands 1500–1800, [864](#); North America, [919](#), [936](#), [937](#), [938](#); New England, [933](#); 1800–1914, [956](#), [1034](#), [1142](#), [1142](#), [1142](#); Ireland, [1164](#); Russia, [1256](#); Serbia, [1284](#); Montenegro, [1296](#); Bulgaria, [1298](#); Romania, [1311](#); Middle East and North Africa, [1327](#); Ottoman Empire, [1330](#), [1345](#), [1347](#); Iran, [1349](#); Egypt, [1366](#); Morocco, [1375](#); Algeria, [1384](#); Tunisia, [1385](#); India, [1394](#); Southeast Asia, [1402](#); Singapore, [1410](#); Malaya, [1411](#); Australia, [1490](#); Maoris, [1500](#); New Zealand, [1502](#); U.S., [1563](#), [1563](#), [1598](#); Canada, [1622](#), [1623](#), [1625](#), [1628](#); Latin America, [1657](#); Argentina, [1660](#), [1661](#); Paraguay, [1665](#), [1665](#), [1666](#); Bolivia, [1669](#); Ecuador, [1671](#), [1671](#); Colombia, [1673](#); Venezuela, [1675](#); Panama, [1679](#); El Salvador, [1682](#); Cuba, [1693](#); Puerto Rico, [1694](#); Haiti, [1697](#).

Population Registration Act, South Africa  
[4470](#).

populism  
[1260](#), [1262](#); U.S., [1605](#).

Populists, U.S.  
[1598](#), [1598](#), [1605](#), [1605](#), [1609](#), [2196](#).

Poqo  
[4477](#).

Po River  
[222](#), [222](#), [227](#), [228](#), [231](#), [231](#), [231](#), [232](#), [251](#), [534](#), [607](#), [746](#), [1066](#).

Porkkala  
[2635](#), [3072](#), [3075](#).

Porphyrogenetos, Constantine, writer  
[438](#).

Porsenna, Lars, king of Clusium  
[225](#).

Portage Laprairie  
[1630](#).

Portal, Gerald  
[1536](#).

Portales, Diego, Latin American leader  
[1662](#), [1662](#), [1662](#).

Portalis, Jean Étienne Marie, French jurist

1014.  
Port Arthur  
1262, 1420, 2634, 4146. *See* Lüshun (Port Arthur).  
Port Augusta  
2538, 2617.  
Port-au-Prince  
2315, 3746.  
Port-aux-Basques  
1641.  
Port Darwin  
1494, 1494, 2539.  
Portes Gil, Emilio  
2297.  
Port Essington  
1489.  
Port Hamilton  
1431, 1454.  
Porthan, Henrik Gabriel, Finnish historian  
766.  
Port Harcourt, Nigeria  
2558, 4323.  
Port Hudson  
1588.  
Portico of Gaius and Lucius  
239.  
Porticus Aemilia  
229.  
Portillo Cabrera, Alfonso, Guatemalan leader  
3660.  
Portinari, Beatrice, Dante's inspiration  
534.  
Portinari, Cándido, artist  
2241.  
Port Jackson, Sydney  
866, 1487.  
Portland  
671.  
Portland Bay  
1489.  
Portland cement  
983.

Port Manzanilla

573.

Port Moresby

1477.

Port Moresby Stock Exchange, POMOX

4287.

Port Natal

1551.

Port Nicholson

1501.

Porto

729.

Porto Barros, ceded to Yugoslavia

1817.

Porto Bello

660, 911, 911.

Porto Edda

2590.

Porto Novo

836.

Porto Santo

572.

Port Phillip

1489, 1490.

Port Royal

712, 714, 905, 920, 939.

Port Royal Sound

920.

Port Said

1369.

Portsmouth, New Hampshire

926.

Portsmouth, Rhode Island

928.

Portsmouth, treaty of

975, 1263, 1424, 1436, 1463, 1464, 1615, 2505, 3878.

Portugal

281, 281, 282, 315, 323, 323, 337, 353, 358, 358, 359, 359, 359, 359, 359, 362, 363, 365, 376, 469, 475, 480, 525, 525, 525, 528, 572, 575, 578, 578, 578, 578, 579, 579, 596, 603, 605, 605, 605, 605, 605, 605, 605, 605, 605, 605, 605, 606, 606, 606, 643, 648, 657, 659, 682, 703, 719, 720, 726, 727, 727, 727, 727, 727, 727, 728, 728, 728, 728, 728, 728.



[630](#).  
possibilists  
[1191](#).  
Post, Wiley, pilot  
[2199](#).  
postage stamps  
[1350](#), [1490](#).  
postimpressionism  
[1146](#).  
Postmen's Federation, England  
[1161](#).  
Postumius Albinus, A., Roman historian  
[229](#).  
Postumius Tubertus, A., Roman dictator  
[225](#), [226](#).  
Postumus, Marcus Cassianus Latinius, Roman emperor  
[257](#), [258](#).  
potassium-argon dating  
[7](#), [7](#), [7](#), [7](#), [19](#), [19](#).  
potato blight  
[1051](#).  
Pote Sarasin, Thai leader  
[4067](#).  
Potgeiter, Andries H., Boer leader  
[1551](#).  
Potidaea  
[179](#), [195](#), [195](#), [196](#), [202](#).  
Potocki, Polish family  
[781](#).  
Potocki, Waclaw, Polish writer  
[633](#).  
Potomac  
[930](#), [989](#), [1587](#), [1587](#), [1588](#), [3415](#).  
Potosí  
[2299](#). *See* [San Luis de Potosí](#).  
Potsdam  
[1134](#), [1699](#), [2493](#), [2634](#); Conference, [2634](#), [2634](#), [2645](#), [2758](#), [2887](#), [2982](#), [2990](#).  
Pottawatomie Creek, massacre at  
[1583](#).  
pottery  
[851](#), [854](#).

Pottinger, Henry

[1416](#), [1416](#).

Poujadists

See [Union de Défense des Commerçants et Artisans, France](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 62

- Poulenc, Francis, composer  
[1903.](#)
- Poulo Condore Island  
[2524.](#)
- Poulsen, Valdemar, inventor  
[990.](#)
- Poutrincourt, Jean de Biencourt de, French explorer  
[920.](#)
- Po Valley  
[2621.](#)
- Poveda Burbano, Alfredo, Ecuadorian leader  
[3569.](#)
- Poverty Point, Louisiana  
[64.](#)
- Powder River  
[1592.](#)
- Powell, John W., U.S. geologist  
[1599.](#)
- Powell, Vasator, English rebel  
[674.](#)
- Powers, Francis Gary, U.S. pilot  
[3274, 3276.](#)
- Powhatan, American Indian leader  
[925.](#)
- Powys, duke of, William Herbert, in Popish Plot  
[676.](#)
- Poyarkov, Vassily, Russian explorer  
[852.](#)
- Poyning's law  
*See* [Statute of Drogheda.](#)



Pozharsky, Dmitri, Russian patriot

630.

Poznania

*See* Posen (Poznan, Poznán, Poznania).

Pozsgay, Imre, Hungarian leader

3153, 3155, 3157.

Pozsony

757.

Prada, Manuel González, Peruvian educator

2259.

Prado, Mariano I., Latin American leader

1670.

Prado Museum, Madrid

724, 2899.

Prado Ugarteche, Manuel, Peruvian leader

3552, 3552.

Praenestae

227, 229.

praetorian guard

243, 248, 249, 251, 251, 253, 254, 255, 257, 261.

Praetor's Edict

253.

Pragmatic Sanction

406, 597, 659, 659, 660, 660, 662, 758; of 1720, 634.

Pragmatic Sanction of Bourges, France

523, 523, 531.

Pragmatic Sanction of Mainz

531, 542.

pragmatism

1144.

Prague

483, 483, 484, 541, 544, 544, 548, 617, 620, 620, 635, 660, 660, 662, 1073, 1089,  
1089, 1089, 1090, 1835, 1835, 2015, 2020, 2020, 2021, 2021, 2665, 2709, 2717,  
2757, 2996, 3120, 3126, 3128, 3128, 3128, 3128, 3129, 3129, 3139, 3140, 3265;  
defenestration of, 617, 634; congress of 1813, 1030; treaty of, 1102.

Prague, University of

544.

Praguerie, France

523.

Prajñāpāramitā, Perfect Wisdom

130.

Prarthana Samaj, Hindu reform movement

[1397](#).

Prasad, Rajendra, Indian leader

[3957](#), [3959](#), [3962](#).

Prasenajit, king of Kosala

[129](#).

Prater, battle of

[1090](#).

Pratimoksa

[129](#).

Pratishthana, Paithan

[132](#), [133](#).

Prato

[2933](#).

Prayer Book

[1845](#).

Pre-Dorset people

[33](#).

Pre-emption–Distribution Act, U.S.

[1576](#).

Pre-Hellenic peoples

[170](#).

prehistory

[1](#), [1](#), [1](#), [2](#), [2](#), [2](#), [3](#), [4](#), [4](#), [8](#), [14](#), [15](#), [15](#), [18](#), [41](#), [43](#), [48](#), [50](#), [52](#), [61](#), [61](#).

preindustrial civilizations

[14](#), [53](#).

Prei Veng

[135](#).

Prempeh, Asante leader

[1517](#).

Premyslid dynasty

[483](#), [483](#), [485](#), [540](#), [544](#).

Preobrazhenskiy Treaty

[780](#).

Pre-Romanesque style

[479](#).

Presbyterians

[591](#), [593](#), [593](#), [593](#), [593](#), [593](#), [676](#), [679](#), [1051](#), [1866](#); England, [588](#); Scotland, [591](#), [1846](#); English Civil War, [593](#); Ireland, [701](#), [701](#), [1164](#), [1168](#), [1168](#); Africa, [878](#), [1514](#); U.S., [1563](#).

Presidential Succession Law, U.S.

1602.  
Presidium, Russia  
2076, 3266.  
Preslav  
437, 440, 440, 441.  
Presley, Elvis, singer  
3401.  
press  
935; France, 1005, 1009, 1009, 1033, 1058, 1059, 1060, 1061, 1178, 1180, 1183;  
Great Britain, 1048, 1049, 1162; Belgium, 1053; Switzerland, 1070, 1094; Prussia,  
1096; 1800–1914, 1146; Russia, 1259; Middle East, 1332, 1334, 1335, 1336; Iran,  
1350, 1350; Afghanistan, 1355, 1357; Egypt, 1367, 1371, 1372, 1374, 1374; Tunisia,  
1389, 1390, 1391; Libya, 1393, 1393, 1393; India, 1394, 1397; Korea, 1436; Japan,  
1453; Africa, 1556; U.S., 1570, 1574, 1574, 1580, 1600, 1610.  
Pressburg, Bratislava  
634, 758, 1023, 1087, 1087.  
Prestel system  
2704.  
Prester John, legendary Christian king in East Africa  
869.  
Prestes, Júlio, president  
2271.  
Prestes, Luis Carlos, Brazilian leader  
2271, 2273.  
Prestes Column  
2271.  
Preston, battle of  
593, 684.  
Preston, Thomas, British commander  
943.  
Pretoria  
1555, 2578.  
Pretorius, Andreas, Boer leader  
1551, 1551, 1555.  
Preval, René, Haitian leader  
3755, 3755.  
Preveza, battle of  
793.  
Price Control Act, U.S.  
2212.  
Pride, Thomas, English commander

[593](#), [673](#).  
Pride's Purge, England  
[593](#), [673](#).  
Priene  
[175](#).  
Priestley, J. B., writer  
[1839](#).  
Priestley, Joseph, scientist  
[647](#).  
Prieto, Indalecio, Spanish leader  
[1930](#).  
Prieto, Joaquín, Latin American leader  
[1662](#), [1662](#).  
Prilep  
[1797](#).  
Primakov, Yevgeny, Russian leader  
[3369](#), [3370](#).  
Primary Education Law, France  
[1061](#).  
Primary Education Law, Netherlands  
[1174](#).  
primates  
[18](#), [19](#), [19](#), [19](#), [19](#), [19](#), [19](#), [20](#).  
Primitive Methodism  
[692](#).  
primogeniture  
[1369](#).  
Primrose League, England  
[1162](#).  
Prina  
[747](#).  
Prince Edward Island  
[1623](#), [1625](#), [1631](#), [3458](#).  
Princip, Gavrilo, assassin  
[1140](#).  
Principe  
[2672](#), [2916](#).  
Prindle, K. E., developer of cellophane  
[984](#).  
Prinkipo Islands  
[1784](#).

printing

[315](#), [371](#), [373](#), [378](#), [379](#), [380](#), [643](#), [985](#); beginnings in Asia, [370](#); England, [516](#); Spain, [525](#); Venice, [539](#); from movable type, [542](#); Scandinavia, [554](#); Poland, [555](#); Ottoman Empire, [797](#), [801](#), [807](#), [809](#); Lebanon, [800](#); the Arab world, [805](#); China, [851](#); Philippines, [867](#); freedom of the press, [935](#); 1800–1914, [985](#); Switzerland, [1094](#); Germany, [1096](#); Middle East, [1335](#); Iran, [1349](#), [1350](#), [1350](#), [1351](#); Egypt, [1367](#); Morocco, [1376](#); Tunisia, [1389](#); India, [1394](#), [1397](#).

Prío Socorras, Carlos, Cuban leader

[3714](#), [3714](#).

Pripet River

[482](#).

Priscus, Byzantine commander

[428](#), [429](#).

Priscus, Helvidius, Stoic leader

[251](#).

Prishtina, H., Ottoman deputy in Albania

[1326](#).

prisoners of war

[959](#).

Pristina, taken by Bulgarians

[567](#), [1797](#).

Prithivipati I, ruler of India

[327](#), [328](#).

Prittitz, Friedrich von, German general

[1792](#).

privateering

See [piracy](#).

Privileged Agrarian Bank, Yugoslavia

[2131](#).

Privilege of Worms

[458](#).

Privileges of Union, Aragon

[526](#).

Privy Council, Japan

[1454](#).

Prizren, league of

[1325](#), [1326](#).

Prizrend

[1797](#).

probability theory

[639](#), [1040](#).

Probus, Marcus Aurelius, Roman emperor  
[258](#), [258](#).

Proclamation of 1763  
[940](#).

Procopius, historian  
[426](#), [427](#).

Procop the Great, Hussite leader  
[544](#).

Prodi, Romano, Italian leader  
[2756](#), [2949](#), [2950](#), [2950](#), [2951](#).

Prodicus, Greek philosopher  
[186](#).

Professio Fidei Tridentina  
*See* [Council of Trent](#).

Professional Air Traffic Controllers Organization, PATCO  
[3427](#).

Profumo, John, British leader  
[2774](#).

Progresistas, Spain  
[1062](#), [1062](#).

Progressive Conservative Party, Canada  
[3446](#).

Progressive Democrats, Switzerland  
[2970](#).

Progressive Encounter Party, Uruguay  
[3534](#).

Progressive Party, Iceland  
[3086](#).

Progressive Republican Party, Turkey  
[2327](#).

Progressives, China  
[1426](#).

Progressives, Germany  
[1235](#), [1237](#).

Progressives, Japan  
[1452](#).

Progressives, Portugal  
[1207](#).

Progressives, U.S.  
[1619](#).

Progressive Socialist Party, Lebanon

[3845](#).  
Progressive Union of the Center, Greece  
[3211](#).  
progressivism, U.S.  
[1598](#).  
prohibition  
[1580](#); U.S., [1580](#), [1606](#), [2188](#), [2190](#), [2201](#); Norway, [2044](#); Finland, [2054](#); Virgin  
Islands, [2311](#); Iceland, [3086](#). *See* [temperance movement](#).  
Pro-Independence Movement, Puerto Rico  
[3731](#).  
Project Venezuela  
[3604](#).  
Prokofiev, Sergei, composer  
[2068](#), [3263](#).  
proletariat  
[1034](#), [2067](#).  
Prome, Burma  
[846](#), [4050](#).  
propaganda  
[1814](#), [1814](#), [1839](#).  
Propaganda Movement, Philippine society  
[1481](#).  
Propertius, Sextus, Roman poet  
[239](#).  
Prophet Ariandhit, Sudanese leader  
[2561](#).  
Propontus  
[177](#), [473](#).  
Propylaea  
[186](#).  
Prosimians, suborder  
[19](#).  
Prosipitis  
[192](#), [192](#).  
Prosser, Gabriel, U.S. leader  
[1566](#).  
prostitution  
[511](#); in Egypt, [1367](#).  
Protagoras, Greek philosopher  
[186](#).  
Protectionists, France

[1181](#).

Protectorate of Southern Arabia

[3891](#).

Protectorate of the New Guinea Company

[1477](#).

Protectorate Treaty

[1436](#), [1436](#).

Protestantism

[580](#), [613](#), [614](#), [615](#), [632](#), [1036](#), [1068](#), [1701](#), [2701](#); England, [587](#), [588](#), [593](#), [603](#); France, [597](#), [1197](#); Spain, [602](#), [1204](#); Hungary, [635](#); 1800–1914, [1146](#); Ireland, [1162](#), [1168](#); China, [1415](#), [1416](#), [1418](#); Korea, [1436](#); U.S., [1563](#), [1563](#); Canada, [1623](#).

Protestant Reformation

See [Reformation](#).

Protestants

[530](#), [588](#), [589](#), [609](#), [609](#), [609](#), [614](#), [615](#), [615](#), [615](#), [615](#), [616](#), [616](#), [617](#), [617](#), [617](#), [617](#), [618](#), [620](#), [621](#), [622](#), [624](#), [627](#), [627](#), [628](#), [635](#), [643](#), [646](#), [659](#), [682](#), [696](#), [711](#), [713](#), [736](#), [748](#), [781](#), [930](#), [1071](#), [1260](#), [2964](#); 1500–1800, [584](#); England persecution of, [588](#); Ireland, [591](#), [694](#), [695](#), [1051](#), [1051](#), [1051](#), [1168](#); persecution of, [598](#), [598](#); France, [598](#), [598](#), [599](#), [599](#), [599](#), [1014](#); Switzerland, [625](#), [626](#), [626](#), [748](#), [748](#), [748](#), [748](#), [748](#), [749](#), [749](#), [1094](#); Sweden, [628](#); England, [675](#); Hungary, [759](#); Poland, [780](#); China, [854](#); Africa, [890](#), [1522](#), [1522](#), [1536](#), [1536](#), [1538](#), [1543](#), [1550](#); North America, [929](#), [937](#); Portugal, [1207](#); Austria, [1239](#); fundamentalism, [2644](#); Latin America, [3465](#).

Protestant Union

[616](#), [616](#), [617](#), [617](#), [617](#), [617](#).

Protocol of the Eight Articles, Netherlands

[1053](#).

Protoliterate Period

[84](#).

Proudhon, Pierre-Joseph, reformer

[1035](#), [1061](#), [1178](#).

Proust, Joseph Louis, French scientist

[647](#).

Proust, Marcel, writer

[1146](#), [1816](#), [1903](#).

Prout, William, scientist

[1042](#).

Provence

[403](#), [406](#), [407](#), [410](#), [411](#), [411](#), [415](#), [449](#), [450](#), [477](#), [477](#), [479](#), [479](#), [505](#), [505](#), [520](#), [524](#), [533](#), [597](#), [602](#), [602](#), [608](#), [615](#), [1001](#).

Proverbs

[93](#).



Providence

[928](#).

Province Wellesley

[1410](#), [1411](#).

Provincial Committee of Correspondence, Virginia

[943](#).

Provincial Reform Law, Ottoman Empire

[1336](#).

Provincias Internas, Spanish America

[904](#).

Provisional Executive Council

[1003](#).

Provisions of Oxford, England

[445](#), [445](#), [512](#).

Prudentius, Aurelius Clemens, Latin poet

[260](#).

Prudhoe Bay

[3425](#).

Prunskiene, Kazimiera, Lithuanian leader

[3353](#), [3354](#).

Prusias I, king of Bithynia

[214](#).

Prussia

[458](#), [458](#), [460](#), [460](#), [460](#), [460](#), [460](#), [482](#), [485](#), [486](#), [487](#), [489](#), [548](#), [550](#), [550](#), [577](#), [578](#), [578](#), [578](#), [613](#), [620](#), [632](#), [648](#), [653](#), [657](#), [659](#), [659](#), [659](#), [660](#), [660](#), [660](#), [660](#), [660](#), [660](#), [661](#), [662](#), [662](#), [662](#), [662](#), [663](#), [663](#), [664](#), [664](#), [665](#), [666](#), [667](#), [667](#), [667](#), [667](#), [686](#), [704](#), [705](#), [752](#), [752](#), [753](#), [753](#), [754](#), [754](#), [754](#), [754](#), [754](#), [754](#), [754](#), [754](#), [755](#), [755](#), [755](#), [755](#), [755](#), [756](#), [757](#), [757](#), [758](#), [759](#), [759](#), [771](#), [777](#), [781](#), [781](#), [781](#), [782](#), [782](#), [782](#), [789](#), [789](#), [790](#), [955](#), [955](#), [956](#), [957](#), [985](#), [1003](#), [1003](#), [1005](#), [1008](#), [1023](#), [1024](#), [1024](#), [1025](#), [1026](#), [1026](#), [1029](#), [1030](#), [1030](#), [1030](#), [1030](#), [1030](#), [1032](#), [1033](#), [1033](#), [1045](#), [1071](#), [1071](#), [1071](#), [1071](#), [1071](#), [1071](#), [1072](#), [1072](#), [1072](#), [1072](#), [1072](#), [1077](#), [1094](#), [1096](#), [1096](#), [1096](#), [1097](#), [1097](#), [1097](#), [1098](#), [1100](#), [1100](#), [1100](#), [1100](#), [1100](#), [1100](#), [1100](#), [1100](#), [1100](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1102](#), [1103](#), [1171](#), [1216](#), [1231](#), [1232](#), [1232](#), [1232](#), [1232](#), [1232](#), [1232](#), [1233](#), [1234](#), [1234](#), [1234](#), [1235](#), [1235](#), [1235](#), [1237](#), [1237](#), [1251](#), [1267](#), [1268](#), [1268](#), [1312](#), [1317](#), [1739](#), [1739](#), [1739](#), [1980](#), [1984](#), [1984](#), [2984](#); revolt in, [550](#); and Africa, [875](#); and Franco-Prussian War, [1185](#), [1185](#); and Switzerland, [1227](#), [1229](#); and Austria, [1230](#), [1231](#), [1233](#), [1233](#); and Denmark, [1233](#); and France, [1234](#), [1234](#); and Poland, [1267](#), [1267](#), [1269](#), [1269](#); and Romania, [1317](#); WWI, [1740](#), [1794](#).

Prussian Academy

[755](#).

Prussian Union

[556](#), [1230](#), [1230](#).  
Pruth, treaty of the  
[659](#).  
Pruth River  
[440](#), [659](#), [793](#), [806](#).  
Przemysl, fortress of  
[1739](#), [1740](#), [1792](#), [1792](#), [1794](#), [1794](#).  
Przemyslav II, king of Poland  
[487](#).  
Psalms  
[104](#), [326](#), [800](#).  
Psammetichus, tyrant of Corinth  
[179](#), [179](#).  
Psammetichus I, Psamtek  
[95](#), [114](#), [177](#).  
Psammetichus III, king of Egypt  
[95](#), [124](#).  
Psamtek II, king of Egypt  
[99](#).  
Psellus, Michael, scholar  
[438](#), [500](#).  
Pskov  
[629](#), [629](#), [631](#), [1774](#), [2082](#).  
psychoanalysis  
[1144](#).  
psychology  
[1144](#), [1144](#), [1145](#).  
Ptah  
[90](#).  
Ptolemais  
[208](#).  
Ptolemies  
[208](#), [208](#), [210](#), [218](#), [218](#), [219](#), [233](#), [242](#).  
Ptolemy, general  
[70](#).  
Ptolemy, Macedonian general  
[209](#), [209](#), [209](#), [209](#), [209](#).  
Ptolemy, Roman scholar  
[246](#), [426](#), [471](#), [479](#), [571](#), [638](#), [639](#).  
Ptolemy I Soter, king of Egypt  
[70](#), [218](#).

Ptolemy II, king of Egypt

[210](#), [210](#), [213](#), [213](#).

Ptolemy II Philadelphus, king of Egypt

[218](#), [218](#), [218](#).

Ptolemy III, king of Egypt

[213](#), [218](#).

Ptolemy III Euergetes, king of Egypt

[218](#).

Ptolemy IV, king of Egypt

[208](#).

Ptolemy IV Philopator, king of Egypt

[218](#).

Ptolemy V Epiphanes, king of Egypt

[218](#), [218](#), [218](#).

Ptolemy VI Philometor, king of Egypt

[218](#).

Ptolemy VII Eurgetes II, king of Egypt

[218](#), [218](#), [218](#).

Ptolemy VIII Soter II, king of Egypt

[218](#).

Ptolemy IX Alexander I, king of Egypt

[218](#), [218](#).

Ptolemy X Alexander II, king of Egypt

[218](#).

Ptolemy XI Auletes, king of Egypt

[218](#).

Ptolemy XII, king of Egypt

[218](#).

Ptolemy XIII, king of Egypt

[218](#).

Ptolemy Ceraunus, king of Macedonia

[209](#).

Puaux, Gabriel, French leader

[2381](#), [3919](#).

public assistance

*See* [social reforms](#).

Public Debt Administration, Ottoman Empire

[1341](#).

public health

[294](#), [1142](#), [1548](#); Great Britain, [1161](#); U.S., [1594](#); Canada, [1635](#).

Public Health Act, Canada

[1635](#).  
Public Health Act, England  
[1155](#), [1161](#).  
Public Health Bill, England  
[1049](#).  
Public Land Act  
[1574](#).  
Public Order (Temporary Measures) Act, Canada  
[3455](#).  
Public Safety Act, Ireland  
[1869](#).  
Public Safety Law, Italy  
[1222](#).  
Public Schools Act, Australia  
[1494](#).  
Public Security Law, Peru  
[2262](#).  
Public Utility Holding Company Act, U.S.  
[2205](#).  
Publius (Lucius) Septimius (Antoninus) Geta  
*See* [Geta, Roman emperor](#).  
Puduhepa, Hittite queen  
[113](#).  
Puebla, Mexico  
[911](#), [912](#), [1691](#), [2295](#), [3474](#).  
Pueblo, U.S. intelligence ship  
[4205](#).  
Pueblo Indians  
[40](#), [904](#).  
Puerto Príncipe  
[895](#).  
Puerto Rican Socialist Party, PS  
[2308](#).  
Puerto Rico  
[572](#), [573](#), [895](#), [908](#), [908](#), [954](#), [1478](#), [1598](#), [1609](#), [1609](#), [1643](#), [1693](#), [1693](#), [1694](#), [2308](#),  
[2600](#), [2673](#), [3729](#), [3732](#), [3732](#); and U.S., [1694](#), [2208](#), [2308](#), [2309](#), [2309](#), [2309](#), [2309](#),  
[3396](#), [3729](#), [3729](#), [3729](#), [3730](#), [3730](#), [3731](#), [3731](#), [3731](#), [3732](#), [3732](#), [3732](#), [3732](#),  
[3732](#), [3732](#), [3733](#), [3733](#), [3733](#), [3734](#); WWI, [2308](#), [2309](#); Operation Bootstrap, [3729](#);  
Commonwealth of Puerto Rico, [3730](#).  
Pueyrredón, Juan Martín, Latin American leader  
[1644](#), [1647](#).

Pufendorf, Samuel von, German historian

[752](#).

Pugachev, Emelian I., Russian Cossack and royal impostor

[789](#), [789](#).

Pukou

[1424](#).

Pulakesin II, ruler of India

[326](#), [326](#).

Pulatov, Abdumannob

[3389](#).

Pulau Tujuh Islands

[837](#).

Pulcheria, empress

[265](#), [266](#).

Pulci, Luigi, poet

[536](#).

Pulguk Temple

[378](#).

Pulitzer Prize

[2191](#).

Pulkovo Observatory, St. Petersburg

[1258](#).

Pullman, George M., inventor

[989](#).

Pullman Company

[1605](#), [1615](#).

Pumacahua, Mateo, Latin American leader

[913](#), [1649](#).

Pumarejo, Alfonso López, Colombian leader

[2268](#).

Pu'mayton, king of Tyre

[109](#), [110](#).

Punic Wars

[220](#), [229](#), [229](#), [230](#), [230](#), [231](#), [234](#).

Punjab




[129](#), [129](#), [129](#), [130](#), [130](#), [130](#), [217](#), [302](#), [324](#), [324](#), [324](#), [324](#), [324](#), [325](#), [331](#), [331](#), [334](#), [835](#),  
[1355](#), [1355](#), [1395](#), [1396](#), [1396](#), [1397](#), [1397](#), [1398](#), [2433](#), [2435](#), [2644](#), [2679](#), [3953](#),  
[3960](#), [3977](#), [3978](#), [3978](#), [3978](#), [3979](#), [3984](#), [3990](#), [4011](#).

Punjab Accord

[3978](#).

Punt

[91](#), [96](#), [98](#), [98](#).  
Punta del Este, Uruguay  
[3469](#), [3470](#), [3471](#).  
Pupienus, Marcus Clodius  
*See* [Pupienus Maximus, Roman emperor](#).  
Pupienus Maximus, Roman emperor  
[257](#).  
Pupin, M. I., physicist  
[990](#).  
Puranas  
[132](#), [133](#).  
Pure Food and Drug Act, U.S.  
[1615](#).  
Pure Land Buddhism  
[370](#), [373](#), [378](#), [387](#), [395](#).  
Puri  
[327](#), [337](#).  
Purified Nationalist Party, South Africa  
[2579](#), [2580](#), [2580](#).  
Puritan Commonwealth  
[927](#).  
Puritans  
[577](#), [588](#), [589](#), [589](#), [591](#), [594](#); English Civil War, [592](#); Africa, [892](#); New England, [927](#),  
[927](#), [933](#), [934](#), [934](#).  
Purvey, John, religious leader  
[513](#).  
Pusan, Korea  
[1430](#), [2486](#), [4190](#), [4194](#), [4209](#).  
Pushkin, Alexander, writer  
[1256](#), [1257](#).  
Pushyamitra  
[129](#).  
Pustovoitenko, Valery, Ukrainian leader  
[3385](#).  
Putin, Vladimir, Russian leader  
[2754](#), [3370](#), [3370](#), [3371](#), [3371](#), [3371](#), [4222](#).  
Putman Act, U.S.  
[2478](#).  
Putna, battle of  
[1776](#).  
Putnam, Israel, American commander

[948](#).  
Putney Debates, England  
[668](#).  
Putumayo  
[1670](#).  
Puycerda  
[653](#).  
Puyi, Chinese emperor  
[1424](#), [1425](#), [1426](#).  
Puyi, Henry, Chinese emperor  
[2462](#), [2473](#).  
Puy   
[160](#), [160](#).  
Puzur-Ashur I, king of Ashur  
[85](#).  
Puzur-Ashur III, king of Assyria  
[86](#).  
Pydna  
[203](#), [203](#), [211](#).  
Pygmalion  
*See [Pu'mayton, king of Tyre](#).*  
Pylos  
[171](#), [171](#), [171](#), [196](#), [198](#).  
Pym, John, English member of Parliament  
[590](#), [590](#), [591](#).  
P'y ngyang  
[160](#), [160](#), [161](#), [161](#), [1430](#), [2493](#), [2698](#), [4190](#), [4192](#), [4218](#), [4218](#), [4222](#).  
Py nhan  
[160](#).  
Pyramid of the Sun, Teotihuacán  
[55](#).  
pyramids  
[91](#).  
battle of the Pyramids  
[810](#), [1010](#).  
Pyramid Texts  
[91](#).  
Pyrenees  
[228](#), [290](#), [403](#), [404](#), [407](#), [407](#), [410](#), [410](#), [418](#), [419](#), [449](#), [477](#), [479](#).  
Pyrenees, treaty of the

[575](#), [604](#), [648](#), [648](#), [711](#), [718](#).

Pyrrhic victory

[227](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 63

Pyrrhic War

[229](#).

Pyrrhus, king of Epirus

[209](#), [218](#), [220](#), [227](#), [227](#).

Pyrrhus of Epirus

[210](#).

Pythagoras, Greek philosopher and mathematician

[185](#), [300](#).

Pythagorean numbers

[83](#).

Pythagoreans

[185](#), [190](#).

Pytheas, geographer

[426](#).

## Q

Qabus, sultan of Oman

[3897](#).

Qaddafi, Muammar al-, Libyan leader

[2696](#), [2756](#), [3785](#), [3947](#), [3948](#), [3948](#).

Qadesh

[93](#), [93](#), [100](#), [113](#).

Qadiriyya, Sufi order

[300](#), [303](#), [1382](#).

Qadisiyya

[275](#), [287](#).

Qafzeh Cave, Israel

[25](#).

Sha`bi, Qahtan al-, Yemenite leader

3892, 3893.  
Qainu, king of Qedar  
127.  
Qajar dynasty  
817, 818, 818, 819, 953, 1349, 1349, 1349, 1349, 1349, 1349, 1349, 1349, 1349, 1349, 1349,  
1349, 1350, 1350, 1351, 1351, 1351, 1351, 1351, 1351, 1351, 1353, 2338.  
Qalat Sharquat  
*See* Ashur.  
Qandahar  
813, 813, 816, 816, 817, 819, 819, 819, 819, 819, 819, 819, 1354, 1354, 1355.  
Qarabagh  
1349.  
Qaramanli dynasty  
828, 1392, 1393.  
Qara-Qoyunlu (Black Sheep) confederation  
307, 307, 307, 307, 307, 308.  
Qara Uthman, Aq-Qoyunlu leader  
307.  
Qarawiyin Council of Learning  
2418.  
Qarawiyyin religious college  
1376.  
Qara Yusuf, Qara-Qoyunlu leader  
307.  
Qarmati (Qaramita) movement  
296, 297, 317, 321.  
Qarqar  
106.  
Qart Hadasht  
*See* Kition.  
Qart-Hadasht  
*See* Carthage.  
Qasbah  
3926.  
Qashqais  
2338.  
Qasim, Abd al-Karim, Iraqi leader  
3879, 3879, 3880, 3881.  
Qasim, Zaydi imam of Yemen  
799.  
Qasim Amin, Egyptian reformer

1373, 2351.  
Qasimiyya, political faction in Egypt  
802, 806.  
Qassasa  
323.  
Qataban  
128.  
Qatar  
1358, 1360, 2636, 2673, 3772, 3776, 3896, 3896, 3898, 3898, 3899; and Great Britain, 2408, 3897; and U.S., 3899.  
Qatif  
794.  
Qatna  
100, 103.  
Qavam, Ahmad, Iranian leader  
3814.  
Qayitbey, Mamluk leader  
320.  
Qayrawan  
289, 292, 292, 297, 321, 323, 1390.  
Qays  
289.  
Qazi Muhammad, Kurdish leader  
3814.  
Qazvin  
287, 297, 813, 814.  
Qedar, Duma  
125, 127.  
Qi, Shandong  
138, 139, 139, 139, 139, 140, 147, 151, 153.  
Qian Daxin, Chinese scholar  
854.  
Qianlong reign  
853, 854, 854, 1415.  
Qian Xuan, painter  
375.  
Qi Kang, Chinese cult leader  
158.  
Qin dynasty  
72, 138, 138, 139, 139, 139, 139, 139, 140, 140, 140, 140, 140, 149, 150, 153, 153, 153, 153, 153, 153, 153, 153, 153, 156, 156, 156, 156, 156, 156, 156, 160, 367,



Qualification Act, England

[683](#).

Quang-trung reign

[863](#), [863](#).

Quant, Mary, designer

[2776](#).

quantitative atomic theory

[1041](#).

quantum mechanics

[1729](#).

Quanzhou

[373](#), [375](#).

Quaqua, Philip, Gold Coast Anglican deacon

[877](#).

Quartering Act, England

[941](#), [942](#), [944](#).

quartz wristwatch

[2704](#).

Quatre Bras, battle of

[1033](#).

Quayle, Dan, U.S. leader

[3428](#).

Quebec

[659](#), [920](#), [920](#), [921](#), [921](#), [940](#), [940](#), [947](#), [1622](#), [1626](#), [1627](#), [1634](#), [1635](#), [1639](#), [1699](#),  
[2219](#), [2220](#), [2644](#), [2664](#), [2683](#), [2688](#), [2867](#), [3443](#), [3449](#), [3450](#), [3452](#), [3452](#), [3453](#),  
[3453](#), [3454](#), [3455](#), [3455](#), [3455](#), [3456](#), [3456](#), [3457](#), [3460](#), [3462](#), [3462](#), [3463](#), [3463](#);  
convention and resolutions on confederation, [1630](#); Conference, [2214](#), [2608](#).

Quebec Act, England

[944](#), [952](#).

Quebec Board of Health

[1635](#).

Quedlinburg

[415](#).

Queen Anne's Bounty, England

[682](#).

Queen Anne's War

[934](#), [939](#).

Queen's House, Greenwich

[594](#).

Queensland

[1477](#), [1478](#), [1492](#), [1493](#), [1494](#), [1494](#), [1494](#), [1494](#), [1495](#), [1497](#), [1497](#), [1497](#), [1497](#), [1497](#), [4310](#).

Queen's Medical School, Kingston  
[1635](#).

Queenston Heights  
[1623](#), [1623](#).

Quemoy  
[4150](#), [4150](#), [4150](#), [4150](#), [4151](#), [4181](#), [4183](#).

Querétaro  
[903](#), [1691](#), [2294](#).

Quesnay, François, French economist  
[645](#), [717](#).

Quetelet, Adolphe, scientist  
[1040](#), [1147](#).

Quetta  
[1397](#).

Quetzalcoatl, cult of  
[570](#).

Queuille, Henri, French leader  
[2842](#), [2843](#), [2844](#), [2845](#), [2845](#).

Quexos, Pedro de, explorer  
[574](#).

Quezon, Manuel, Philippine leader  
[1486](#), [2534](#), [2534](#), [2534](#), [2535](#), [2535](#), [2535](#), [2535](#), [2536](#), [2536](#).

Quiché  
[570](#), [902](#).

Quiche Province  
[3656](#).

Quillota, battle of  
[1662](#).

Quiñonez Molina, Alfonso, Latin American leader  
[1682](#).

Quintamilla, Carlos, Bolivian leader  
[2256](#).

Quintana, Manuel, Latin American leader  
[1661](#).

Quintilian, Marcus Fabius Quintilianus  
[246](#).

Quintillus, Roman emperor  
[257](#), [258](#).

Quintillus, Marcus Aurelius Claudius  
*See* [Quintillus, Roman emperor](#).

Quintuple Alliance

[1045](#).  
Quirinal Hill  
[224](#).  
Quirino, Elpidio, Philippine leader  
[4291](#), [4291](#).  
Quiroga, Facundo, Latin American leader  
[1658](#).  
Quisling, Vidkun, Norwegian Nazi leader  
[2047](#), [3054](#).  
Quito  
[897](#), [898](#), [898](#), [909](#), [909](#), [909](#), [912](#), [1650](#), [1650](#), [1651](#), [1652](#), [1671](#), [1671](#), [1671](#), [1671](#),  
[1672](#), [3572](#), [3573](#).  
Quiwonkpa, Thomas, Liberian leader  
[4355](#).  
Quli Khan, Shi'ite imam  
[815](#).  
Qum  
[292](#), [297](#).  
Qu Qiubai, Chinese leader  
[2463](#), [2465](#), [2469](#), [2470](#).  
Qur'an  
[285](#), [286](#), [286](#), [286](#), [286](#), [288](#), [288](#), [290](#), [293](#), [293](#), [293](#), [294](#), [295](#), [296](#), [297](#), [300](#), [320](#),  
[351](#), [1384](#), [1395](#).  
Quraysh  
[286](#), [286](#), [287](#), [287](#), [288](#), [288](#), [289](#).  
Qutb, Sayyid, Muslim intellectual  
[3910](#).  
Qutb al-Din Shirazi, astronomer  
[305](#).

## R

Ra  
[90](#), [90](#), [91](#).  
Raab, Julius, Austrian leader  
[3030](#), [3031](#), [3032](#), [3033](#), [3034](#).  
Rabat, Egypt  
[823](#), [1378](#), [3924](#), [3925](#).  
Rabaul  
[2627](#).  
Rabb, T. K., historian

624.  
Rabbani, Burhanuddin, Afghan leader  
3834, 3834, 3834.  
Rabban Sauna, Nestorian official  
375.  
Rabbinical Courts Jurisdiction Law, Israel  
3858.  
Rabelais, François, French writer  
600.  
Rabi'a al-Adawiyya, mystic  
293.  
Rabin, Yitzhak (Itzhak), Israeli leader  
3116, 3860, 3862, 3863, 3864, 3875.  
Rabuka, Sitiveni, Fijian leader  
4285, 4285.  
Racan, Ivica, Croatian leader  
3192.  
Racconigi agreement, Russian-Italian  
1133.  
race  
584, 584, 1706, 2187, 2187, 2499, 2538, 2643, 2648, 2672, 2700, 2790, 2872, 2876,  
3022, 3023, 3023, 3038, 3158, 3390, 3392, 3392, 3400, 3409, 3411, 3413, 3414,  
3415, 3415, 3421, 3427, 3429, 3434, 3435, 3436, 3436, 3443, 3454, 3618, 3630,  
3743, 3758, 3758, 4109, 4286, 4320, 4364; U.S., 1616, 2190, 2199, 2199, 2210, 2214,  
2214; Canada, 2217; Haiti, 2315, 2316. See African Americans; civil rights.  
Race Relations Act, Great Britain  
2780.  
Radagaisus, Germanic chieftain  
265, 403.  
Radama I, African leader  
1561, 1561, 1561, 1561, 1561.  
Radama II, African leader  
1562.  
radar  
9, 1736.  
Radek, Karl, Russian leader  
2064, 2072, 2077.  
Radetzky, Josef, Austrian general  
1092, 1092, 1092, 1092, 1092.  
Radfan, South Yemen  
3892.



Radhakanta Deb, Hindu reformer  
[1394](#).

Radiation Laboratory, Cambridge  
[1736](#).

Radical Civil Union Party, Argentina  
[3505](#).

radicalism  
[1047](#); 1800–1914, [999](#); Great Britain, [1046](#); Spain, [1062](#); Switzerland, [1094](#), [1229](#);  
Germany, [1098](#); France, [1187](#), [1188](#), [1192](#); Italy, [1222](#); Russia, [1260](#), [1260](#), [1265](#);  
Serbia, [1288](#), [1289](#), [1291](#); New Zealand, [1504](#); U.S., [1618](#); rural, [2578](#).

Radical Party, Argentina  
[3495](#).

Radicals, Switzerland  
[1229](#).

Radical Socialist Party, France  
[1198](#), [1905](#), [1910](#), [1911](#), [1912](#), [1914](#).

Radich, Stephen, Croat leader  
[2130](#), [2130](#).

radio  
[1262](#), [1736](#), [1736](#), [1816](#), [1816](#), [2317](#), [2641](#), [3414](#), [3768](#); public broadcasting station,  
[1840](#); U.S., [2191](#); first general broadcast, [2191](#); Iran, [2344](#); Afghanistan, [2347](#);  
Palestine, [2391](#); Australia, [2546](#); Egypt, [3905](#); Africa, [4320](#), [4325](#). *See*  
[communications](#).

radioactivity  
[1149](#), [1149](#).

radio astronomy  
[1730](#).

radiocarbon dating  
[6](#), [6](#), [6](#), [7](#), [35](#).

Radiotelegraph Convention  
[1698](#).

Radishchev, Alexander, Russian writer  
[789](#).

Radisic, Zivko, Bosnian leader  
[3189](#).

Radisson, Pierre Esprit, French explorer  
[921](#).

Radom  
[555](#), [632](#).

Radomir, Gabriel, Romanus  
[441](#), [496](#).

Radoslavov, Vasil, Bulgarian leader

[1309](#).

Radowitz, Joseph Maria von, Prussian leader

[1230](#).

Radzyn, treaty of, Bahchesaray

[784](#), [804](#).

Raetia

[243](#), [245](#), [254](#), [257](#), [258](#), [403](#).

Rafah

[1751](#).

Raffael Santi

*See* [Raphael \(Raffael Santi\), Italian artist](#).

Raffles, Stamford

[1410](#), [1412](#).

Rafsanjani, Ali Akbar Hashimi, Iranian leader

[3826](#), [3827](#).

Raghoba, would-be peshwa of Maratha

[835](#).

Raghuvamsa

[131](#).

Ragusa

[498](#), [502](#), [562](#), [562](#), [563](#).

Rahman, Azizur, Bangladeshi leader

[4022](#).

Rahman, Mujibur

[2668](#), [4001](#), [4002](#), [4003](#), [4003](#), [4003](#), [4003](#), [4016](#), [4017](#), [4018](#), [4019](#), [4019](#), [4023](#).

Rahman, Ziaur, Zia

[4003](#), [4019](#), [4020](#), [4021](#), [4022](#), [4023](#).

Rahmaniyya Sufi order

[829](#), [1383](#), [1383](#), [1390](#).

RAI, Italy

[2932](#).

railroads

[956](#), [961](#), [968](#), [987](#), [989](#), [989](#), [989](#), [989](#), [991](#), [1062](#), [1073](#), [1096](#), [1119](#), [1124](#), [1132](#), [1219](#), [1229](#), [2317](#), [2704](#), [2844](#); Middle East, [970](#), [1337](#), [1337](#), [1346](#), [1347](#); U.S., [987](#), [1574](#), [1575](#), [1580](#), [1580](#), [1581](#), [1587](#), [1596](#), [1597](#), [1601](#), [1602](#), [1605](#), [1614](#), [1614](#), [2191](#), [2191](#), [2201](#), [3396](#); Belgium, [1056](#); France, [1061](#), [1178](#), [1198](#); Italy, [1223](#); Switzerland, [1226](#); Russia, [1258](#), [1259](#), [1261](#), [1261](#); Poland, [1268](#); Serbia, [1289](#); Montenegro, [1297](#); Bulgaria, [1301](#), [1304](#); Romania, [1317](#), [1317](#); Iran, [1351](#); Egypt, [1368](#); Morocco, [1378](#); Algeria, [1382](#); Tunisia, [1390](#); India, [1397](#); China, [1420](#), [1422](#), [1423](#), [1424](#); Japan, [1450](#), [1464](#); Australia, [1490](#), [1492](#), [1495](#), [2538](#); New Zealand,

[1503](#); Africa, [1521](#), [1534](#), [1537](#), [1548](#), [1556](#), [1557](#), [2558](#), [2558](#), [2561](#); Canada, [1625](#), [1629](#), [1629](#), [1631](#), [1632](#), [1634](#), [1635](#), [1638](#), [1640](#), [1641](#), [2229](#); Latin America, [1666](#), [1669](#), [1671](#), [1678](#); high-speed passenger, [2704](#); TGV, [2872](#), [2877](#). See [transportation](#).

Railway Act, France

[1061](#).

Railway Labor Board, U.S.

[2193](#).

Railway Pension Act, U.S.

[2203](#).

Rainbow Coalition, U.S.

[3390](#), [3428](#).

Rainier, archduke

[1066](#).

Rainilaiarivny, African leader

[1562](#).

Raisuli, Ahmed ibn-Muhammed, Berber leader

[2418](#), [2418](#), [2418](#), [2418](#).

Rajadhiraja I, ruler of India

[336](#).

Rajagriha

[129](#).

Rajai, Muhammad Ali, Iranian leader

[3822](#).

Raja Kecil, ruler of Siak

[837](#), [837](#).

Rajaraja I, ruler of India

[328](#), [336](#).

Rajarajesvara

[336](#).

Rajasthan

[324](#).

Rajendra, ruler of India

[336](#).

Rajendra Choladeva, ruler of India

[336](#), [338](#).

Rajendravarman, king of Angkor

[340](#).

Rajk, László, Hungarian leader

[3144](#), [3147](#).

Rajputana

[324](#), [325](#), [325](#).

Rajputs  
[325](#), [325](#), [333](#), [334](#), [578](#), [830](#), [831](#), [832](#), [834](#), [835](#).

Rakai District, Uganda  
[4320](#).

Rakhmonov, Imamali, Tajik leader  
[3375](#), [3376](#).

Rakkhi Bahini, Bangladesh  
[4017](#).

Rákóczi, Francis II, Hungarian leader  
[758](#), [758](#).

Rákóczi, George I, prince of Transylvania  
[622](#), [636](#).

Rákosi, Mátyás, Hungarian leader  
[3143](#), [3146](#), [3146](#), [3147](#), [3147](#), [3150](#).

Rakovski, George, Bulgarian leader  
[1299](#).

Rakowski, Mieczyslaw, Polish leader  
[3109](#), [3110](#).

Raleigh, Walter  
[594](#), [594](#), [924](#).

Ralliement, France  
[1195](#).

Rallis, George, Greek leader  
[3225](#).

Rally of the Republicans, RDR  
[4353](#).

Ram, Indian god  
[3977](#).

Rama, Indian hero  
[129](#), [129](#), [580](#).

Ramadan  
[286](#).

Ramadier, Paul, French leader  
[2841](#), [2841](#).

Ramaema, Elias Phitsoome, Lesotho leader  
[4473](#).

Rama I, king of Siam  
[848](#), [1405](#).

Rama II, king of Siam  
[1405](#).

Rama III, king of Siam

[1405](#).  
Rama IV, king of Siam  
[1405](#).  
Rama V, king of Siam  
[1405](#), [1405](#), [1407](#).  
Rama VI, king of Siam  
[1408](#), [1408](#).  
Rama VII, Prajadhipok  
[2451](#), [2451](#), [2451](#), [2451](#), [2452](#), [2452](#), [2452](#).  
Rama IX, Phumiphol Adulyadet  
[4064](#), [4065](#), [4065](#), [4067](#), [4072](#).  
Ramakrishna, Sri, Hindu mystic  
[1398](#).  
Ramakrishna Mission  
[1701](#).  
Ramallah  
[2391](#).  
Ramanatsoa, Gabriel, Madagascan leader  
[4492](#).  
Ramanuja of Kanchi, theologian  
[283](#), [327](#), [337](#).  
Rama Tiboti, ruler of Siam  
[342](#).  
Ramayana  
[129](#).  
Ramdas, Hindu poet  
[833](#).  
Ramek, Rudolf, Austrian leader  
[2002](#), [2003](#).  
Rametta, battle of  
[498](#).  
Ramillies  
[658](#).  
Ramírez, Pedro P., Argentine leader  
[2243](#).  
Ramirez Durand, Oscar, Peruvian leader  
[3565](#).  
Ramiro I, king of Aragon  
[478](#), [479](#), [479](#).  
Ramkamhaeng, ruler of Siam  
[342](#).

Ramos, Fidel, Philippine leader  
[4293](#), [4293](#), [4294](#).

Ramsay, William, chemist  
[1149](#).

Ramses I, king of Egypt  
[93](#).

Ramses II, the Great  
[93](#), [98](#), [113](#).

Ramses III, king of Egypt  
[93](#), [98](#).

Ramses IV, king of Egypt  
[93](#).

Ramses V, king of Egypt  
[93](#).

Ramses VI, king of Egypt  
[93](#).

Ramses VII, king of Egypt  
[93](#).

Ramses VIII, king of Egypt  
[93](#).

Ramses IX, king of Egypt  
[93](#).

Ramses X, king of Egypt  
[93](#).

Ramses XI, king of Egypt  
[93](#), [93](#), [98](#).

Ramsey, Arthur M.  
[2777](#).

Ranariddeh, Norodom  
[4089](#), [4091](#), [4091](#).

Rana Sanga, Rajput chief  
[830](#).

Ranavalona, African queen  
[1561](#), [1562](#), [1562](#).

Rancagua, battle of  
[1648](#).

Rand, South Africa  
[1558](#), [2574](#), [2577](#), [4481](#).

Randall, J. T., radar researcher  
[1736](#).

Randolph, A. Philip, U.S. activist

[2188](#).  
Randolph, Edward, English colonial agent  
[933](#).  
Rangoon  
[1402](#), [1402](#), [2448](#), [2449](#), [2522](#), [2627](#), [4056](#), [4056](#), [4057](#), [4059](#), [4063](#).  
Rangoon, University of  
[2448](#).  
Rangpur  
[3971](#).  
Rani Sipari mosque  
[334](#).  
Ranjit Singh, Sikh leader  
[1354](#), [1394](#), [1396](#).  
Ranke, Leopold von, historian  
[1036](#), [1284](#).  
Rankine, William M. J., engineer  
[981](#).  
Rankovic, Aleksander, Yugoslavian leader  
[3173](#).  
Ranquel Indians  
[1660](#).  
Ransome, E. L., construction engineer  
[984](#).  
Rao, P. V. Narasimha, Indian leader  
[3984](#).  
Rao Shushi, Chinese leader  
[4146](#).  
Rapallo, treaties of  
[1710](#), [1817](#), [1818](#), [1821](#), [1821](#), [1943](#), [2069](#).  
Raphael, Raffael Santi  
[607](#), [609](#).  
Raphia  
[87](#), [214](#), [218](#).  
Rapidan River  
[1589](#).  
Rasap  
[101](#).  
Rasate, Vladimir  
[440](#).  
Rascia  
*See* [Serbia](#).

Raska

*See* [Serbia](#).

Rashid, Sheik, ruler of Dubayy

[3899](#).

Rashid al-Din, Ilkhanid leader

[305](#), [305](#), [306](#).

Rashid Ali al-Gaylani, Iraqi leader

[2406](#), [2406](#), [2591](#), [2612](#), [2614](#).

Rashid ibn Mughamis, Arab chieftain

[794](#).

Rashidi dynasty

[1359](#), [1362](#), [1362](#).

Rashid Ridahas, Muslim teacher

[320](#), [2365](#).

Rashidun caliphs

[287](#), [288](#), [288](#), [289](#).

Rashmon

[2520](#).

Rasht

[815](#).

Rashtrakuta dynasty

[133](#), [326](#), [327](#), [327](#), [327](#), [327](#), [327](#), [327](#).

Rasmussen, Poul Nyrup, Danish leader

[3051](#), [3052](#).

Rasputin, Gregory, Russian holy man and court favorite

[1266](#), [2062](#), [2063](#).

Rassemblement Démocratique Africain, French West Africa

[4324](#).

Rassemblement du Peuple Français, RPF

[2841](#).

Rassemblement du Peuple Togolais, RPT

[4386](#), [4386](#).

Rassemblement Walloon, Belgium

[2822](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

[PREVIOUS](#)

[NEXT](#)





PREVIOUS

NEXT



CONTENTS · SUBJECT INDEX · BIBLIOGRAPHIC RECORD

The Encyclopedia of World History. 2001.

## Subject Index

### Page 64

Ras Shamra

*See* Ugarit .

Ras Tafari

*See* Haile Selassie I (Ras Tafari), emperor of Ethiopia .

Rastatt

659 , 659 , 722 , 1009 .

Rastislav, prince of Moravia

483 , 483 , 483 .

Ratana, Tahupotiki Wiremu, Maori prophet

2551 .

Ratana Church, New Zealand

2551 .

Ratana Party

2551 .

Ratchaburi, Thailand

4063 .

Rathenau, Walther, German leader

1977 .

Ratisbon, treaty of, Regensburg

719 .

Ratsiraka, Didier, Madagascan leader

4492 , 4492 , 4492 .

Ratu Seru Cakobau, Fijian leader

1477 .

Ratushinskaya, Irina, poet

3301 .

Ratzinger, Joseph Cardinal, Church leader

2964 .

Ravahiny, queen of Iboina

893 .  
Ravillac, François, assassin  
599 .  
Ravenna  
266 , 269 , 270 , 406 , 406 , 406 , 408 , 408 , 408 , 408 , 410 , 428 , 431 , 432 , 458 , 473 , 597 ,  
607 .  
Rawalpindi  
2346 , 3995 .  
Rawlings, Jerry, Ghanaian leader  
4344 , 4344 , 4344 .  
Rawwadids  
300 .  
Ray, John, botanist  
641 .  
Ray, Satyajit, film director  
1707 .  
Rayleigh, 3rd baron, John W. Strutt, physicist  
1149 .  
Raymond, count of Toulouse  
479 , 505 , 505 .  
Raymond IV, count of Toulouse  
451 .  
Raymond of Antioch  
502 , 502 .  
Rayy  
287 , 292 , 297 , 300 , 300 , 301 .  
Razan, Hayashi, Japanese scholar  
859 .  
Razin, Stephen, Don Cossack leader  
784 .  
razors  
986 .  
RCA, Radio Corporation of America  
1736 .  
Reading, lord, Rufus Daniels Isaacs, viceroy of India  
2435 .  
Reagan, Ronald, U.S. president  
2678 , 2682 , 2683 , 2684 , 3390 , 3390 , 3426 , 3427 , 3427 , 3427 , 3428 , 3428 , 3644 , 3644 ,  
3668 , 3679 , 3679 , 3680 , 3682 , 3742 , 3748 , 3748 , 3764 , 4211 , 4241 .  
Reaganomics  
3390 , 3390 , 3427 .

Realejo  
911 .

realism  
1146 , 1146 , 1247 , 1252 , 1258 ; in literature, 1600 .

reaper  
987 , 1576 .

rearmament  
2018 ; Sweden, 2049 ; Russia, 2074 ; Bulgaria, 2170 ; U.S., 2208 , 2209 , 2212 ; Germany, 2714 , 2992 .

Reate  
251 .

Rebellion Losses Bill, Canada  
1628 , 1629 .

Rebellion of the Three Feudatories  
852 .

rebellions  
*See* revolutions .

Rebel United Front, RUF  
2698 , 4360 .

Recabarren, Luis Emilio, Latin American leader  
1664 .

Reccared, Visigoth king  
418 .

Recife  
914 , 915 , 916 .

Reciprocal Tariff Act, U.S.  
2204 .

reciprocal trade agreement, U.S.  
2231 .

reciprocity agreement  
1639 .

Recknitz River  
416 .

Recollect (Recollet) friars, religious order  
867 , 921 .

Reconquest, Reconquista  
281 , 869 ; in Spain, 281 , 420 , 475 , 476 , 476 , 476 , 476 , 476 , 476 , 477 , 479 , 525 , 525 , 525 , 525 ; in Portugal, 480 .

Reconstruction, U.S.  
1563 , 1563 , 1563 , 1591 , 1594 , 1596 , 1598 , 1598 .

Reconstruction Finance Corporation, U.S.

2200 , 2214 .  
Recovery Act of 1933, U.S.  
2203 .  
Recruit Company  
4241 .  
recruitment  
2554 .  
Rectification Campaign, China  
2483 .  
recusancy laws, England  
589 .  
Red Army, China  
4156 , 4161 .  
Red Army, Russia  
2012 , 2021 , 2035 , 2067 , 2084 , 2101 , 2126 , 3007 .  
Red Brigade, Italy  
2943 .  
Red Crescent Society  
*See* International Federation of Red Cross and Red Crescent Societies .  
Red Cross Society  
*See* International Federation of Red Cross and Red Crescent Societies .  
Reddy, Neelim Sanjiva  
3974 , 3976 .  
Red Eyebrows, Chinese rebel band  
155 .  
Red Guards, China  
4156 , 4156 , 4157 , 4157 , 4158 , 4158 , 4159 .  
Red Guards, Russia  
2065 .  
Red Hand, Tunisia  
3940 .  
Redi, Francesco, scientist  
642 .  
Redistribution Bill, Canada  
2224 .  
Redistribution Bill, England  
1162 .  
Red Line Agreement  
1717 .  
Redmond, John E., Irish leader  
1170 , 1860 .

Red River, Tonkin  
397 , 397 , 398 , 1473 , 1474 , 1474 , 1623 , 2524 .

Red River Rebellion, Canada  
1630 .

Red Russia  
667 .

Reds, Polish nationalists  
1268 .

Red scare of 1919–20  
1703 .

Red Sea  
43 , 45 , 48 , 51 , 89 , 90 , 92 , 96 , 104 , 218 , 281 , 317 , 337 , 343 , 346 , 346 , 351 , 351 , 360 ,  
505 , 795 , 840 , 841 , 869 , 880 , 956 , 1219 , 1220 , 1225 , 1366 , 1369 , 1370 , 1506 , 1509 ,  
1523 , 1835 , 2676 .

Red Sea Coast  
360 .

Red Square  
3275 , 3300 .

Red Summer of 1919  
2190 .

Reeb, James J., civil rights activist  
3411 .

Rees  
652 .

Reeves, Paul, New Zealand leader  
4317 .

Reeves, William Pember, New Zealand leader  
1504 .

Reformation  
513 , 514 , 532 , 532 , 580 , 584 , 586 , 594 , 604 , 609 , 609 , 609 , 609 , 609 , 613 , 614 , 615 ,  
615 , 616 , 616 , 628 , 632 , 633 ; England, 586 , 589 ; Switzerland, 625 , 625 , 625 , 625 .

Reformation Parliament, England  
586 .

Reform Bills, England  
1047 , 1047 , 1051 , 1157 , 1159 , 1159 , 1162 .

Reformed Church, Calvinists  
597 .

Reformers' Government, Denmark  
1253 .

reformism  
1223 , 1223 .

Reform Party, Korea  
1431 .

Reform Party, New Zealand  
1505 , 2551 .

Reform Party, PR  
3740 .

Reform Society of Frankfurt  
1072 .

Reformverein, Reform Union  
1232 .

refrigerating devices  
986 , 987 .

Refugee Commission  
1345 .

Refugee Law, Ottoman Empire  
1334 .

Rega, José Lopez, Argentine leader  
3491 .

Regalado, Tomás, Latin American leader  
1682 .

Regency Council, Tuscany  
744 .

Regeneración, Colombia  
2267 .

Regenerators, Portugal  
1207 .

Regensburg, Ratisbon  
505 , 619 , 620 , 653 , 719 .

Reggio  
1224 .

Regie, French system of taxation  
755 .

Regina v. Druitt, England  
1160 .

Regional Confederation of Mexican Labor, CROM  
2295 , 2298 .

Regional Development Bank  
3759 .

regional institutions  
1699 , 1699 .

Regis, John Baptiste, French geographer in China

854 .  
Reglamento Constitucional, Chile  
1648 .  
Reglamento Provisorio  
1647 .  
Regulating Act, British India  
835 , 835 .  
Regulation for Public Education, Ottoman Empire  
1339 .  
Regulus, Marcus Atilius, Roman general  
230 , 230 .  
Rehe, Jehol  
853 , 2473 , 2474 , 2513 .  
Rehoboam, king of Israel  
104 , 105 .  
Rehovot  
2391 .  
Reichenbach  
753 , 1030 .  
Reichsbank  
1713 , 1823 , 1991 , 1992 .  
Reichschancellery  
2621 .  
Reichsdeputations-hauptschluss  
1017 .  
Reichskammergericht, Germany  
613 .  
Reichsrat, Austria  
1238 , 1239 , 1239 , 1241 .  
Reichsrat, Denmark  
548 .  
Reichsrat, Germany  
1974 , 1986 , 1986 , 1997 .  
Reichstadt Agreement  
1106 , 1107 .  
Reichstag, Austria  
1090 .  
Reichstag, Germany  
459 , 972 , 1103 , 1123 , 1234 , 1235 , 1235 , 1237 , 1237 , 1237 , 1237 , 1703 , 1713 , 1974 ,  
1975 , 1979 , 1979 , 1982 , 1983 , 1983 , 1984 , 1984 , 1984 , 1986 , 1986 , 1986 , 1987 , 1988 ,  
1992 ; fire, 1986 .

Reid, George H., Australian leader  
1497 , 1497 , 1497 , 1498 .

Reid, Robert Gillespie, Canadian financier  
1641 .

Reign of Terror, France  
1005 , 1006 , 1007 , 1035 , 1035 .

Reims  
404 , 409 , 414 , 449 , 515 , 522 , 524 , 1003 , 1789 , 1791 , 1812 , 2621 , 2758 , 2982 ; cathedral,  
452 .

Reina, Carlos Roberto, Honduran leader  
3699 , 3699 .

Reina Barrios, José María, Latin American leader  
1681 .

Reinsurance Treaty, Germany and Russia  
1114 , 1116 , 1117 , 1235 , 1235 , 1236 .

Reis, Philip, physicist  
990 .

Reischauer, Edwin O., U.S. diplomat  
4235 .

Reis Haydar  
*See* Nigari, Ottoman artist .

Rejaf  
1525 .

Rej of Naglowice, Nicholas, Polish poet  
633 .

Relander, Lauri, Finnish leader  
2055 .

relative dating  
4 .

relativity theories  
1149 .

Relief Act, Ireland  
701 .

religion  
77 , 78 , 78 , 78 , 79 , 80 , 80 , 80 , 83 , 88 , 90 , 90 , 91 , 93 , 101 , 104 , 105 , 112 , 121 , 126 ,  
129 , 129 , 129 , 129 , 129 , 129 , 129 , 129 , 129 , 129 , 129 , 130 , 130 , 130 , 131 , 131 , 131 ,  
133 , 133 , 134 , 134 , 134 , 135 , 138 , 141 , 156 , 156 , 158 , 158 , 158 , 158 , 160 , 160 , 161 ,  
161 , 162 , 165 , 166 , 171 , 173 , 175 , 176 , 182 , 208 , 222 , 223 , 225 , 248 , 250 , 253 , 262 ,  
268 , 268 , 268 , 271 , 271 , 276 , 279 , 279 , 279 , 279 , 279 , 279 , 597 , 635 , 759 , 1701 , 1701  
, 1815 , 1986 , 2644 , 2644 , 2701 ; prehistoric, 46 , 56 , 57 , 59 ; postclassical period, 279 , 283 ;  
China, 370 , 370 , 370 , 373 , 375 , 854 , 854 , 1415 ; Korea, 378 , 856 , 856 , 1429 , 1429 ;



Japan, 393 , 858 , 859 , 1437 , 1438 , 1448 , 1450 ; Scandinavia, 426 , 1247 ; Bulgaria, 440 , 1299 ; Western Europe, 443 , 443 ; Germany, 544 , 615 , 615 , 1235 , 1235 , 1237 ; Slavic countries, 563 ; Americas, 570 , 910 , 912 , 913 , 918 ; Mayas, 570 , 570 ; Incas, 570 ; 1500–1800, 579 , 580 , 580 , 580 , 584 , 584 ; England, 586 , 586 , 587 , 588 , 589 , 589 , 592 , 674 , 683 , 692 ; Scotland, 591 ; Low Countries, 595 ; France, 598 , 599 , 599 , 738 , 1059 , 1192 , 1195 , 1196 , 1197 ; Spain, 601 , 602 , 1204 , 1204 , 1925 , 1929 ; 16th century, 615 ; Thirty Years' War, 619 , 621 ; Switzerland, 625 , 1070 , 1226 , 1228 , 1228 ; Sweden, 628 , 764 ; Poland and Lithuania, 632 ; during Enlightenment, 645 ; 17th and 18th centuries, 646 ; Italy, 742 , 1219 ; Prussia, 754 ; Austria, 757 , 1239 , 1243 ; Holy Roman Empire, 757 ; Hungary, 759 ; Denmark, 771 , 1253 ; Norway, 772 ; Iceland, 774 ; Poland, 776 , 776 , 778 ; Russia, 783 , 783 , 784 , 786 , 789 , 1260 , 2066 , 3301 ; Middle East, 791 , 791 , 2317 ; Ottoman Empire, 801 , 803 ; Iran, 812 , 812 , 812 , 815 , 816 , 817 , 817 , 1349 , 1349 , 1349 , 1350 , 3817 , 3817 ; Morocco, 823 , 1376 ; North Africa, 829 , 2317 ; India, 832 , 832 , 2438 , 3951 ; Southeast Asia, 837 , 839 ; Vietnam, 863 ; Philippines, 868 , 1480 , 1480 , 1481 ; Africa, 871 , 884 , 886 , 887 , 1506 , 1535 , 1535 , 1535 , 1536 , 1536 , 1536 , 1545 , 1547 , 1547 , 1548 , 1550 , 1562 , 2554 , 2571 , 2572 ; New England, 926 , 928 , 933 , 934 ; 1800–1914, 1035 , 1143 , 1143 , 1146 ; Netherlands, 1053 ; Portugal, 1064 , 1064 , 1207 , 1208 , 1208 ; Central Europe, 1105 ; Great Britain, 1159 ; Ireland, 1164 ; Belgium, 1171 ; Finland, 1254 ; Serbia, 1284 ; Romania, 1314 , 3254 ; Albania, 1325 , 3202 , 3202 , 3202 , 3203 , 3203 , 3204 ; Egypt, 1372 , 3901 ; Algeria, 1384 ; Libya, 1392 ; Burma, 1404 , 1404 ; Malaya, 1411 ; Java, 1414 ; Maoris, 1500 ; New Zealand, 1500 ; U.S., 1565 , 1604 , 3408 ; Canada, 1629 ; Latin America, 1643 ; 19th-century thought, 1815 ; 20th-century thought, 1815 ; Turkey, 2326 , 2331 , 3790 , 3790 , 3802 ; Mongolia, 2487 ; revivalism, 2637 ; fundamentalism, 2644 ; postwar, 2701 ; Yugoslavia, 3174 ; South Yemen, 3894 ; North Yemen, 3894 ; Indonesia, 4136 , 4136 .

Remagen

2621 .

Rembrandt van Rijn, Dutch artist

596 .

Remigius, archbishop of Rheims

407 .

Remington Company, typewriter

990 .

Remón Cantera, José A., Panamanian leader

3638 , 3638 .

Renaissance

406 , 408 , 511 , 513 , 526 , 532 , 533 , 534 , 535 , 536 , 537 , 537 , 539 , 561 , 569 , 580 , 596 , 597 , 600 , 604 , 607 , 609 , 609 , 609 , 612 , 612 , 613 , 633 , 637 , 637 , 638 , 643 .

Renaissance of Benin Party

4329 .

Renan, Ernest, historian

1143 .

Renard, C., inventor  
1736 .

Renault  
2838 , 2874 .

Rendova Island  
2629 .

René, claimant to throne of Naples  
533 .

René II, duke of Lorraine  
533 .

Renison, Patrick, Guianese leader  
3756 .

Rennenkampf, Paul, Russian commander  
1739 , 1739 .

Renner, Karl, Austrian leader  
1997 , 1999 , 3028 , 3028 , 3030 .

Renny , Buddhist leader  
396 .

Renoir, Pierre-Auguste, artist  
1146 .

Rentenbank  
1978 .

Rentenmark, post-WWI currency  
1978 .

Renzong, Chinese emperor  
1415 .

reparations

1784 , 1785 , 1786 , 1787 , 1814 , 1818 , 1818 , 1819 , 1819 , 1819 , 1819 , 1819 , 1821 , 1821 ,  
1828 , 1887 , 1901 , 1901 , 1904 , 2165 , 2166 , 2199 , 2926 , 2982 , 2983 , 2984 , 3072 ;  
German, 1698 ; WWI, 1700 , 1708 , 1710 , 1710 , 1713 , 1718 , 1975 , 1976 , 1976 , 1977 , 1978  
, 1986 ; and WWI debt, 1719 , 1720 , 1720 , 1722 ; Germany, 1721 ; France, 1907 ; Turkey,  
2325 ; Iran, 2334 ; WWII, 2634 , 3096 , 3142 , 3235 , 3858 , 4214 , 4224 , 4225 , 4226 , 4231 .

Repeal Association, Ireland  
1051 , 1051 .

Representation of Peoples Act  
1839 .

Republic, by Plato  
186 .

República de Españoles  
912 .

República de Indios

912 .  
Republican Democratic Union, URD  
3601 .  
Republican Party, PR  
3642 .  
Republican Party, Armenia  
3309 .  
Republican Party, Portugal  
1935 .  
Republican Party, Spain  
1924 , 1925 , 1925 , 1932 .  
Republican (Colorado) Party, Paraguay  
1665 .  
Republican Party, Azat, Kazakhstan  
3333 .  
Republican Peasants Nation Party, Turkey  
3794 .  
Republican People's Party, RPP  
3788 , 3799 .  
Republican People's Party, Turkey  
2325 .  
Republicans, France  
1081 , 1081 , 1082 , 1083 , 1084 , 1085 , 1181 , 1185 , 1191 , 1193 , 1194 , 1195 .  
Republicans, Portugal  
1207 .  
Republicans, Spain  
1202 .  
Republicans, Spanish Civil War  
1725 .  
Republicans, U.S.  
1563 , 1563 , 1565 , 1569 , 1582 , 1584 , 1589 , 1592 , 1594 , 1595 , 1596 , 1598 , 1602 , 1602 ,  
1609 , 1617 , 1618 , 1619 , 2207 , 3390 , 3390 , 3423 , 3432 , 3432 , 3433 , 3645 . *See*  
Democratic-Republicans, U.S. .  
Republican Socialist Union Party, Bolivia  
3537 .  
Republican Society, Ireland  
1864 , 1864 , 1864 , 1870 , 1870 , 1870 , 1872 , 1872 .  
República Oriental, Uruguay  
1667 .  
Republic Day, India  
3956 .

Republic of Ireland Bill  
2805 .

Republic of the United Provinces  
*See* Dutch Republic ; Netherlands .

republics  
957 , 957 ; 1800–1914, 957 .

Republic Steel Corporation  
2206 .

Resaca de la Palma  
1578 .

Resaina  
272 , 275 .

reservations, Indian  
1593 .

Reserve Bank, New Zealand  
2552 .

Reserve Force, Transjordan  
2397 .

Res Gestae  
260 .

Resheph, Apollo  
108 .

Reshid Pasha, Mustafa Mehmet, Turkish soldier and leader  
1274 , 1331 .

Resident Natives Ordinance, Kenya  
2565 .

Restoration  
594 , 1058 .

Restrepo, Carlos, Latin American leader  
1674 , 1674 .

Resumption Act, U.S.  
1595 .

Resurgence Party, Iran  
3818 .

Resurrection City  
3415 .

Rethel  
521 .

Retief, Piet, Boer leader  
1551 , 1551 .

Reubell, French leader

1009 .  
Reuenthal, Neidhart von, poet  
459 .  
Réunion, Island of  
2419 .  
Reuss River  
540 .  
Reuter, Julius de  
1351 , 1351 , 1351 .  
Reuter, Ernst, German leader  
2985 .  
Reval  
628 , 1774 , 2104 , 2597 .  
Revensberg  
754 .  
revisionism  
1237 .  
Revolutionary Alliance, China  
1424 , 1426 .  
Revolutionary Armed Forces of Colombia, FARC  
3577 , 3580 , 3581 , 3581 , 3584 , 3587 , 3589 , 3591 , 3591 , 3592 , 3593 .  
Revolutionary Command Council, RCC  
3904 .  
Revolutionary Command Council, Libya  
3947 .  
Revolutionary Council, Burma  
4055 , 4059 .  
Revolutionary Democratic Party, Panama  
3646 .  
Revolutionary Governing Council, Hungary  
2023 .  
Revolutionary Guards, Pasdaran  
3821 .  
Revolutionary Islamic Council, Iran  
3821 .  
Revolutionary Junta of the Homeless, Chile  
3511 .  
Revolutionary Movement of the People, U.S.-Cuban group  
3717 .  
Revolutionary Social Democrats, Bulgaria  
1304 .

Revolutionary Socialists, Netherlands

1896 .

Revolutionary United Front, RUF

4326 , 4328 , 4359 , 4383 , 4383 , 4385 , 4385 , 4385 .

Revolutionary War

*See* American Revolution .

Revolution of 1688, England

653 .

Revolution of 1747, Holland

704 .

Revolution of 1820, Spain

1062 .

Revolution of 1830, France

957 , 1060 .

Revolution of 1848, France

957 , 999 , 1081 , 1081 , 1081 , 1087 , 1095 , 1096 .

Revolution of 1849

999 .

Revolution of 1919, Egypt

1372 , 1374 .

revolutions

579 , 584 ; 16th century, 793 , 795 , 796 , 899 ; 16th and 17th centuries, 799 , 799 ; 17th century, 784 , 799 , 799 , 799 , 800 , 803 , 834 , 852 , 860 , 867 , 937 , 937 ; 18th century, 789 , 805 , 807 , 808 , 809 , 849 , 867 , 868 , 871 , 871 , 871 , 891 , 913 , 913 , 913 , 913 , 913 , 916 , 999 , 999 ; 19th century, 811 , 957 , 962 , 999 , 1034 , 1053 , 1059 , 1060 , 1060 , 1060 , 1060 , 1061 , 1062 , 1062 , 1062 , 1064 , 1066 , 1066 , 1067 , 1068 , 1072 , 1072 , 1081 , 1081 , 1089 , 1106 , 1122 , 1143 , 1188 , 1188 , 1199 , 1199 , 1247 , 1257 , 1260 , 1267 , 1268 , 1268 , 1272 , 1272 , 1279 , 1284 , 1284 , 1288 , 1296 , 1298 , 1311 , 1311 , 1337 , 1362 , 1367 , 1372 , 1372 , 1375 , 1375 , 1381 , 1382 , 1382 , 1383 , 1383 , 1385 , 1390 , 1396 , 1397 , 1398 , 1409 , 1412 , 1417 , 1417 , 1429 , 1437 , 1452 , 1453 , 1480 , 1490 , 1562 , 1575 ; 1800–1914, 957 , 957 , 965 , 967 , 977 , 977 , 1045 ; 20th century, 955 , 955 , 957 , 1263 , 1263 , 1263 , 1269 , 1280 , 1318 , 1364 , 1378 , 1425 .

Rewinski, Janusz, Polish leader

3116 .

Rexists, Belgian Fascists

1889 , 1891 .


Reyes, Rafael, Latin American leader

1674 .

Reyes, Victor Román, Nicaraguan leader

3675 .

Reyes y Balmaceda, Diego de los, Spanish leader

913 .  
Reykjavík  
775 , 1077 , 1077 .  
Reymont, Wladyslaw S., writer  
2119 .  
Reynaud, Paul  
1916 .  
Reynier, Jean Louis, French soldier  
1030 .  
Reynolds, Albert, Irish leader  
2812 , 2812 , 2813 , 2813 , 2814 .  
Rezanov, Nikolai, Russian envoy  
1437 .  
Rezin, king of Damascus  
106 .  
Rezon, king of Aram  
106 .  
Rezzonico, Carlo  
*See* Clement XIII, pope .  
Rhagae  
120 .  
Rhandeia  
248 .  
Rhee, Syngman, Yi S  ng-man  
1433 , 1706 , 2488 , 2489 , 2489 , 4189 , 4190 , 4192 , 4192 , 4193 , 4194 , 4194 , 4196 , 4197 ,  
4197 , 4199 , 4200 , 4200 , 4201 , 4201 .  
Rheggio  
500 .  
Rhegium  
182 , 184 , 190 , 194 , 196 , 200 , 227 .  
Rheims  
*See* Reims .  
Rhenish-Westphalian Association of Deaconesses  
1071 .  
Rhine  
1009 , 1710 , 1782 , 1784 , 1784 , 2621 , 2976 ; count palatinate of, 459 , 541 .  
Rhineland  
412 , 459 , 459 , 505 , 507 , 513 , 540 , 649 , 1101 , 1102 , 1699 , 1718 , 1725 , 1784 , 1817 ,  
1822 , 1824 , 1833 , 1889 , 1909 , 1912 , 1953 , 1979 , 1982 , 1990 ; Republic, 1973 , 1978 .  
Rhineland Mutual Security Pact  
1714 .

Rhine League

541 .

Rhine River

46 , 239 , 240 , 243 , 243 , 244 , 251 , 251 , 252 , 254 , 255 , 256 , 257 , 257 , 257 , 402 , 403 , 403 , 404 , 405 , 406 , 407 , 407 , 411 , 411 , 412 , 415 , 415 , 425 , 453 , 455 , 548 , 620 , 650 , 652 , 652 , 656 , 657 , 661 , 663 , 1006 , 1009 , 1011 , 1016 , 1017 , 1026 , 1030 , 1031 , 1102 , 2597 , 2703 .

Rhode Island

928 , 928 , 928 , 933 , 934 , 934 , 943 , 952 , 961 , 1575 , 1577 .

Rhodes

168 , 171 , 184 , 186 , 199 , 203 , 203 , 209 , 211 , 211 , 213 , 214 , 214 , 218 , 233 , 233 , 233 , 243 , 289 , 430 , 509 , 564 , 792 , 1136 , 1225 , 1788 , 1817 , 2144 , 2967 ; siege of, 314 .

Rhodes, Alexandre de, missionary in Vietnam

863 .

Rhodes, Cecil John, British leader in South Africa

1547 , 1547 , 1553 , 1555 , 1556 , 1556 , 1556 , 1556 , 1557 .

Rhodesia

1506 , 1546 , 1548 , 1556 , 2229 , 2662 , 2663 , 2673 , 2676 , 2781 , 4455 , 4458 , 4462 , 4462 , 4466 , 4467 ; WWI, 1768 ; Southern Rhodesia, 2554 , 2572 , 2572 , 2572 , 2572 , 2572 , 2636 , 2638 , 4408 , 4455 , 4456 , 4466 , 4466 , 4466 , 4466 , 4466 , 4466 , 4466 , 4466 , 4467 , 4467 , 4467 , 4467 , 4467 , 4467 ; Northern Rhodesia, 2572 , 2572 , 2573 , 4408 , 4455 , 4455 , 4455 , 4455 , 4455 , 4456 , 4465 ; and Nyasaland, 2652 , 2661 . *See* Zambia ; c6p00530 c6p04634 c6p04763 c6p04764 c6p04765 c6p04766 c6p04767 c7p00013 c7p00031 c7p08728 c7p08983 c7p08990 c7p09050 c7p09051 c7p09052 c7p09053 c7p09054 c7p09055 c7p09056 c7p09057 c7p09058 c7p09059 c7p09060 c7p09061 c7p09062 c7p09063 c7p09064 c6p04769 c6p04772 c6p04773 c7p08727 c7p08977 c7p08979 c7p08981 c7p08983 c7p08986 c7p08988 c7p09038 *See also* Zambia .

Rhodesian Front

4466 , 4467 .

Rhodesian University College

4455 .

Rhondda, Lady

1841 .

Rhône River

403 , 411 , 418 , 425 , 453 , 530 , 530 , 659 , 2619 .

Riade

416 .

Riarios, nephews of Sixtus IV

532 , 532 , 535 , 536 .

Riart, Luis, Paraguayan leader

2248 .



Riau (Riau-Lingga) Archipelago  
329 , 837 , 837 , 837 .

Riazan  
629 .

Ribaut, Jean, French colonizer  
905 , 920 .

Ribbentrop, Joachim von, Nazi leader  
1835 , 1837 , 1991 .

Ribeiro, João, rebel  
606 .

Ribeiro, Manoel, Brazilian leader  
3627 .

Ribera, José, artist  
604 .

Ribichich, Mitja, Yugoslavian leader  
3173 .

Ribot, Alexandre, French leader  
1755 , 1771 .

Ricardo, David, economist  
1035 , 1035 , 1046 , 1048 .

Ricasoli, Bettino  
1214 .

Ricci, Matteo, Jesuit in China  
851 .

Richard, duke of Gloucester  
*See* Richard III, king of England .

Richard, duke of York  
515 , 515 , 515 , 519 .

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CONTENTS · SUBJECT INDEX · BIBLIOGRAPHIC RECORD

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PREVIOUS

NEXT



## Subject Index

### Page 65

- Richard I, Coeur de Lion  
[444](#), [445](#), [447](#), [450](#), [450](#), [450](#), [450](#), [457](#), [457](#), [471](#), [471](#), [505](#).
- Richard II, king of England  
[513](#), [513](#), [514](#), [514](#), [514](#), [514](#), [514](#), [519](#), [548](#).
- Richard III, king of England  
[516](#), [516](#), [516](#), [519](#).
- Richard Holbrooke, U.S. diplomat  
[3180](#).
- Richard of Autun, duke of Burgundy  
[413](#).
- Richard of Aversa, Norman leader  
[467](#).
- Richard of Clare, Strongbow  
[425](#), [444](#), [448](#).
- Richard of Cornwall, king of the Romans  
[445](#), [459](#).
- Richards Constitution, Nigeria  
[4320](#), [4321](#).
- Richardson, C. L., British resident of Japan  
[1442](#), [1443](#).
- Richardson, William A., U.S. official  
[1595](#).
- Richelieu, duke of, Armand-Emmanuel du Plessis, French leader  
[1059](#), [1059](#).
- Richelieu, cardinal-duke of, Armand-Jean du Plessis, French leader  
[599](#), [599](#), [600](#), [600](#), [600](#), [603](#), [620](#), [622](#), [921](#).
- Richelieu River  
[920](#), [1625](#).
- Richer, Jean, scientist  
[641](#).

Richert, John Gabriel, commissioner  
[1076](#).

Richmond  
[990](#), [1566](#), [1586](#), [1587](#), [1587](#), [1590](#).

Richthofen, Manfred von, German pilot  
[1767](#).

Ricimer, Roman general  
[269](#).

Ridda  
[287](#).

Rideau Canal  
[1625](#).

Ridgway, Matthew B., U.S. commander  
[2711](#), [2713](#), [3395](#), [4195](#), [4195](#), [4196](#), [4197](#).

Ridley, Nicholas, religious reformer  
[588](#).

Ridwan Bey al-Faqari, Mamluk leader in Egypt  
[802](#).

Riebeeck, Jan van, Dutch leader  
[596](#), [890](#).

Riefenstahl, Leni, film director  
[1707](#).

Riego, Rafael, soldier  
[1062](#).

Riel, Louis, Canadian leader  
[1630](#), [1635](#).

Riemann, Georg Friedrich Bernhard, mathematician  
[1147](#), [1147](#).

Riemenschneider, Tilman, artist  
[616](#).

Rienzi, Cola di, Italian leader  
[530](#).

Riet, battle of  
[1768](#).

Rif, the  
[1375](#).

Rifa'a Rafi' al-Tahtawi, scholar  
[1370](#).

Rifa'iyya, Sufi order  
[300](#), [303](#).

Assad, Rif'at al-, Syrian leader

[3843](#).  
Riffians  
[1921](#).  
Rif Republic  
[2418](#), [2418](#), [2418](#), [2418](#), [2419](#).  
Rif War  
[2418](#).  
Riga  
[460](#), [489](#), [1740](#), [1803](#), [1817](#), [2097](#), [2097](#), [2098](#), [2593](#), [2597](#), [3346](#), [3351](#).  
Rigault de Genouilly, Charles, French admiral  
[1473](#).  
Riggs, Elias, missionary  
[1299](#).  
Riggs, Francis, U.S. policeman  
[2309](#).  
Right Bloc National  
[1901](#).  
rights  
*See* [human rights](#).  
Right to Life Movement  
[3424](#).  
Rigveda  
[129](#).  
Riigikogu, Estonia  
[3322](#).  
Riiser-Larsen, Hjalmar, explorer  
[2046](#).  
Riksdag, Denmark  
[1078](#).  
Riksdag, Schleswig-Holstein  
[1251](#).  
Riksdag, Sweden  
[761](#), [761](#), [765](#), [1076](#), [1076](#), [1247](#), [1247](#), [1248](#).  
riksdag (parliament) of Västerås  
[628](#).  
Rilindja, Renaissance  
[1325](#).  
Rimay, John, Hungarian poet  
[636](#).  
Rimini  
[222](#).

Rimsin, king of Larsa

[85](#).

Rimush, son of Sargon I (the Great)

[84](#).

Rinzai Zen Buddhism

[394](#).

Riobamba

[1671](#).

Rio Barbate

[419](#).

Río Blanco

[1692](#).

Rio Branco Law, Brazil

[1677](#).

Rio de Janeiro

[573](#), [914](#), [914](#), [915](#), [916](#), [916](#), [917](#), [918](#), [918](#), [1656](#), [1656](#), [1677](#), [1677](#), [1677](#), [1677](#), [2240](#), [2270](#), [2272](#), [2273](#), [2600](#), [2601](#), [2642](#), [2688](#), [2696](#), [3465](#), [3466](#), [3475](#), [3478](#), [3620](#), [3624](#), [3624](#), [3628](#); March of the 100,000, [3615](#).

Río de la Plata

[570](#), [573](#), [574](#), [894](#), [900](#), [900](#), [906](#), [906](#), [908](#), [909](#), [915](#), [917](#), [917](#), [1643](#), [1644](#), [1647](#), [1647](#), [1658](#), [1665](#), [3529](#).

Río de Oro

[954](#).

Rio Grande

[1578](#), [1579](#), [1688](#), [3551](#).

Rio Grande do Norte

[915](#).

Rio Grande do Sul

[906](#), [907](#), [1647](#), [1677](#), [1677](#), [1677](#), [2270](#), [2271](#), [2271](#).

Riom

[2839](#).

Río Muni

*See* [Spanish Guinea \(Rio Muni\)](#).

Río Negro, constitution of

[1673](#).

Rio Nueces

[1578](#).

Ríos, Don Juan A., Chilean leader

[3508](#).

Rio Salado, battle of

[525](#).

Ríos Montt, Efraim, Guatemalan leader  
[3654](#), [3654](#), [3655](#), [3660](#).

Riot Act, England  
[684](#), [701](#).

Riotous Assemblies Act, South Africa  
[2578](#).

Rio Treaty  
[3398](#).

Ripon, marquis of, George Robinson, viceroy of India  
[1398](#).

Ripon, treaty of  
[591](#).

Ripperdá, baron of, Jan Willem, adventurer  
[723](#).

Ripuarians  
[402](#), [407](#), [407](#).

Risler, J., inventor  
[1736](#).

Ristich, Jovan, Serbian leader  
[1288](#), [1291](#).

Rites Controversy  
[854](#), [856](#).

Ritsu Buddhism  
[385](#).

Rivadavia, Bernardino, Latin American leader  
[1644](#), [1644](#), [1658](#), [1658](#), [1658](#).

Rivarola, Cirilo Antonio, Latin American leader  
[1665](#).

Rivera, Diego, artist  
[2241](#).

Rivera, Fructuoso, Latin American leader  
[1647](#), [1647](#), [1659](#), [1667](#), [1667](#).

Rivera, José Antonio Primo de, Spanish leader  
[1927](#).

Rivera, Julio Adalberto, Salvadoran leader  
[3663](#).

Rivera y Orbaneja, Miguel Primo de, marqués de Estella  
[1921](#), [1922](#), [1922](#), [1924](#), [1924](#).

Rivers, earl of, Richard Woodville  
[516](#).

Riviera

2619.  
Rivière, Henri, French commander  
1474.  
Rivonia Trial, South Africa  
4477.  
Riyad al-Sulj, Lebanese leader  
2383.  
Riyadh  
820, 1359, 1362.  
Rizal, José, writer  
1481, 1481, 1481, 1481.  
Rizzio, David, favorite of Mary, queen of Scots  
588.  
Roa, Raúl, Cuban leader  
3717.  
Roanoke Island  
924.  
Robbe-Grillet, Alain, writer  
2702.  
Robec River  
443.  
Robelo, Alfonso, Nicaraguan leader  
3677, 3678.  
Robert, count of Clermont  
599.  
Robert, duke of Burgundy  
449, 449.  
Robert, Angevin  
470, 533, 533.  
Robert I, king of France  
413, 413, 413, 480.  
Robert I, the Bruce  
512, 517, 517, 517, 517, 517, 517, 517, 517, 517, 519.  
Robert II, the Pious  
449.  
Robert II, king of Scotland  
517.  
Robert College, Istanbul  
1335.  
Robert Curthose, duke of Normandy  
444, 444, 449.

Robert Guiscard, Norman commander  
[455](#), [466](#), [467](#), [467](#), [467](#), [468](#), [500](#).

Robert of Chester, scholar  
[444](#).

Robert of Courtenay, Latin emperor  
[509](#), [509](#), [509](#).

Roberts, Richard, developer of power loom  
[985](#).

Robertson, James, American pioneer  
[941](#).

Robert the Strong, count of Anjou  
[412](#), [413](#), [413](#).

Roberval, François de la Roche, French colonial administrator  
[920](#).

Robespierre, Maximilien, French leader  
[1001](#), [1004](#), [1004](#), [1005](#), [1006](#), [1007](#), [1007](#), [1007](#).

Robinson, George, settler in Tasmania  
[1488](#).

Robinson, Jackie, baseball player  
[3392](#).

Robinson, John, theologian  
[2701](#).

Robinson, Mary, Irish leader  
[2811](#).

Robles, Francisco, Latin American leader  
[1671](#).

Robles, Gil, Spanish leader  
[1928](#).

Robles, Marco A.  
[3639](#), [3640](#).

Robusti, Jacopo  
*See [Tintoretto \(Jacopo Robusti\)](#), Italian artist.*

Roca, Julio A., Latin American commander  
[1660](#), [1660](#), [1660](#), [1660](#), [1660](#), [1661](#).

Roca, Vicente, Latin American leader  
[1671](#).

Rocafuerte, Vicente, Latin American leader  
[1671](#), [1671](#).

Rocard, Michel, French leader  
[2876](#).

Roca-Runciman treaty



[2242](#).  
Rochambeau, comte de, Jean Baptiste, French commander  
[951](#), [951](#).  
Roche, Otto de la, lord of Athens  
[508](#).  
Rochebouët, Gaetan de, French leader  
[1191](#).  
Rochelle, siege of  
[521](#), [591](#).  
Rockefeller, John D., U.S. industrialist  
[1620](#).  
Rockefeller, Nelson A., U.S. leader  
[3510](#).  
Rocket, locomotive  
[989](#).  
Rocky Mountain Painters  
[1577](#).  
Rocky Mountains  
[956](#), [1567](#), [1574](#), [1625](#).  
Rococo style  
[735](#).  
Rocroi, battle of  
[604](#).  
Rodbertus, Johann Karl, socialist  
[1035](#).  
Roderick, Visigoth king  
[419](#).  
Rodjestvensky, Zinovy, Russian admiral  
[1128](#).  
Rodney, George, British naval commander  
[940](#).  
Rodrigues Alves, Francisco de Paula, Latin American leader  
[1677](#).  
Rodríguez, Abelardo, Mexican leader  
[2298](#).  
Rodríguez, Alonso, Spanish colonial administrator  
[912](#).  
Rodríguez, Carlos Rafael, Cuban leader  
[3714](#).  
Rodríguez, Manuel, Latin American leader  
[1648](#).

Rodríguez, Mariano Ospina, Latin American leader  
[1673](#).

Rodríguez, Martín, Latin American leader  
[1658](#), [1658](#), [1658](#).

Rodríguez, Miguel Angel, Costa Rican leader  
[3691](#), [3692](#).

Rodríguez, Pedro, writer  
[718](#).

Rodríguez de Cabrillo, Juan, explorer  
[903](#).

Rodríguez de Fonseca, Juan, prelate  
[909](#).

Rodríguez Lara, Guillermo, Ecuadorian leader  
[3568](#), [3568](#).

Rodríguez Zeledón, José Joaquín, Latin American leader  
[1685](#).

Roe, Thomas  
[832](#).

Roebing, John Augustus, bridgebuilder  
[983](#).

Roebing, Washington Augustus, bridgebuilder  
[983](#).

Roebuck, Alvah Curtis, U.S. merchant  
[1602](#).

Roebuck, John, inventor  
[983](#).

Roehm, Ernst, Nazi leader  
[1988](#).

Roemer, Olaus, astronomer  
[641](#).

Roer River  
[2621](#).

Roe v. Wade, U.S. Supreme Court decision  
[3424](#).

Roger, duke of Apulia  
[471](#).

Roger I, king of Sicily  
[467](#), [468](#).

Roger II, king of Sicily  
[456](#), [456](#), [468](#), [471](#), [471](#), [471](#), [471](#), [502](#), [505](#).

Roger of Salisbury

[444](#).  
Rogers, William, U.S. diplomat  
[3773](#).  
Rogers Plan  
[3773](#).  
Roggeveen, Jacob, Dutch navigator  
[865](#).  
Rogier, Charles, Belgian leader  
[1056](#), [1171](#), [1171](#).  
Rohan, duke of, Henri de Rohan, Huguenot leader  
[599](#), [600](#), [626](#).  
Rohan Sandoval, César, Ecuadorian leader  
[3568](#).  
Rohilla Afghans  
[835](#).  
Rohlfs, Gustav, explorer  
[1508](#).  
Roi  
[2630](#).  
Roi de Bourges  
*See* [Charles VII, king of France](#).  
Rojas Paúl, Juan Pablo, Latin American leader  
[1675](#).  
Rojas Pinilla, Gustabo, Colombian leader  
[3576](#), [3576](#), [3576](#), [3579](#).  
Rokossovsky, Konstantin, Russian commander  
[3093](#), [3096](#), [3096](#).  
Roland, cardinal  
[456](#).  
Roland, Jeanne Manon Plipon, wife of Girondist leader  
[1006](#).  
Roldós Aguilera, Jaime, Ecuadorian leader  
[3569](#), [3569](#), [3569](#).  
Roldosista Party, Ecuador  
[3572](#).  
Rolfe, John, English colonist  
[925](#).  
Rolland, Romain, French writer  
[1903](#).  
Rolling Stones  
[2776](#).

Rollo, Hrolf the Ganger

[413](#), [413](#), [426](#).

Rolón, Ismael, Paraguayan leader

[3523](#).

Rolón, Raimundo, Paraguayan leader

[3522](#).

Romagna

[469](#), [609](#), [746](#), [1014](#), [1212](#).

Romain, Jules, writer

[1903](#).

Roman, Petre, Romanian leader

[3256](#).

Roman, prince

[489](#).

Roman Catholic Church

[279](#), [281](#), [283](#), [315](#), [418](#), [421](#), [443](#), [451](#), [452](#), [460](#), [465](#), [466](#), [466](#), [466](#), [466](#), [466](#), [466](#), [466](#), [466](#), [466](#), [467](#), [467](#), [467](#), [468](#), [468](#), [469](#), [469](#), [469](#), [469](#), [469](#), [473](#), [483](#), [494](#), [494](#), [497](#), [525](#), [530](#), [542](#), [544](#), [544](#), [544](#), [545](#), [557](#), [558](#), [562](#), [563](#), [563](#), [564](#), [565](#), [580](#), [584](#), [586](#), [586](#), [586](#), [587](#), [587](#), [588](#), [590](#), [592](#), [595](#), [598](#), [598](#), [599](#), [599](#), [599](#), [599](#), [599](#), [603](#), [603](#), [604](#), [609](#), [609](#), [609](#), [609](#), [609](#), [609](#), [609](#), [609](#), [609](#), [613](#), [614](#), [615](#), [615](#), [615](#), [616](#), [616](#), [617](#), [617](#), [618](#), [619](#), [621](#), [622](#), [624](#), [627](#), [628](#), [630](#), [632](#), [634](#), [635](#), [643](#), [644](#), [646](#), [672](#), [675](#), [676](#), [676](#), [676](#), [677](#), [677](#), [677](#), [689](#), [693](#), [693](#), [694](#), [694](#), [697](#), [698](#), [698](#), [711](#), [713](#), [717](#), [729](#), [730](#), [736](#), [744](#), [748](#), [759](#), [776](#), [781](#), [786](#), [791](#), [876](#), [894](#), [934](#), [1001](#), [1014](#), [1035](#), [1035](#), [1035](#), [1066](#), [1092](#), [1093](#), [1210](#), [1215](#), [1219](#), [1334](#), [1429](#), [1671](#), [1701](#), [1701](#), [1866](#), [1941](#), [1986](#), [2131](#), [2643](#), [2644](#), [2644](#), [2649](#), [2656](#), [2659](#), [2663](#), [2674](#), [2675](#), [2676](#), [2777](#), [2821](#), [2901](#), [2943](#), [2955](#), [2955](#), [2960](#), [2965](#), [2966](#), [3165](#), [3672](#); medieval, [276](#); postclassical period, [279](#); Ottoman Empire, [313](#); and Nestorianism, [375](#); early, [401](#), [403](#), [406](#), [406](#), [406](#), [407](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [408](#), [409](#), [410](#), [410](#); Vulgate, [401](#); Carolingians, [411](#), [413](#); Ottonians, [415](#), [416](#), [417](#), [417](#); Spain, [420](#), [601](#), [894](#), [1199](#), [1199](#), [1920](#), [1927](#), [2891](#), [2892](#), [2897](#); England, [422](#), [422](#), [422](#), [422](#), [422](#), [444](#), [444](#), [445](#), [445](#), [445](#), [513](#), [514](#), [514](#), [514](#), [586](#), [586](#), [587](#), [588](#), [588](#), [589](#), [589](#), [671](#), [675](#), [695](#), [1049](#); Celtic, [425](#), [425](#); Byzantium, [427](#), [433](#), [435](#), [435](#), [435](#), [435](#), [436](#), [438](#); and Greek Orthodox Church, [430](#); Western Europe, [443](#), [443](#); France, [449](#), [449](#), [450](#), [450](#), [451](#), [452](#), [453](#), [523](#), [598](#), [1035](#), [1058](#), [1083](#), [1084](#), [1179](#), [1181](#), [1197](#), [1905](#), [1906](#), [2873](#); Germany, [454](#), [454](#), [454](#), [455](#), [456](#), [457](#), [457](#), [458](#), [458](#), [459](#), [752](#), [1231](#), [1235](#), [1235](#), [1986](#); Scandinavia, [461](#), [461](#), [462](#), [551](#); Portugal, [480](#), [480](#), [529](#), [2917](#), [2919](#); Eastern Europe, [484](#); Poland, [486](#), [556](#), [633](#), [778](#), [780](#), [1268](#), [2700](#), [3091](#), [3094](#), [3095](#), [3095](#), [3098](#), [3100](#), [3100](#), [3104](#), [3106](#), [3112](#), [3116](#); Russia, [490](#), [1260](#), [3299](#); Hungary, [491](#), [3143](#), [3145](#), [3152](#); schism with Constantinople, [499](#); schism, [511](#), [531](#), [2962](#); reform of, [530](#), [531](#), [531](#); Italy, [537](#), [744](#), [1211](#), [1225](#), [1941](#), [1950](#), [2926](#), [2933](#), [2940](#); 1500–1800, [584](#); Switzerland, [625](#), [625](#), [626](#), [626](#), [626](#), [626](#), [748](#), [748](#), [748](#), [748](#), [749](#).





230, 230, 231, 231, 231, 231, 231, 231, 231, 232, 232, 232, 232, 233, 233, 233, 233, 233, 233, 233, 234, 234, 234, 234, 234, 234, 235, 235, 235, 235, 235, 235, 235, 235, 235, 236, 237, 237, 237, 237, 237, 237, 237, 237, 238, 239, 239, 239, 239, 239, 240, 240, 240, 240, 240, 240, 241, 241, 241, 241, 241, 241, 241, 241, 241, 242, 242, 243, 243, 243, 243, 243, 243, 243, 243, 243, 244, 245, 245, 245, 246, 246, 246, 246, 246, 246, 246, 247, 247, 247, 247, 248, 248, 248, 249, 249, 249, 250, 251, 251, 251, 251, 251, 251, 251, 251, 252, 252, 252, 252, 253, 253, 253, 253, 254, 254, 255, 255, 255, 255, 255, 255, 256, 257, 257, 257, 257, 257, 258, 258, 259, 260, 260, 260, 261, 261, 261, 261, 262, 262, 265, 265, 265, 268, 268, 268, 269, 269, 269, 269, 271, 272, 272, 272, 272, 272, 272, 272, 272, 273, 273, 273, 273, 273, 274, 274, 275, 275, 276, 294, 375, 400, 400, 400, 400, 401, 401, 401, 402, 402, 402, 403, 403, 403, 404, 406, 406, 406, 408, 408, 408, 408, 408, 408, 408, 408, 408, 409, 409, 409, 409, 409, 410, 411, 411, 412, 415, 416, 416, 417, 417, 417, 427, 428, 430, 431, 435, 440, 451, 456, 465, 465, 465, 465, 465, 467, 467, 468, 468, 468, 468, 469, 469, 470, 470, 472, 479, 502, 508, 511, 511, 530, 530, 530, 530, 530, 531, 531, 532, 532, 534, 540, 541, 542, 545, 568, 580, 599, 607, 607, 607, 609, 609, 609, 613, 613, 614, 615, 633, 659, 666, 724, 735, 737, 880, 983, 1009, 1011, 1026, 1083, 1092, 1093, 1093, 1093, 1093, 1111, 1115, 1182, 1210, 1211, 1212, 1214, 1215, 1216, 1217, 1218, 1218, 1218, 1218, 1225, 1746, 1778, 1922, 1945, 1950, 1960, 1961, 2009, 2609, 2617, 2617, 2618, 2641, 2659, 2702, 2713, 2731, 2849, 2943, 2952, 2962, 3187, 3218, 3381, 3774, 3779; and North Africa, 44; sack of, 46; synod of 1046, 454, 466; sack of 1083, 455; see of, 455; synod of 1241, 458; synod of 1047, 466; synod of 1075, 467; sack of 1080, 468; commune of, 468, 468; sack of 1527, 607, 609; treaties of, 2655, 2700, 2718; summit, 2748.

Rome-Berlin Axis

1725, 1833, 1837, 1954, 1970, 2010, 2172. See Axis powers (Germany, Italy, Japan).

Rome-Berlin-Tokyo Axis

See Axis powers (Germany, Italy, Japan).

Rome protocols

1830, 1833, 1956, 2008, 2028.

Römer, Frankfurt

1097.

Romero, Carlos Humberto, Salvadoran leader

3665, 3665, 3666.

Romero, Oscar, archbishop of El Salvador

2644, 2677, 3667, 3669.

Romero Barceló, Carlos, Puerto Rican leader

3732, 3732, 3732, 3732.

Romita, Giuseppe, Italian leader

2930.

Romme, Carl P. M., Dutch leader

2830.

Rommel, Erwin, German commander  
[2612](#), [2613](#), [2614](#), [2614](#).

Romme  
[446](#).

Romulus, traditional founder of Rome  
[224](#).

Romulus Augustus, last Roman emperor of the West  
[269](#), [269](#), [269](#).

Roncaglia, diet of  
[468](#).

Roncesvalles  
[410](#), [419](#).

Rondônia  
[3627](#).

Rong Hong  
*See* [Yung Wing, Chinese educator](#).

Ronglu, Chinese leader  
[1423](#), [1424](#), [1424](#).

Ronsard, Pierre de, French poet  
[600](#).

Röntgen, Wilhelm K., physicist  
[1149](#), [1149](#), [1153](#).

Roon, Albrecht von, Prussian leader  
[1232](#).

Roosevelt, Eleanor, wife of Franklin D. Roosevelt  
[2205](#).

Roosevelt, Franklin Delano, U.S. president  
[1699](#), [1702](#), [1722](#), [1835](#), [1837](#), [1838](#), [1838](#), [1855](#), [1992](#), [2187](#), [2200](#), [2201](#), [2204](#),  
[2204](#), [2205](#), [2206](#), [2206](#), [2206](#), [2208](#), [2208](#), [2208](#), [2209](#), [2209](#), [2209](#), [2209](#), [2210](#),  
[2210](#), [2210](#), [2210](#), [2210](#), [2210](#), [2211](#), [2212](#), [2212](#), [2212](#), [2214](#), [2215](#), [2276](#), [2285](#),  
[2299](#), [2312](#), [2316](#), [2484](#), [2485](#), [2485](#), [2486](#), [2598](#), [2599](#), [2599](#), [2599](#), [2600](#), [2602](#),  
[2602](#), [2603](#), [2608](#), [2608](#), [2615](#), [2621](#), [2625](#), [2625](#), [2632](#), [2632](#), [2632](#), [2959](#); letter to  
Hitler, [2037](#); death, [2216](#).

Roosevelt, Theodore, U.S. president  
[977](#), [1436](#), [1463](#), [1611](#), [1612](#), [1614](#), [1614](#), [1615](#), [1615](#), [1615](#), [1617](#), [1619](#), [1619](#), [1619](#),  
[1678](#), [2309](#).

Roosevelt corollary  
[1614](#), [2198](#).

Root, Elisha, inventor  
[985](#).

Root and Branch Bill, England



[591](#).  
Root-Takahira agreement, U.S.-Japan  
[1466](#), [1615](#), [2188](#).  
Rosa de Lima, Saint  
[912](#).  
Rosario  
[3488](#).  
Rosas, Juan Manuel de, Latin American leader  
[1658](#), [1658](#), [1658](#), [1658](#), [1658](#), [1658](#), [1659](#), [1659](#), [1659](#), [1659](#), [1659](#), [1659](#), [1665](#),  
[1667](#).  
Rosburgh  
[517](#).  
Roscellinus, philosopher  
[450](#).  
Rosebery, earl, Archibald Philip Primrose, English leader  
[1155](#).  
Rosenberg, Julius and Ethel, spies  
[2651](#).  
Rosenfeld  
[2070](#).  
Rosen-Nishi Agreement, Japan and Russia  
[969](#), [1435](#), [1459](#).  
Rosenstern, Nils von, Swedish political philosopher  
[761](#).  
Roskilde  
[761](#), [1077](#).  
Roslin Institute  
[2693](#).  
Rosny, of  
*See* [Sully, Maximilien de Béthune, duke of](#).  
Rospigliosi, Giulio  
*See* [Clement IX, pope](#).  
Ross, Dennis, U.S. diplomat  
[3869](#).  
Ross, James Clark  
[995](#), [995](#).  
Ross, John  
[995](#), [995](#).  
Rossbach, battle of  
[662](#).  
Rosselló, Pedro, Puerto Rican leader

[3732](#), [3733](#).  
Rosseti, Constantine, Romanian leader  
[1311](#).  
Rossi, Pellegrino, economist  
[1035](#).  
Rosso, Giovanni Battista de Jacopo, Italian artist  
[597](#).  
Rostock  
[548](#), [3023](#).  
Rostov  
[2594](#), [2595](#), [2596](#).  
Roswitha of Gandersheim, Saxon nun and dramatist  
[416](#), [419](#).  
Rosyth  
[1741](#).  
Rothari, legal scholar  
[408](#).  
Rothermere press, London  
[2027](#).  
Rothweil  
[625](#).  
rotten boroughs, England  
[1047](#).  
Rotterdam  
[613](#), [2585](#).  
Roubaix  
[1813](#).  
Rouen  
[443](#), [449](#), [515](#), [522](#), [522](#).  
Rouher, Eugène, French official  
[1083](#).  
Roundheads, English Civil War  
[592](#), [593](#).  
Round Table Conference, Belgium  
[4449](#).  
Rousseau, Jean-Jacques, French writer  
[600](#), [645](#), [717](#), [749](#).  
Roussel Law, France  
[1191](#).  
Roussillon  
[449](#), [477](#), [479](#), [523](#), [597](#), [604](#), [608](#), [648](#), [725](#).

Rouvier, Pierre Maurice, French leader  
[1129](#), [1129](#).

Roux, Wilhelm, anatomist  
[1153](#).

Rovere, Francesco della  
*See* [Sixtus IV, pope](#).

Rovere, Guillano della  
*See* [Julius II, pope](#).

Rovigo  
[538](#).

Rovuma River  
[1509](#), [1530](#).

Rowell Commission, Canada  
[2232](#).

Rowlatt Acts, in India  
[2433](#).

Roxana, mother of Alexander IV, king of Macedonia  
[209](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 66

- Roxane, Bactrian princess  
[207.](#)
- Roxas, Manuel, Philippine leader  
[2534](#), [4289](#), [4290](#), [4291.](#)
- Roxbury  
[926.](#)
- Roxelana, wife of Suleyman I  
[794.](#)
- Roxolani  
[254.](#)
- Roy, Rammohun, Hindu scholar  
[1394.](#)
- Royal Academy of Art, Denmark  
[770.](#)
- Royal Academy of History, Portugal  
[729.](#)
- Royal Academy of Science, Lisbon  
[730.](#)
- Royal Africa Company  
[874](#), [875.](#)
- Royal Canadian Mounted Police, Mounties  
[2221.](#)
- Royal College of the Nobles, Portugal  
[729.](#)
- Royal Company of Africa, French  
[828.](#)
- Royal Dutch Shell  
[1700](#), [2248.](#)
- Royal Frederik's University, Oslo  
[773.](#)

Royal Guard, France  
[1001](#).

Royal Guard of Police, Portugal  
[732](#).

Royal Guards, Denmark  
[770](#).

Royal Institution, Great Britain  
[1038](#).

Royalist Party, France  
[1901](#), [1910](#), [1910](#).

Royalists, English Civil War  
[593](#).

Royalists, France  
[1085](#).

Royalists, Scotland  
[674](#).

Royal Law, Kongelov  
[768](#).

Royal Marriage Act, England  
[689](#).

Royal New Zealand Society for the Health of Women and Children, the Plunket Society  
[1505](#).

Royal Niger Company  
[1511](#), [1516](#), [1517](#), [1519](#).

Royal Nursing Corps, England  
[1162](#).

Royal Observatory  
[711](#).

Royal Pestalozzi Institute  
[725](#).

Royal Philippine Company  
[868](#), [1480](#).

Royal Public Library, Lisbon  
[731](#).

Royal Road  
[115](#).

Royal Society, London  
[639](#), [640](#), [640](#), [640](#), [641](#).

Royal Society of Medicine, Seville  
[719](#).

Royal Spanish Academy

[722](#).  
Royal Surgery, France

[716](#).  
Royal Treasury, Real Erário

[729](#).  
Royal Ulster Constabulary

[1864](#).  
Royal University, Mexico

[912](#).  
Royal University of Ireland

[1170](#).  
Roye

[1755](#), [1812](#).  
Royo, Aristides, Panamanian leader

[3642](#).  
Roze, Pierre, French admiral

[1429](#).  
Rozvi Empire

[889](#), [889](#), [889](#), [889](#).  
Rozwi people

[364](#), [1546](#), [1553](#).  
Rtaxshaca

*See* [Artaxerxes I \(Longimanus\), king of Persia](#).

Rtishchev, Theodore, educator

[783](#).  
Rua, Fernando de la, Argentine leader

[3506](#), [3507](#).  
Ruanda, German East Africa

[1882](#).  
Ruanruan regime

[158](#).  
Ruan Yuan, scholar

[1416](#).  
Rubayi Ali, Salim, Yemenite leader

[3893](#), [3894](#).  
Rubens, Peter Paul, Dutch artist

[596](#).  
Rubicon River

[241](#).  
Rubio, Enrique González, poet

[2241](#).

Rublyor, Andrew, artist  
[559](#).

Ruby, Jack, killer of Oswald  
[3410](#).

Ruch, Poland  
[3100](#).

Rudd Concession  
[1547](#).

Rudini, Antonio di  
[1220](#), [1222](#).

Rudolf, archduke of Austria  
[1243](#).

Rudolf, duke of Burgundy  
[413](#), [413](#).

Rudolf, duke of Swabia  
[455](#), [455](#).

Rudolf I, Burgundian king  
[411](#).

Rudolf I of Habsburg, Holy Roman emperor  
[460](#), [485](#), [485](#), [493](#), [540](#), [540](#), [540](#), [540](#), [540](#), [540](#), [540](#), [540](#), [546](#), [546](#), [546](#).

Rudolf II, Holy Roman emperor  
[616](#), [616](#).

Rudolf III, king of Burgundy  
[454](#).

Rudradaman, Indian ruler  
[132](#).

Rueil, treaty of  
[708](#).

Rueter, Ludwig von, German admiral  
[1784](#).

Rufiji River  
[1534](#).

Rufinus, praetorian prefect  
[265](#).

Rufisque  
[874](#), [874](#).

Rufus, Lucius Verginius, Roman general  
[249](#).

Ruganzu Ndori, ruler of Bunyoro  
[883](#), [883](#).

rugby

1505.  
Rugby, founding of, school  
594.  
Rügen  
624, 1031, 1032.  
Rugians  
402.  
Ruhr  
1235, 1710, 1814, 1819, 1822, 1822, 1885, 1975, 1975, 1975, 1978, 1978, 2621,  
2642, 2707, 2993; French invasion of, 1904; International Ruhr authority, 2985.  
Ruhrort  
1819, 1824, 1976.  
Ruijin  
2470.  
Ruiz Cortines, Adolfo, Mexican leader  
3701.  
Ruiz de Apodaca, Juan, Spanish colonial administrator  
1653, 1653.  
Ruíz Massieu, José Francisco, Mexican leader  
3708, 3708, 3709, 3712.  
Ruíz Massieu, Mario, Mexican leader  
3708.  
Rukn-i-Alam, Muslim saint  
332.  
rule-of-reason doctrine  
1618.  
Rules Committee, U.S. House of Representatives  
1617.  
Rum  
301, 301, 302, 302, 303, 303, 303, 306.  
Rumayla oil field  
3782.  
Rumeli, Rumelia  
310.  
Rumelia  
1106.  
Rumford, count of, Benjamin Thompson, scientist  
1038.  
Rumor, Mariano, Italian leader  
2938, 2939, 2940.  
Rump Parliament, England



[593](#), [593](#), [668](#), [671](#), [673](#), [694](#), [694](#).  
Rum Rebellion, Australia  
[1487](#).  
Rumsey, James, inventor  
[989](#).  
Runciman, Walter  
[1835](#), [2020](#).  
Rund states  
[885](#), [887](#).  
Rundstedt, Karl von, German commander  
[2620](#).  
Runeberg, J. L., writer  
[1080](#).  
Runnymede  
[445](#).  
Rupert, prince and general in English Civil War  
[592](#).  
Rupert III, elector  
[537](#).  
Rural Solidarity  
[3110](#).  
Rurik, founder of Russia  
[426](#), [488](#).  
Rus, people  
[488](#).  
Rusa I, king of Urartu  
[118](#).  
Rusa II, king of Urartu  
[118](#).  
Rusa IV, king of Urartu  
[118](#).  
Rusahinili  
[116](#), [118](#).  
Ruschuk  
[811](#).  
Rush-Bagot Agreement, U.S. and Great Britain  
[1573](#).  
Rushdie, Salman, writer  
[2684](#), [2685](#), [3782](#).  
Russe  
[1303](#).

Russell, Bertrand, intellectual and philosopher

[1150](#), [2464](#), [2771](#).

Russell, Henry Norris, astronomer

[1150](#).

Russell, John

[1155](#), [1159](#), [1627](#).

Russell, Odo

[1105](#).

Russia

[155](#), [279](#), [281](#), [281](#), [282](#), [282](#), [291](#), [323](#), [374](#), [412](#), [426](#), [430](#), [434](#), [436](#), [436](#), [437](#), [437](#),  
[437](#), [438](#), [441](#), [441](#), [441](#), [460](#), [482](#), [486](#), [488](#), [491](#), [532](#), [548](#), [548](#), [555](#), [557](#), [557](#), [558](#),  
[563](#), [563](#), [563](#), [575](#), [576](#), [577](#), [578](#), [578](#), [578](#), [578](#), [581](#), [609](#), [628](#), [628](#), [629](#), [629](#), [629](#),  
[629](#), [629](#), [629](#), [629](#), [629](#), [630](#), [630](#), [630](#), [630](#), [631](#), [631](#), [631](#), [631](#), [631](#), [631](#), [631](#), [632](#), [632](#),  
[632](#), [632](#), [632](#), [633](#), [633](#), [633](#), [648](#), [648](#), [657](#), [659](#), [659](#), [659](#), [660](#), [660](#), [661](#), [662](#), [662](#),  
[662](#), [663](#), [664](#), [664](#), [664](#), [665](#), [665](#), [665](#), [667](#), [667](#), [667](#), [667](#), [667](#), [667](#), [746](#), [747](#), [753](#), [759](#), [761](#), [762](#),  
[762](#), [763](#), [763](#), [764](#), [765](#), [766](#), [766](#), [766](#), [766](#), [766](#), [766](#), [766](#), [766](#), [767](#), [767](#), [767](#), [769](#), [770](#), [771](#),  
[776](#), [777](#), [780](#), [780](#), [780](#), [780](#), [781](#), [781](#), [781](#), [781](#), [782](#), [782](#), [782](#), [782](#), [782](#), [783](#), [783](#),  
[783](#), [783](#), [783](#), [783](#), [783](#), [783](#), [783](#), [784](#), [784](#), [784](#), [784](#), [784](#), [784](#), [784](#), [784](#), [785](#), [785](#), [785](#),  
[786](#), [787](#), [787](#), [787](#), [787](#), [787](#), [788](#), [788](#), [789](#), [789](#), [789](#), [789](#), [789](#), [789](#), [789](#), [790](#), [790](#), [790](#), [791](#),  
[804](#), [804](#), [805](#), [805](#), [806](#), [807](#), [808](#), [809](#), [809](#), [810](#), [810](#), [811](#), [811](#), [816](#), [817](#), [904](#), [953](#),  
[954](#), [955](#), [955](#), [956](#), [956](#), [957](#), [961](#), [961](#), [962](#), [962](#), [965](#), [965](#), [965](#), [966](#), [967](#), [967](#), [968](#),  
[968](#), [968](#), [969](#), [969](#), [969](#), [969](#), [969](#), [970](#), [970](#), [971](#), [971](#), [971](#), [972](#), [972](#), [974](#), [975](#), [975](#),  
[977](#), [977](#), [979](#), [980](#), [993](#), [993](#), [993](#), [998](#), [998](#), [998](#), [999](#), [1010](#), [1011](#), [1011](#), [1011](#), [1011](#), [1021](#),  
[1021](#), [1021](#), [1023](#), [1023](#), [1024](#), [1025](#), [1025](#), [1026](#), [1026](#), [1027](#), [1028](#), [1029](#), [1029](#),  
[1029](#), [1029](#), [1029](#), [1029](#), [1030](#), [1030](#), [1030](#), [1030](#), [1032](#), [1032](#), [1033](#), [1045](#), [1045](#),  
[1066](#), [1071](#), [1075](#), [1080](#), [1088](#), [1094](#), [1099](#), [1100](#), [1100](#), [1104](#), [1104](#), [1104](#), [1105](#),  
[1105](#), [1105](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1107](#), [1107](#), [1107](#),  
[1107](#), [1108](#), [1108](#), [1108](#), [1108](#), [1108](#), [1108](#), [1108](#), [1108](#), [1108](#), [1109](#), [1110](#), [1110](#), [1111](#),  
[1112](#), [1114](#), [1114](#), [1114](#), [1115](#), [1116](#), [1116](#), [1118](#), [1118](#), [1118](#), [1119](#), [1120](#), [1121](#),  
[1121](#), [1122](#), [1123](#), [1124](#), [1127](#), [1127](#), [1127](#), [1128](#), [1128](#), [1129](#), [1129](#), [1131](#), [1132](#),  
[1132](#), [1132](#), [1133](#), [1133](#), [1133](#), [1134](#), [1134](#), [1136](#), [1136](#), [1136](#), [1136](#), [1136](#), [1137](#),  
[1137](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1141](#), [1141](#), [1141](#), [1141](#), [1141](#), [1141](#), [1195](#), [1199](#),  
[1232](#), [1235](#), [1235](#), [1237](#), [1243](#), [1247](#), [1249](#), [1251](#), [1254](#), [1256](#), [1256](#), [1256](#), [1256](#),  
[1256](#), [1256](#), [1257](#), [1257](#), [1258](#), [1258](#), [1258](#), [1258](#), [1258](#), [1259](#), [1259](#), [1260](#), [1260](#),  
[1260](#), [1260](#), [1260](#), [1261](#), [1261](#), [1261](#), [1262](#), [1263](#), [1266](#), [1266](#), [1267](#), [1274](#), [1275](#),  
[1275](#), [1275](#), [1277](#), [1278](#), [1279](#), [1279](#), [1280](#), [1284](#), [1293](#), [1297](#), [1297](#), [1312](#), [1312](#),  
[1317](#), [1318](#), [1318](#), [1322](#), [1327](#), [1334](#), [1334](#), [1340](#), [1343](#), [1344](#), [1344](#), [1346](#), [1349](#),  
[1395](#), [1424](#), [1427](#), [1468](#), [1497](#), [1699](#), [1699](#), [1703](#), [1703](#), [1705](#), [1707](#), [1708](#), [1710](#),  
[1710](#), [1710](#), [1713](#), [1716](#), [1719](#), [1723](#), [1738](#), [1738](#), [1738](#), [1738](#), [1814](#), [1815](#), [1821](#),  
[1837](#), [1838](#), [1840](#), [1842](#), [1853](#), [1992](#), [2034](#), [2062](#), [2067](#), [2067](#), [2068](#), [2068](#), [2069](#),  
[2072](#), [2074](#), [2190](#), [2204](#), [2229](#), [2323](#), [2345](#), [2346](#), [2463](#), [2464](#), [2487](#), [2494](#), [2524](#),



3250, 3250; and Middle East, 1329, 1334, 1339, 1342, 1347, 3281, 3770, 3771, 3774, 3776, 3797, 3814, 3827, 3839, 3843, 3883; and Macedonia, 1347; and Iran, 1349, 1350, 1351, 1351, 1352, 1352, 1353, 2344; annexation of Georgia, 1349; wars with Iran, 1349, 1349; and Afghanistan, 1354, 1354, 1355, 1355, 1356, 1397, 3296, 3832, 3833, 3834, 3834, 3834, 4008; revolution of 1905, 1408, 1424; and China, 1417, 1417, 1418, 1422, 1423, 1423, 1424, 1427, 4180, 4269, 4275; and Tianjin massacre, 1418; and Korea, 1430, 1431, 1433, 1434, 1435, 1435, 1436, 1436, 1454, 1458, 1459, 2488, 2493, 2634, 4189, 4190, 4192, 4195, 4198, 4205, 4214, 4222; and Manchuria, 1435, 1436; and Boxer Uprising, 1435; Russo-Japanese War, 1436, 1462, 1462, 1462, 1463, 1463, 1615; and Africa, 1540, 2578, 2675, 4344, 4396, 4400, 4429, 4436, 4434, 4449, 4492; expansion in North America, 1566; between Wars, 1817, 1823, 1828, 1830, 1831, 1831, 1832, 1832, 1832, 1835, 1836, 1837, 1837, 1842, 1915, 2065, 2066, 2066, 2068, 2068, 2068, 2068, 2068, 2069, 2072, 2072, 2073, 2074, 2077; and Far East, 1830; and Spanish Civil War, 1833; and Spain, 1929, 2076; and Italy, 1959, 1961; and Switzerland, 1963, 1966, 1968; and Czechoslovakia, 2018, 2020, 2021, 2067, 2067, 2078, 3120, 3122, 3123, 3128, 3128, 3128, 3128, 3128, 3129, 3129, 3129, 3131, 3133, 3133, 3134; and Hungary, 2035, 2035, 3141, 3143, 3144, 3145, 3146, 3147, 3147, 3147, 3147, 3147, 3147, 3147, 3147, 3148, 3150, 3150, 3150, 3152, 3155, 3156, 3156, 3156, 3159, 3163; and Sweden, 2048; invasion of Finland, 2057; provisional government, 2064, 2064, 2064, 2064, 2065; Petrograd Soviet, 2064, 2064, 2064; and Estonia, 2064, 2067, 2073, 2080, 3321, 3321, 3321, 3323; and Lithuania, 2066, 2067, 2080, 3353, 3353, 3353, 3354, 3354, 3354, 3354; civil war, 2066, 2067, 2067, 2067, 2067, 2067, 2067, 2068, 2068; Union of Soviet Socialist Republics, 2067, 2067, 2067, 2067, 2069, 2076; and Latvia, 2067, 2073, 2080, 3345, 3346, 3349; and Turkey, 2067, 2323, 2327; and U. S., 2073, 2204, 2210, 2637, 2637, 2689, 2691, 2705, 3304, 3403, 3433, 3435, 3439, 4088, 4151, 4189, 4191, 4197, 4264; invasion of Poland, 2079, 2124; invasion by Germany, 2080; WWII, 2080, 2080, 2082, 2480, 2481, 2486, 2523, 2582, 2582, 2582, 2582, 2583, 2589, 2589, 2590, 2590, 2590, 2591, 2591, 2592, 2593, 2593, 2593, 2593, 2593, 2593, 2594, 2595, 2595, 2595, 2595, 2595, 2595, 2595, 2596, 2596, 2596, 2596, 2596, 2597, 2597, 2597, 2597, 2597, 2597, 2597, 2612, 2613, 2613, 2613, 2613, 2615, 2620, 2621, 2621, 2621, 2621, 2621, 2623, 2631, 2632, 2632, 2758, 2982, 2982, 3110, 3261, 3261, 3261; WWII losses, 2080, 2700; and Ruthenia, 2083; and Baltic region, 2084, 2084, 2084, 2084, 2085, 2085, 2087, 2090, 2095, 2096, 2096, 2097, 2098, 2098, 2100, 2101, 2101, 2102, 2102, 2102, 2104, 2109; and Balkan Peninsula, 2135, 2172, 2173, 2175, 2176, 2180, 2185, 2186; and Latin America, 2300, 3468, 3543, 3554, 3568, 3578, 3609, 3681; and Cuba, 2307, 3716, 3716, 3716, 3718, 3718, 3718, 3719, 3721, 3721, 3722, 3723, 3723, 3724; WWII end, 2621; WWII settlement, 2635, 2635; breakup of Soviet Union, 2636, 2685, 2686, 2687, 2688; cold war, 2637, 2637, 2637, 2637, 2638, 2644, 2646, 2647, 2648, 2651, 2652, 2654, 2655, 2655, 2655, 2656, 2657, 2658, 2658, 2658, 2659, 2660, 2660, 2664, 2666, 2666,

[2669](#), [2671](#), [2677](#), [2679](#), [2683](#), [2684](#), [2688](#), [2703](#), [2709](#), [2710](#), [2710](#), [2712](#), [2713](#), [2713](#), [2714](#), [2714](#), [2715](#), [2717](#), [2719](#), [2723](#), [2723](#), [2725](#), [2728](#), [2729](#), [2985](#), [2985](#), [2985](#), [2986](#), [2989](#), [2990](#), [2990](#), [2995](#), [2995](#), [2996](#), [2996](#), [2996](#), [2996](#), [2997](#), [2998](#), [2998](#), [3001](#), [3005](#), [3011](#), [3011](#), [3013](#), [3013](#), [3013](#), [3014](#), [3015](#), [3015](#), [3016](#), [3018](#), [3019](#), [3029](#), [3030](#), [3030](#), [3035](#), [3037](#), [3266](#), [3269](#), [3270](#), [3270](#), [3270](#), [3270](#), [3271](#), [3272](#), [3273](#), [3273](#), [3273](#), [3273](#), [3273](#), [3274](#), [3274](#), [3274](#), [3274](#), [3274](#), [3274](#), [3275](#), [3275](#), [3276](#), [3276](#), [3278](#), [3278](#), [3279](#), [3280](#), [3280](#), [3281](#), [3284](#), [3284](#), [3289](#), [3291](#), [3292](#), [3299](#), [3390](#), [3390](#), [3392](#), [3393](#), [3394](#), [3401](#), [3401](#), [3404](#), [3404](#), [3406](#), [3406](#), [3406](#), [3407](#), [3408](#), [3408](#), [3408](#), [3409](#), [3409](#), [3414](#), [3414](#); end of Soviet Union, [2637](#), [2637](#), [2756](#), [3304](#); postwar, [2645](#), [2645](#); and Eastern Europe, [2677](#), [2700](#), [2700](#), [2718](#), [2719](#), [2720](#), [2722](#), [2725](#), [2729](#), [2756](#), [3261](#), [3263](#); and Communism, [2724](#); and Western Europe, [2727](#), [2730](#); and stability, [2757](#); and Europe, [2811](#), [2866](#); reform, [3020](#); and Yugoslavia, [3165](#), [3166](#), [3166](#), [3166](#), [3167](#), [3167](#), [3167](#), [3169](#), [3170](#), [3171](#), [3171](#), [3171](#), [3181](#), [3185](#), [3185](#), [3264](#), [3370](#); and Albania, [3198](#), [3198](#), [3199](#), [3200](#), [3200](#), [3202](#), [3202](#), [3202](#), [3203](#); and Central Europe, [3261](#); post-WWII, [3261](#), [3262](#), [3262](#), [3262](#), [3264](#), [3265](#), [3266](#), [3768](#); post-Stalin, [3267](#), [3267](#), [3268](#), [3271](#); and West Germany, [3269](#); international aid, [3269](#); rehabilitation of minorities, [3271](#); and Asia, [3274](#), [3279](#); invasion of Czechoslovakia, [3282](#); Soviet Treaty with the German Federal Republic, [3284](#); Helsinki Accord, [3287](#); invasion of Afghanistan, [3289](#), [3290](#), [3290](#); difficulties in early 1980s, [3290](#); liberalization, [3294](#), [3295](#), [3296](#), [3297](#), [3297](#), [3298](#), [3300](#), [3300](#), [3300](#), [3301](#), [3301](#), [3303](#), [3303](#), [3303](#), [3303](#), [3304](#); and Armenia, [3296](#); and Baltic States, [3298](#), [3298](#), [3298](#), [3303](#), [3304](#), [3346](#); and Georgia, [3298](#), [3326](#), [3326](#), [3329](#); difficulties in 1980s and 1990s, [3300](#); open elections, [3300](#); and Lithuanian independence, [3300](#); and Baltic States independence, [3300](#); market economy, [3301](#), [3301](#); difficulties, [3303](#); all-union referendum, [3303](#), [3303](#); and pact with republics, [3303](#); new USSR, [3304](#); union of sovereign states, [3304](#); Commonwealth of Independent States (CIS), [3304](#), [3305](#), [3305](#); new republics, [3306](#); and Belarus, [3317](#), [3318](#), [3318](#), [3319](#), [3367](#); and Kazakhstan, [3332](#), [3337](#); Soviet Central Asian Republics, [3343](#); and Moldova, [3359](#), [3360](#), [3361](#); and Chechnya, [3365](#), [3365](#), [3366](#), [3366](#), [3366](#), [3367](#), [3367](#), [3367](#), [3367](#), [3368](#), [3368](#), [3370](#), [3370](#), [3370](#), [3371](#), [3371](#); economic crisis, [3369](#); and Uzbekistan, [3389](#); and Canada, [3443](#), [3446](#), [3451](#); and Egypt, [3909](#), [3910](#), [3910](#), [3911](#), [3911](#); and India, [3957](#), [3959](#), [3960](#), [3960](#), [3966](#), [3967](#), [3968](#), [3971](#); and Southeast Asia, [4066](#), [4077](#), [4081](#), [4081](#), [4118](#), [4125](#), [4129](#), [4135](#); and Laos, [4096](#), [4101](#), [4101](#), [4102](#); and East Asia, [4187](#), [4187](#), [4187](#); and Vietnam, [4255](#), [4266](#), [4266](#), [4267](#), [4269](#), [4269](#), [4275](#), [4275](#); and Somalia, [4400](#). *See* [Communist Party](#); [Russian Federation](#); [Ukraine](#); [cold war](#); [culture](#); [nuclear power](#).

Russian-American (Fur) Company

[1437](#), [1566](#).

Russian-Afghan relations

[1261](#).

Russian Federation



[4422](#), [4422](#), [4423](#), [4423](#), [4423](#), [4423](#), [4423](#), [4424](#), [4424](#), [4425](#), [4430](#), [4431](#), [4431](#), [4434](#),  
[4435](#), [4444](#), [4450](#), [4451](#), [4451](#), [4453](#), [4453](#), [4468](#).

Rwandan Patriotic Front, RPF

[4420](#), [4425](#).

Ryangombe movement, Rwanda

[883](#).

Ryazan

[631](#).

Rybkin, Ivan, Russian leader

[3367](#).

Rydz-Smigly, Edward, Polish leader

[2122](#).

Rye

[446](#).

Rye, George, Irish agronomist

[700](#).

Rye House Plot, England

[676](#).

Ryerson, Egerton, Canadian leader

[1625](#).

Rykmans, Pierre, Belgian leader

[2570](#).

Rykov, Alexei, Russian leader

[2078](#).

Ryswick

[656](#), [656](#), [713](#), [719](#).

Ryti, Risto, Finnish leader

[2059](#), [3071](#).

Ryky Islands

[166](#), [1418](#), [1437](#), [1451](#), [1452](#), [4226](#), [4237](#).

Ryunosuke, Akutagawa, writer

[2520](#).

## S

Sá, Mem de, Portuguese colonial administrator

[914](#).

Sa'ada, Antun, Lebanese leader

[2379](#).

Saadabad Palace, Istanbul

806.  
Sa'adi dynasty  
871.  
Saar  
1784, 1784, 1832, 1983, 1989, 2709, 2709, 2711, 2711, 2712, 2712, 2712, 2846,  
2984, 2992, 2992, 2993, 2994.  
Saarbrücken  
1102.  
Saarlouis  
656.  
Saavedra, Cornelio, Latin American leader  
1644.  
Saavedra, Juan Bautista, Bolivian leader  
2255.  
Saavedra Fajardo, Diego, Spanish political philosopher  
604.  
Saba  
*See Sheba.*  
Sabaeans  
832.  
Sabah  
4113.  
Sabah, Sheik, ruler of Kuwait  
3897, 3898, 3904.  
Sabah dynasty  
820.  
Sabaheddin, Turkish prince  
1346, 1347.  
Sabah ibn Jabir, ruler of Kuwait  
820.  
Sabbatai Sevi, Jewish mystic  
803.  
Sabeans  
126, 128.  
Sabellians  
222, 222, 222.  
Sabena, Belgian airline founded  
1885.  
Sabi  
377, 377, 377.  
Sabin, Bulgarian ruler



[439](#).  
Sabine, Albert, medical researcher  
[2641](#), [3402](#).  
Sabines  
[222](#), [227](#).  
Sabinus, Julius, leader of the Lingones  
[251](#).  
Sabinus, Nymphidius, Roman prefect  
[249](#).  
Sable Island  
[920](#).  
Sabra refugee camp, Lebanon  
[3849](#).  
Sabri, Ali, Egyptian leader  
[3910](#), [3910](#).  
Saburov, Pierre  
[1109](#), [1110](#).  
Sabzavar  
[306](#).  
Sacaе  
*See* [Scythians](#).  
Sacasa, Juan, Nicaraguan leader  
[2283](#), [2283](#), [2284](#), [2285](#), [2285](#).  
Sacasa, Roberto  
[1683](#).  
Sacco, Nicola, U.S. activist  
[2197](#).  
Sachs, Hans, meistersinger  
[616](#).  
Saco Bay  
[926](#).  
Sacramentalists, religious order  
[778](#).  
Sacred College  
[470](#).  
Sacred Mount  
[225](#).  
Sacred Wars  
[182](#), [193](#), [203](#), [204](#).  
Sacrilege Law, France  
[1060](#).

Sacrovir, Julius, rebel leader  
[247](#).

Sa'dabad Pact  
[2333](#).

Sa'd al-Dawla, Mongol leader  
[305](#).

Sadanobu, Matsudaira, Japanese official  
[862](#).

Saddharma-pundarika-sutra, Lotus of the Good Law  
[130](#).

Sa'di, writer  
[305](#).

Sadi Carnot, Marie François, French leader  
[1187](#), [1195](#).

Sa'di dynasty  
[822](#), [822](#), [822](#), [822](#), [823](#), [823](#), [823](#), [823](#), [823](#), [823](#), [823](#), [823](#), [823](#), [824](#).

Mahdi, Sadiq al-, Sudanese leader  
[4404](#), [4405](#).

Sadiq Chubak, writer  
[2341](#).

Sadiq Hedayat, writer  
[2341](#).

Sadiqi College, Tunisia  
[1390](#), [1391](#), [1391](#).

Sa'dis dynasty  
[823](#).

Sa'dist Party, Egypt  
[2354](#), [2367](#).

Sadowa, battle of  
[1233](#).

Sadozay dynasty  
[819](#), [1354](#), [1354](#).

Sadducees  
[250](#).

Saduddin Efendi, Ottoman religious scholar  
[799](#).

Sa'd Zaghlul, Egyptian leader  
[1374](#), [1706](#), [2351](#), [2352](#), [2354](#), [2355](#), [2356](#), [2358](#).

Sáenz Peña, Luis, Latin American leader  
[1660](#).

Sáenz Peña, Roque, Latin American leader

[1661](#), [1661](#).  
Safavi, Navvab, Islamic leader  
[3813](#).  
Safavid, Sufi order  
[307](#).  
Safavid dynasty  
[294](#), [306](#), [307](#), [308](#), [308](#), [308](#), [308](#), [308](#), [308](#), [308](#), [316](#), [575](#), [578](#), [579](#), [580](#), [791](#), [791](#), [791](#),  
[792](#), [793](#), [793](#), [795](#), [797](#), [799](#), [800](#), [801](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#), [812](#),  
[813](#), [813](#), [813](#), [813](#), [813](#), [813](#), [813](#), [813](#), [814](#), [814](#), [815](#), [815](#), [815](#), [815](#), [815](#), [815](#), [815](#), [815](#),  
[816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [816](#), [817](#), [817](#), [817](#), [819](#), [819](#), [819](#), [819](#), [1349](#).  
Safed  
[797](#), [797](#), [797](#), [800](#), [1331](#).  
Saffarid dynasty  
[294](#), [295](#).  
Safi  
[1376](#).  
Safi I, shah of Iran  
[815](#), [815](#), [815](#), [815](#).  
Safi II  
*See* [Suleyman \(Safi II\), shah of Iran](#).  
Safi al-Din, founder of Shi'ism  
[812](#).  
Safi al-Din al-Urmawi, musical theorist  
[305](#).  
Sagasta, Práxedes Mateo, Spanish leader  
[1204](#).  
Saguntum  
[231](#).  
Sahara  
[18](#), [18](#), [22](#), [25](#), [29](#), [29](#), [29](#), [38](#), [38](#), [38](#), [43](#), [43](#), [44](#), [44](#), [44](#), [278](#), [282](#), [292](#), [303](#), [321](#), [323](#),  
[343](#), [344](#), [344](#), [344](#), [344](#), [344](#), [351](#), [353](#), [356](#), [357](#), [579](#), [869](#), [869](#), [870](#), [870](#), [871](#), [873](#),  
[1123](#), [1383](#), [1510](#), [1511](#), [2556](#), [2638](#), [2680](#), [2852](#), [3924](#), [3929](#), [4364](#), [4364](#); war in  
Western Sahara, [3768](#); Western, [3924](#), [4320](#). *See* [Spanish Sahara](#).  
Saharan gold  
[323](#).  
Sahel  
[875](#), [2643](#), [4320](#), [4325](#), [4364](#).  
Sahul  
[27](#).  
Sahurre, king of Egypt  
[91](#).

Saich , Dengy  Daishi  
[385](#).

Sa'id, sultan of Oman  
[820](#), [2413](#), [3896](#), [3897](#).

Said Halim, Ottoman leader  
[1748](#).

Sa'id ibn Sultan, ruler of Muscat and Oman  
[1358](#).

Sa'id Pasha, governor of Egypt  
[1368](#).

Saiema, Latvia  
[2099](#), [2100](#).

Saigon  
[863](#), [1473](#), [1473](#), [1474](#), [1475](#), [2453](#), [2524](#), [2526](#), [2529](#), [4253](#), [4255](#), [4257](#), [4260](#), [4266](#),  
[4267](#), [4268](#), [4270](#), [4270](#), [4270](#), [4271](#), [4273](#), [4273](#); treaty of 1862, [1473](#); treaty of 1874,  
[1474](#). See [Hô Chi Minh City](#).

Saikaku, Ihara, Japanese writer  
[861](#).

Sailendra dynasty  
[339](#).

Sainovic, Nikola, Serbian leader  
[3179](#).

St. Acheul, France  
[11](#).

St. Albans  
[421](#), [446](#), [446](#).

St. Andrew's University, Scotland  
[517](#).

Saint-Arnaud, Jacques de, French general  
[1085](#).

St. Augustine, Florida  
[905](#), [939](#).

St. Augustine Bay  
[892](#).

St. Bernard Pass  
[1016](#).

St. Charles, riots at  
[1625](#).

St. Christopher  
[931](#), [939](#).

St. Cloud

599.  
St. Croix, Virgin Islands  
770, 2311, 2312.  
St. Denis  
411, 449, 599, 1625.  
St. Domingue, French colony  
*See* Haiti.  
Sainte Chapelle  
452.  
St.-Étienne Congress  
1191.  
St. Gall  
419, 1094.  
St. Geneviève  
407.  
St. George's Hill, England  
668.  
St. Germain, St. Germain-en-Laye  
653, 708, 708, 736, 1785, 2009.  
St. Germain  
590.  
St. Giles's, Edinburgh  
591.  
St. Gothard Pass  
537, 546.  
St. Gothard Railway  
1229.  
St. Gotthard  
757.  
St. Helena, Napoleon's imprisonment on  
1033, 1556; Treaty of, 1998.  
St. Jean de Maurienne Agreement  
1752.  
St. Jean de Maurienne conference  
1771.  
St. John, New Brunswick  
290, 1628.  
St. John Lateran, Rome  
735.  
St. John River  
905.

St. John's  
[1625](#), [1641](#).

St. John's Chapel  
[444](#).

St. John's River  
[920](#).

St. Just, Louis, French leader  
[1004](#), [1007](#).

St. Kitts-Nevis  
[3764](#).

St. Kitts-Nevis-Anguilla  
[3756](#), [3759](#).

St. Laurent, Louis S., Canadian leader  
[3446](#), [3447](#).

St. Lawrence River  
[920](#), [920](#), [920](#), [934](#), [1625](#), [1625](#).

St. Lawrence Seaway  
[3448](#).

St. Lô  
[2619](#).

Louis, St., Missouri  
[922](#), [959](#), [1568](#), [1605](#), [2189](#).

Louis, St., Senegal  
[873](#), [874](#), [874](#), [1511](#), [2555](#).

St. Lucia, island  
[940](#), [940](#), [1032](#), [2587](#), [2599](#), [3756](#), [3759](#), [3762](#).

St. Marcouf  
[2619](#).

St. Mark's, Venice  
[473](#).

St. Mark's Cathedral, Egypt  
[2353](#).

St. Martin de Tours  
[411](#), [449](#).

St. Mary's, Catholic settlement in Maryland  
[930](#).

St. Mary's College, England  
[513](#).

St. Mary's Seminary  
[1565](#).

St. Menehould

1791.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 67

St. Mihiel

[1789](#), [1812](#), [2189](#).

Saint of Nafta

See [Mustafa ibn Azuz, religious leader](#).

St. Omer

[653](#).

St. Patrick's, Dublin

[694](#).

St. Paul's Cathedral, London

[675](#).

St. Paul's School, London

[594](#).

St. Peter's, Rome

[409](#), [532](#), [607](#), [609](#), [609](#), [1950](#).

St. Petersburg

[781](#), [785](#), [786](#), [961](#), [1080](#), [1104](#), [1108](#), [1124](#), [1138](#), [1140](#), [1140](#), [1140](#), [1258](#), [1259](#), [1260](#), [1260](#), [1262](#), [1263](#), [1307](#), [1418](#), [1610](#), [2064](#), [2064](#), [2066](#), [3303](#); treaty of, [665](#), [1418](#); conference of 1913, [1138](#); congress of 1904, [1262](#); soviet, [1263](#), [1263](#), [1263](#); conference on Greece, [1274](#); protocol, [1275](#). See [Leningrad](#); [Petrograd](#).

St. Petersburg–Moscow Railway

[1259](#).

St. Peter's Fields, Manchester

[1046](#).

St. Peter's Square, Rome

[735](#), [2960](#).

St. Pierre


[940](#).

St. Pierre, Abbé de, educator

[715](#).

St. Quentin



[449](#), [588](#), [598](#), [602](#), [608](#), [1801](#), [1812](#), [1812](#).  
Saint-Simon, Henri de  
[1035](#), [1035](#), [1060](#), [1061](#).  
St. Sophia  
[438](#); Council of, [434](#); cathedral, Kiev, [488](#).  
St. Stephen  
[3152](#).  
St. Thomas, Virgin Islands  
[2311](#), [2311](#), [2312](#), [2600](#).  
St. Thomas de Aquinas University, Santo Domingo  
[912](#).  
St. Vincent  
[940](#), [3756](#), [3759](#).  
St. Vincent and the Grenadines  
[3762](#).  
St. Wandrille  
[411](#).  
St. Yuri's Day, in Russia  
[631](#).  
Saionji, Kimmochi  
[1464](#), [1466](#), [1469](#), [1471](#), [1784](#).  
Saipan  
[2630](#).  
Sais  
[89](#), [94](#), [95](#), [95](#).  
Saisset, Bernard, bishop of Pamiers  
[452](#).  
Saite dynasty  
[95](#).  
Sait , Makoto, Japanese leader  
[2489](#), [2490](#), [2512](#), [2514](#), [2516](#).  
Saiva  
[133](#), [337](#).  
Saivism  
[129](#), [133](#), [324](#), [326](#), [326](#), [326](#), [327](#), [327](#), [328](#), [331](#), [331](#), [331](#), [336](#), [340](#).  
Saka, Hasan, Turkish leader  
[3788](#).  
Saka era  
[336](#).  
Sakai  
[396](#).

Sakalava Empire  
[892](#), [892](#), [893](#), [893](#), [1561](#).

Sakanoue Tamuramaro, Japanese leader  
[385](#).

Sakarya River  
[2145](#), [2321](#).

Sakas  
[130](#), [130](#), [130](#), [132](#), [217](#), [272](#), [272](#).

Sakdalista revolt  
[2535](#).

Sakha  
*See* [Xois](#).

Sakhalin Island  
[1260](#), [1437](#), [1451](#), [1463](#), [2071](#), [2500](#), [2502](#), [2505](#), [2634](#), [2645](#).

Sakharov, Andrei, scientist  
[3280](#), [3287](#), [3290](#), [3291](#), [3299](#).

Sakuntala  
[131](#).

Sakurauchi Yoshio, Japanese leader  
[4245](#).

Sakya  
[129](#).

Sakyamitra, writer  
[324](#).

Sakyamuni  
[130](#).

Saladin  
*See* [Salah al-Din al-Ayyubi \(Saladin\), Ayyubid leader](#).

Saladin tithe, England  
[444](#), [450](#), [505](#).

Salado, battle of  
[528](#).

Salafiyya, Islamic movement  
[2365](#).

Salah  
[1377](#).

Sabur, Salah Abd al-, poet  
[3913](#).

Salah al-Din al-Ayyubi, Saladin  
[318](#), [318](#), [319](#), [319](#), [319](#), [503](#), [503](#), [505](#), [505](#), [505](#), [507](#).

Salah al-Din al-Bitar, Syrian leader

[3838](#), [3841](#).  
Salah al-Din al-Sabbagh, Iraqi leader  
[2406](#).  
Salahuddin Abdul Aziz Shah Alhaj, sultan, ruler of Malaysia  
[4115](#).  
Salalngor  
[838](#).  
Salama Musa, intellectual  
[2357](#).  
Salamanca  
[476](#), [1028](#), [2894](#).  
Salamanca, Daniel, Bolivian leader  
[2255](#), [2255](#).  
Salamanca, University of  
[479](#).  
Bacalar, Salamanca de  
[902](#).  
Salamat, Magat, Philippine leader  
[867](#).  
Salamaua  
[2629](#).  
Salamis  
[95](#), [180](#), [189](#), [209](#).  
Salan, Raoul, French leader  
[2850](#), [2853](#), [3927](#).  
Salandra, Antonio, Italian leader  
[1225](#), [1746](#), [1941](#), [1941](#), [1947](#).  
Salankayana of Vengi  
[133](#).  
Salasco, armistice of  
[1092](#).  
Salas Romer, Henrique, Venezuelan leader  
[3604](#).  
Salayar  
[843](#).  
Salazar, Antonio de Oliveira, Portuguese leader  
[1937](#), [1938](#), [1940](#), [2568](#), [2912](#), [2912](#), [2914](#), [2914](#), [2914](#), [2914](#), [2914](#), [2914](#), [2915](#).  
Salbai, treaty of  
[835](#).  
Saldanha, Manoel de, Portuguese envoy to China  
[852](#).

Salé

[824](#).

Saleh, Ali Abdallah, Yemenite leader

[3895](#), [3895](#), [3895](#).

Salék, Moustapha Ould, Mauritanian leader

[4364](#).

Salem

[926](#), [926](#), [928](#), [934](#).

Salerno

[455](#), [458](#), [466](#), [468](#), [471](#), [584](#), [2617](#).

Salian dynasty

[454](#), [455](#).

Salians, Franks

[402](#), [407](#), [407](#), [407](#).

Salic Law

[520](#), [720](#), [1062](#), [3065](#).

Salih, Berber prophet

[295](#).

Salih, Ali Abdallah, Yemenite leader

[3894](#).

Salim

*See* [Jahangir, Mughal emperor](#).

Salim al-Hoss, Huss

[3850](#), [3853](#), [3853](#).

Salim Taqla, publisher

[1371](#).

Salinas

[3707](#).

Salinas de Gortari, Carlos, Mexican leader

[3705](#), [3705](#), [3706](#), [3707](#), [3707](#), [3708](#), [3712](#).

Salinas de Gortari, Raúl, Mexican leader

[3709](#), [3712](#).

Salisbury

[446](#), [671](#), [1548](#).

Salisbury, marquis of, Robert Gascoyne-Cecil, English leader

[969](#), [1106](#), [1108](#), [1110](#), [1114](#), [1120](#), [1120](#), [1155](#), [1162](#).

Salk, Jonas E., microbiologist

[2653](#), [3399](#).

Sallust, Caius Sallustius Crispus

[239](#).

Salman ibn Ahmad, sheik of Kuwait

[821](#).  
Salona, Split  
[260](#).  
Saloniki, Salonika  
[312](#), [315](#), [315](#), [430](#), [483](#), [496](#), [499](#), [503](#), [508](#), [538](#), [564](#), [568](#), [568](#), [1132](#), [1139](#), [1346](#),  
[1743](#), [1743](#), [1744](#), [1744](#), [1758](#), [1758](#), [1758](#), [1797](#), [1806](#), [1806](#), [1825](#), [2155](#), [3221](#).  
Salsette  
[835](#).  
Salt, Thomas, British reformer  
[1049](#).  
Salt Lake  
[111](#).  
Salum, kingdom of  
[870](#), [1510](#).  
Salum River  
[870](#).  
Saluzzo  
[608](#).  
Salvador, Brazil  
[1677](#).  
Salvador, El Salvador  
[902](#).  
Salvadoran-Honduran War  
[3473](#).  
Salvation Army  
[2569](#).  
Salvius, John Adler, Swedish envoy  
[624](#).  
Salvius Julianus, Roman jurist  
[253](#).  
Salyut  
[2641](#).  
Salza, Hermann von  
[458](#), [460](#), [460](#), [460](#).  
Salzach  
[759](#).  
Salzburg  
[425](#), [584](#), [1009](#), [2000](#), [2006](#).  
Sam'al  
[106](#), [106](#).  
Samanid dynasty

[295](#), [296](#), [297](#), [300](#), [300](#), [325](#).  
Samantabhadra  
[130](#).  
Samaria  
[87](#), [104](#), [105](#), [105](#), [105](#), [206](#), [250](#).  
Samarkand, Samarqand  
[271](#), [307](#), [320](#), [334](#), [368](#), [376](#), [830](#).  
Samarra  
[273](#), [295](#), [295](#), [296](#), [1752](#).  
Samaveda  
[129](#).  
Sambhaji, rajah  
[834](#).  
Samhan, the three Hans  
[160](#).  
Samium, king of Larsa  
[85](#).  
Samkaram Hills  
[326](#).  
Samkara of Malabar, theologian  
[327](#).  
Sammuramat, regent  
[87](#).  
Samnites  
[220](#), [222](#), [223](#), [226](#), [227](#), [227](#), [227](#), [227](#), [231](#).  
Samnite Wars  
[226](#), [227](#), [227](#).  
Samnye  
[1432](#).  
Samo, Frankish tradesman  
[483](#).  
Samoa  
[52](#), [864](#), [865](#), [865](#), [866](#), [970](#), [1477](#), [1477](#), [1477](#), [1478](#), [1478](#), [2530](#), [2530](#), [2531](#), [2539](#),  
[2551](#), [2551](#), [2551](#), [2551](#), [2959](#), [4285](#), [4314](#); WWI, [1768](#). *See* [Western Samoa](#).  
Samogitia  
[550](#).  
Samokov Seminary, Bulgaria  
[1299](#).  
Samorian Empire  
[1511](#).  
Samos

[168](#), [176](#), [179](#), [182](#), [189](#), [189](#), [194](#), [198](#), [200](#), [202](#), [203](#), [2630](#).  
Samosata  
[435](#).  
Samothrace  
[168](#), [200](#), [564](#).  
Sampaio, Jorge, Portuguese leader  
[2920](#).  
Samper Pizano, Ernesto, Colombian leader  
[3588](#), [3589](#), [3589](#).  
Sampul River  
[3694](#).  
Samsi, Arabian queen  
[127](#).  
Samson, Nicos, Cypriot leader  
[3809](#).  
Samsonov, Alexander, Russian commander  
[1739](#), [1739](#), [1792](#).  
Samsuditana, king of Babylon  
[85](#).  
Samsuiluna, king of Babylon  
[85](#).  
Samsun  
[2321](#).  
Samsung  
[4212](#).  
Samudio, David, Panamanian leader  
[3640](#).  
Samudragupta, Indian king  
[130](#).  
Samuel, prophet of Israel  
[104](#).  
Samuel, tsar of Bulgaria  
[438](#), [438](#), [441](#), [441](#), [441](#), [441](#), [499](#).  
Samuel, Herbert  
[1848](#), [2386](#).  
Samuel ibn Nahmias, printer  
[315](#).  
Samuel J. Tilden, U.S. leader  
[1596](#).  
samurai  
[576](#), [861](#), [862](#), [1441](#), [1442](#), [1450](#), [1451](#).

San'a, South Yemen

[794](#), [2415](#), [3891](#).

San`a, University of

[3893](#).

Sana

[128](#).

San Bernardino

[3390](#).

Sánchez Cerro, Luis, Peruvian leader

[2260](#), [2260](#), [2261](#).

Sánchez de Lozada, Gonzalo, Bolivian leader

[3549](#).

Sánchez Hernández, Fidel, Salvadoran leader

[3664](#).

Sanchi

[129](#), [129](#), [130](#), [132](#).

Sancho I, the Fat

[419](#), [420](#).

Sancho I, the Great

[420](#), [478](#).

Sancho I, king of Portugal

[480](#).

Sancho II, king of Castile

[476](#).

Sancho II, king of Portugal

[480](#), [481](#).

Sancho IV, king of Castile

[525](#).

Sanchuniathon, Phoenician philosopher

[108](#).

Sanclemente, Miguel, Latin American leader

[1673](#).

sanctions

[1725](#); Italy, [1724](#), [1953](#), [1953](#), [1954](#); Rhodesia, [2662](#), [4467](#); South Africa, [2662](#), [2682](#), [2682](#), [2683](#), [4480](#), [4482](#); India, [2694](#); Comoros, [2696](#); Pakistan, [2697](#); Afghanistan, [2697](#), [3836](#); Yugoslavia, [2757](#), [3182](#); Austria, [3040](#); Haiti, [3432](#); Cuba, [3471](#); Panama, [3644](#), [3645](#); Iraq, [3886](#), [3888](#); Libya, [3948](#); Malaysia, [4114](#); Burundi, [4413](#); Zimbabwe, [4469](#).

Sand, Karl, German rebel leader

[1071](#).


Sand Creek, massacre at



[1589](#).  
San Diego  
[904](#), [2214](#).  
Sandinista Defense Committees  
[3678](#).  
Sandinistas  
[2637](#), [2644](#), [3642](#), [3675](#), [3676](#), [3676](#), [3676](#), [3676](#), [3676](#), [3676](#), [3676](#), [3677](#), [3677](#), [3677](#),  
[3678](#), [3678](#), [3679](#), [3680](#), [3682](#), [3682](#), [3683](#), [3683](#), [3684](#), [3684](#), [3689](#), [3722](#).  
Sandino, Augusto César, Nicaraguan revolutionary  
[2283](#), [2285](#), [2285](#).  
Sandino forces, Nicaragua  
[2285](#).  
Sandomir  
[486](#).  
Sandoval, José León, Latin American leader  
[1683](#).  
Sandoz Company  
[2976](#).  
Sand River Convention  
[1552](#), [1554](#).  
Sandrocottus  
*See* [Chandragupta Maurya](#).  
Sands, Bobby, IRA leader  
[2790](#).  
Sandwich  
[446](#), [511](#).  
Sandwich Islands  
*See* [Hawaii](#).  
Sandys, Edwin  
[925](#).  
San Francisco  
[904](#), [904](#), [990](#), [2191](#), [2887](#), [3414](#), [3418](#), [4214](#); segregation in schools, [1615](#);  
Conference, [1699](#), [2634](#); earthquake, [3804](#); Japanese peace conference, [4226](#).  
San Francisco Bay  
[33](#).  
Sanfuentes Andonaegui, Juan Luis, Latin American leader  
[1664](#).  
Sanga people  
[363](#), [1539](#).  
Sangathan movement  
[2438](#).

Sanger, Margaret, reformer  
[2464](#).

San Germano, peace of  
[458](#).

Sanggyang ng  
[378](#).

Sang Hongyang, Chinese leader  
[156](#).

San Gil, mutiny of  
[1199](#), [1202](#).

San Giovanni di Medua  
[1798](#).

San Giuliano, Antonio di  
[1746](#).

Sangster, Donald  
[3759](#).

Sanguinetti, Julio María, Uruguayan leader  
[3533](#), [3534](#), [3534](#), [3534](#).

Sangu people  
[1529](#).

Sanha, Malam Bacai, Guinea-Bissau leader  
[4352](#), [4352](#).

Sanhadja  
[344](#).

San Ildefonso, treaty of  
[726](#), [726](#), [907](#), [916](#).

Sanitary Commission  
[1586](#).

Sanjaasuregiyn Zorig, Mongolian leader  
[4187](#).

San Jacinto, battle of  
[1576](#), [1687](#).

Sanjak of Novi Bazar  
[1108](#), [1132](#), [1132](#).

Sanjar, Seljuk leader  
[302](#).

San José  
[2274](#), [3691](#).

San Juan, Puerto Rico  
[895](#), [1694](#), [2309](#), [2600](#), [3432](#), [3732](#).

San Juan del Norte

[1683](#).  
San Juan de Ulúa  
[901](#).  
San Juan Hill, battle of  
[1609](#).  
San Juan River  
[896](#), [898](#), [3692](#).  
Sanjurjo, José, Spanish leader  
[1926](#), [1929](#).  
Sankara  
[283](#).  
Sankara, Thomas, Upper Voltan leader  
[4330](#), [4330](#), [4330](#).  
Sankoh, Foday, Sierra Leonean leader  
[4326](#), [4383](#), [4384](#), [4384](#), [4385](#).  
San Lorenzo  
[54](#), [1565](#).  
San Lucar, port of Seville  
[601](#).  
San Luis de Potosí  
[602](#), [903](#), [911](#), [911](#), [1692](#).  
San Marco, Venice  
[539](#); library of, [536](#).  
San Marcos, University of  
[2259](#).  
San Marcos de Lima University  
[912](#).  
San Marino, Italy  
[1066](#), [1738](#), [2636](#), [2934](#).  
San Martín, José de, Latin American leader  
[1644](#), [1648](#), [1648](#), [1648](#), [1649](#), [1649](#), [1649](#), [1652](#).  
San Miguel de Guadalupe  
[905](#).  
San Miguel de Piura  
[898](#).  
San Nicolás  
[1659](#).  
San Pedro  
[902](#).  
San people  
San

[13](#), [29](#), [364](#), [890](#), [1565](#).  
San Remo Conference  
[1708](#), [1788](#), [1818](#), [1943](#), [2386](#).  
San River  
[1794](#).  
Sanron Buddhism  
[385](#).  
San Salvador, province  
[572](#), [1655](#), [2280](#), [3664](#), [3665](#), [3670](#), [3673](#).  
San Sebastian  
[1925](#), [1929](#), [2893](#).  
San Sepolcro, Dionigi di, humanist  
[533](#).  
Sanskrit College, Benares  
[836](#).  
San Stefano, treaties of  
[1108](#), [1260](#), [1299](#), [1325](#), [1343](#), [1344](#), [1344](#).  
Santa Ana de Coro  
[897](#).  
Santa Anna, Antonio López de, Mexican leader  
[1687](#), [1687](#), [1687](#), [1687](#), [1687](#), [1687](#), [1687](#), [1688](#), [1688](#), [1688](#), [1691](#).  
Santa Barbara Channel  
[33](#).  
Santa Clara  
[3715](#).  
Santa Costanza  
[260](#).  
Santa Cruz, Agadir  
[822](#).  
Santa Cruz, Andrés, Latin American leader  
[1668](#), [1670](#), [1670](#).  
Santa Cruz Islands  
[648](#), [865](#).  
Santa Elena Peninsula  
[2601](#).  
Santa Fe, Argentina  
[900](#).  
Santa Fe, New Mexico  
[904](#).  
Santa Fe, province  
[1644](#), [1647](#).

Santa Fe, battle of  
[1578](#).

Santa Fe de Bogotá  
[897](#), [897](#).

Santa Hermandad, union of towns  
[525](#).

Santa Margherita  
[1821](#).

Santa María, ship  
[572](#).

Santa Maria, Domingo, Latin American leader  
[1663](#).

Santa María de Iquique  
[1664](#).

Santa Marta  
[897](#), [897](#), [897](#), [1650](#), [1675](#), [2267](#).

Santa Monica  
[3436](#).

Santana, Pedro, Latin American leader  
[1695](#), [1695](#).

Santander, Francisco de Paula, Latin American leader  
[1650](#), [1651](#), [1672](#), [1672](#), [1930](#).

Santarem, João de, explorer  
[281](#).

Santas  
[112](#).

Santa Scala, Rome  
[609](#).

Santer, Jacques, EU leader  
[2752](#).

Santerí  
[3465](#).

Santiago, Chile  
[899](#), [1648](#), [1648](#), [1662](#), [1664](#), [1699](#), [1920](#), [2239](#), [2245](#), [2600](#), [3474](#), [3511](#), [3514](#), [3515](#),  
[3520](#).

Santiago, battle of  
[1609](#).

Santiago de Campostela  
[420](#), [479](#).

Santiago de Cuba  
[895](#).

Santiago de Guatemala  
[911](#).

Santideva, Indian author  
[131](#).

Santo Domingo  
[570](#), [572](#), [572](#), [588](#), [894](#), [895](#), [895](#), [895](#), [895](#), [895](#), [897](#), [906](#), [909](#), [909](#), [911](#), [912](#), [912](#), [1199](#),  
[1567](#), [1614](#), [1695](#), [1695](#), [1695](#), [1695](#), [1695](#), [1695](#), [1696](#), [1696](#); independence of, [1695](#).

San Tomé  
[1516](#).

Santos, Eduardo, Colombian leader  
[2268](#).

Santos, Máximo, Latin American leader  
[1667](#).

Santos-Dumont, Alberto, aviation pioneer  
[990](#).

Santos Zelaya, José, Latin American leader  
[1684](#).

Sanua, James (Ya'qub), publisher  
[1372](#).

Sanusi  
[3947](#).

Sanusiyya  
[1750](#), [2430](#), [2430](#), [2431](#), [2431](#), [2431](#).

Sanusiyya confederation  
[2430](#).

Sanusiyya Sufism  
[1392](#), [1392](#), [1393](#), [1393](#).

San Yun, Cambodian leader  
[4078](#).

São Francisco River  
[915](#).

Saône River  
[411](#).

São Paulo  
[570](#), [914](#), [915](#), [915](#), [916](#), [918](#), [918](#), [1656](#), [1656](#), [1677](#), [1677](#), [1677](#), [2270](#), [2270](#), [2270](#),  
[2271](#), [2272](#), [3465](#), [3551](#), [3608](#), [3610](#), [3616](#), [3620](#).

São Paulo, University of  
[3618](#).

São Salvador, Bahia  
[914](#).

Sao Shwe Thaik, Burmese leader

[4048](#), [4049](#).

São Tiago

[359](#).

São Tomé

[359](#), [2672](#), [2916](#).

São Tomé and Príncipe

[4374](#), [4375](#); independence, [4374](#).

São Vicente

[914](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 68

Sapienza, battle of

[538](#).

Sappho of Lesbos, Greek poet

[176](#), [176](#).

Saqiat Sidi Yusuf, Tunisia

[3942](#).

Saqqara

[91](#).

Saracens

[417](#), [436](#), [453](#), [458](#), [465](#), [465](#), [466](#), [468](#), [472](#), [498](#), [498](#), [498](#).

Sarafov, Boris, Bulgarian leader

[1321](#).

Saragat, Giuseppe, Italian leader

[2925](#), [2930](#).

Saragossa

[419](#), [419](#), [475](#), [476](#), [479](#), [1929](#).

Sarai

[489](#).

Saraiva Cotegipe Law, Brazil

[1677](#).

Sarajevo

[980](#), [1140](#), [1244](#), [1295](#), [1335](#), [3178](#), [3183](#), [3184](#), [3185](#), [3185](#), [3186](#), [3186](#), [3187](#), [3188](#).

Sarapis

[208](#).

Sarasorda, mathematician

[479](#).

Sarat Mountains

[125](#), [128](#).

Saravia, Aparicio, Latin American leader

[1667](#), [1667](#).



Sarawak

[1412](#), [1413](#), [2636](#), [2763](#), [3958](#), [4106](#), [4106](#), [4106](#), [4107](#), [4107](#).

Sarbadars

[306](#).

Sarbaros

*See* [Shahrbaraz, usurper of the Persian throne](#).

Sardinia

[93](#), [93](#), [110](#), [221](#), [230](#), [231](#), [234](#), [242](#), [293](#), [412](#), [468](#), [470](#), [526](#), [533](#), [659](#), [659](#), [660](#), [660](#), [715](#), [723](#), [738](#), [738](#), [740](#), [746](#), [780](#), [957](#), [1005](#), [1032](#), [1066](#), [1211](#), [1312](#), [1961](#); and Tunisia, [1387](#).

Sardis

[114](#), [114](#), [115](#), [177](#), [187](#).

Sarduri I, king of Urartu

[118](#).

Sarduri II, king of Urartu

[118](#).

Sardus

[114](#).

Sarekat Islam

[1414](#).

Sarekat Islam Party, SI

[2456](#), [2456](#).

Sargon I, the Great

[66](#), [84](#), [103](#).

Sargon II, king of Assyria

[87](#), [105](#), [114](#), [118](#), [122](#), [128](#).

Sargon of Akkad

[84](#), [85](#), [102](#), [122](#).

Sarich, Vincent, biochemist

[19](#).

Sarikamish, battle of

[1749](#).

Sari Mehmed Pasha, Ottoman official and writer

[805](#).

Sarit Thanarat

[4067](#), [4067](#), [4067](#), [4071](#).

Sarkhej


[334](#).

Sarkis, Ilyas, Lebanese leader

[3847](#).

Sarkissian, Aram, Armenian leader

[3310](#).  
Sarkissian, Vazgen, Armenian leader  
[3310](#).  
Sarmatians  
[254](#), [257](#), [264](#).  
Sarmiento, Domingo F., writer  
[1657](#), [1660](#).  
Sarney, José, Brazilian leader  
[3620](#), [3622](#), [3622](#).  
Saronic Gulf  
[189](#).  
Saros, freed slaves  
[1514](#), [1514](#), [1514](#), [1515](#).  
Sarrail, Maurice, French leader  
[1744](#), [1758](#), [1806](#), [2373](#), [2373](#).  
Sarraut, Albert, French leader  
[1912](#).  
Sarraute, Natalie, writer  
[2702](#).  
Sarto, Andrea del, Italian artist  
[597](#), [607](#).  
Sartre, Jean-Paul, philosopher  
[1815](#), [2701](#), [2839](#).  
Sartzetakis, Christo, Greek leader  
[3226](#).  
Saruhan Bey, Turkoman leader  
[306](#), [310](#).  
Sarvastivadin, Indian sect  
[130](#), [331](#).  
Sasbach  
[652](#).  
Saseno, island of  
[1746](#), [1746](#), [1943](#), [2136](#).  
Saskatchewan  
[1639](#), [2226](#).  
Saskatchewan River  
[1623](#).  
Sassanian Empire  
[70](#), [80](#), [129](#), [130](#), [256](#), [257](#), [271](#), [271](#), [271](#), [271](#), [272](#), [273](#), [274](#), [275](#), [275](#), [275](#), [276](#),  
[279](#), [285](#), [286](#), [287](#), [287](#), [287](#), [287](#), [288](#), [289](#), [290](#), [292](#), [295](#), [300](#), [301](#), [324](#).  
Sassou-Nguesso, Denis, Congolese leader

[4446](#), [4446](#), [4447](#), [4447](#), [4447](#), [4447](#), [4447](#), [4448](#).  
Sassun  
[965](#).  
Sastroamidjojo, Ali, Indonesian leader  
[4124](#), [4125](#).  
Sasun  
[1346](#).  
Satakani dynasty  
[132](#), [132](#), [132](#), [133](#), [133](#).  
Satavahana dynasty  
[132](#).  
Sati' al-Husri, educator  
[2400](#).  
Satiru  
[1520](#).  
Sat  Eisaku, Japanese leader  
[4235](#), [4236](#), [4237](#), [4238](#).  
Satsuma  
[1441](#), [1442](#), [1442](#), [1446](#), [1447](#), [1448](#), [1450](#), [1452](#); rebellion, [1452](#).  
Sattar, Abdus, Bangladeshi leader  
[4023](#).  
Sattasai  
[132](#).  
Saturn  
[640](#).  
Saturnalia  
[260](#).  
Saturninus, Lucius Antonius, Roman legate  
[252](#), [252](#).  
Saturninus, Lucius Appuleius, Roman tribune  
[236](#).  
Satyricon  
[246](#).  
Sa`ud, king of Saudi Arabia  
[3889](#), [3889](#), [3889](#).  
Sa'ud, successor to king of Saudi Arabia  
[2413](#).  
Saudi Arabia  
[295](#), [580](#), [820](#), [1362](#), [2398](#), [2414](#), [2414](#), [2415](#), [2416](#), [2640](#), [2643](#), [2677](#), [3769](#), [3771](#),  
[3771](#), [3771](#), [3772](#), [3774](#), [3774](#), [3776](#), [3782](#), [3888](#), [3889](#), [3889](#), [3889](#), [3889](#), [3889](#), [3889](#),  
[3890](#), [3890](#), [3891](#), [3898](#), [4006](#), [4418](#); borders completed, [2412](#); official establishment,

[2413](#); Saudi dominance, [3889](#), [3889](#); military expansion, [3889](#); consultative council, [3889](#).

Sa'ud ibn Abd al-Aziz, Saudi emir  
[1358](#).

Sa'ud ibn Faysal, Saudi emir  
[1361](#).

Saudi-British Treaty  
[2412](#).

Saudis  
[791](#), [791](#), [820](#), [820](#), [1358](#), [1358](#), [1359](#), [1359](#), [1359](#), [1359](#), [1359](#), [1360](#), [1361](#), [1361](#), [1361](#), [1361](#), [1362](#), [1362](#), [1362](#), [1362](#), [1362](#), [1362](#), [1363](#), [1364](#), [1364](#), [1365](#), [1366](#), [2408](#), [2410](#), [2410](#), [2411](#), [2412](#), [2413](#), [2413](#).

Sauk Indians  
[1575](#).

Saul, king of Israel  
[104](#), [104](#), [104](#), [106](#).

Saul, David, Bermudian leader  
[3766](#).

Sault Ste. Marie  
[921](#).

Saundarananda, Conversion of Nanda  
[130](#).

Saussure, Nicholas de, scientist  
[1041](#).

Saustatar, king of Mitanni  
[86](#).

Sautrantika  
[131](#).

Sava  
[560](#).

Sava, St., bishop of Serbia  
[494](#), [494](#), [494](#), [495](#).

Savage, John, conspirator against Elizabeth I  
[588](#).

Savage, Michael Joseph, New Zealand leader  
[2551](#), [2553](#).

Savaii Island  
[1478](#).

SAVAK  
[3817](#), [3820](#).

Savang Vathana, king of Laos

[4094](#), [4094](#), [4096](#), [4097](#).  
Savannah, transatlantic steamship  
[950](#), [961](#), [989](#).  
Savannah, battle of  
[1589](#).  
Savannah River  
[938](#).  
Savary, Alain, French leader  
[2873](#).  
Save River  
[562](#).  
Savigny, Friedrich Karl von, Prussian leader  
[1035](#).  
Savimbi, Jonas, Angolan leader  
[4435](#), [4436](#), [4439](#), [4440](#), [4441](#), [4442](#), [4443](#), [4444](#), [4445](#).  
Savona  
[1026](#).  
Savonarola, Girolamo, religious reformer  
[532](#), [536](#), [536](#).  
Savov, Michael, Bulgarian leader  
[1138](#), [1309](#).  
Savoy, independent Italian state  
[546](#), [600](#), [612](#), [615](#), [625](#), [626](#), [626](#), [626](#), [653](#), [656](#), [656](#), [657](#), [659](#), [659](#), [715](#), [738](#), [738](#),  
[738](#), [739](#), [740](#), [745](#), [1032](#), [1069](#), [1181](#), [1211](#), [1212](#), [1964](#).  
Savoy, duke of  
[654](#), [656](#), [671](#).  
Saw Maung, Burmese leader  
[4061](#).  
Sawyer, Amos, Liberian leader  
[4357](#).  
Saxa Rubra, Milvian Bridge  
[262](#).  
Saxe  
[660](#).  
Saxe, count of, Hermann Maurice, French marshal  
[660](#).  
Saxo Grammaticus, historian  
[464](#).  
Saxon (or Ottonian) House  
[415](#).  
Saxons

[407](#), [407](#), [408](#), [415](#), [416](#), [421](#), [421](#), [422](#), [424](#), [444](#), [492](#), [493](#).

Saxony

[410](#), [412](#), [415](#), [415](#), [415](#), [415](#), [416](#), [454](#), [454](#), [454](#), [454](#), [455](#), [456](#), [456](#), [456](#), [456](#), [459](#), [523](#), [541](#), [541](#), [614](#), [615](#), [615](#), [617](#), [618](#), [620](#), [620](#), [620](#), [620](#), [620](#), [620](#), [622](#), [643](#), [653](#), [659](#), [660](#), [660](#), [660](#), [660](#), [660](#), [661](#), [662](#), [662](#), [662](#), [663](#), [666](#), [753](#), [757](#), [759](#), [759](#), [769](#), [780](#), [1008](#), [1032](#), [1032](#), [1071](#), [1096](#), [1102](#), [1234](#), [1978](#).

Say, Jean-Baptiste, economist

[1035](#), [1060](#).

Saye and Sele, 1st viscount, William Fiennes, English colonizer

[928](#).

Sayem, Abu Sadat Hohammad

[4019](#), [4020](#).

Sayf al-Dawla, Hamdanid leader

[297](#), [317](#), [317](#).

Sayfi of Bukhara, Iranian poet

[812](#).

Sayri Túpac, Inca ruler

[899](#), [899](#).

Sayyid Ahmad al-Sharif, Libyan leader

[1393](#).

Sayyid Ahmad Khan, Muslim reformer

[1397](#), [1398](#).

Sayyid Ahmad Shahid, Muslim leader

[1395](#), [1395](#).

Sayyid Ali Muhammad, the Bab

[1350](#).

Sayyid Amir Ali, Muslim reformer

[1397](#).

Sayyid Darwish, composer

[2355](#).

Sayyid dynasty

[334](#).

Sayyid Muhammad ibn Ali, ruler of Asir

[2412](#).

Sayyid Muhammad Tabataba'i, Iranian reformer

[1352](#).

Sayyid Sa'id ibn Sultan, ruler of Oman

[1528](#), [1528](#), [1528](#), [1528](#), [1528](#), [1529](#), [1529](#).

Sazman-i Mujahidin-i al-Khalq, Iran

[3817](#), [3822](#), [3825](#).

Scaevola, Quintus Mucius, Roman consul

[229](#).

Scalfaro, Oscar Luigi, Italian leader  
[2925](#), [2949](#), [2949](#), [2951](#).

Scandinavia  
[18](#), [29](#), [29](#), [31](#), [278](#), [281](#), [402](#), [402](#), [410](#), [412](#), [413](#), [424](#), [425](#), [426](#), [426](#), [426](#), [456](#), [456](#), [461](#), [488](#), [498](#), [498](#), [548](#), [548](#), [548](#), [551](#), [554](#), [584](#), [627](#), [627](#), [761](#), [761](#), [761](#), [992](#), [1075](#), [1075](#), [1075](#), [1077](#), [1143](#), [1247](#), [1247](#), [1247](#), [1247](#), [1248](#), [1891](#), [1896](#), [1992](#), [2036](#), [2036](#), [2036](#), [2036](#), [2036](#), [2038](#), [2043](#), [2043](#), [2048](#), [2049](#), [2052](#), [2056](#), [2060](#), [2642](#), [3041](#), [3041](#), [3041](#), [3278](#); society, [426](#); and England, [444](#); unification of, [551](#), [554](#); Great Depression, [1814](#), [2036](#).

Scandinavianism, nationalistic movement  
[1075](#), [1077](#).

Scania  
[461](#).

Scapa Flow, Cromarty, British Grand Fleet base  
[1741](#), [1741](#), [1784](#), [1795](#), [1973](#).

Scarborough, bombardment of  
[1795](#).

Scarlatti, Alessandro, Italian composer  
[735](#).

Scelba, Mario, Italian leader  
[2932](#).

Scerdilaidas, king of Illyria  
[231](#).

Schacht, Hjalmar, German financier  
[1978](#), [1991](#), [1992](#).

Schaeffer, Claude, archaeologist  
[2376](#).

Schaerer, Alberto, Latin American leader  
[1666](#).

Schaerer, Edward, Paraguayan leader  
[2248](#).

Schaerf, Adolf, Austrian leader  
[3032](#), [3034](#), [3035](#).

Schaffhausen  
[547](#), [625](#).

Schall von Bell, Adam, Jesuit in China  
[851](#), [854](#).

Scharnhorst, Gerhard von, Prussian general  
[1026](#).

Schauenberg

[750](#).  
Schauman, Finnish prelate  
[1254](#).  
Schauman, Eugen, assassin  
[1255](#).  
Scheer, Reinhardt, German admiral  
[1762](#), [1781](#), [1809](#).  
Scheffler, Johannes  
*See* [Angelus Silesius \(Johannes Scheffler\)](#), German poet.  
Scheidemann, Philipp, German leader  
[1782](#), [1971](#), [1973](#).  
Scheldt River  
[407](#), [411](#), [411](#), [412](#), [520](#), [705](#), [759](#), [1882](#), [1886](#).  
Schenck v. United States, U.S. Supreme Court decision  
[2188](#).  
Schenectady  
[1619](#).  
Schengen  
[2748](#).  
Schermerhorn, Willem, Dutch leader  
[2826](#).  
Schiaparelli, Giovanni, astronomer  
[1148](#).  
Schick, J., inventor of electric razor  
[986](#).  
Schill, Ferdinand Baptista von, Prussian officer  
[1026](#).  
Schism Act, England  
[683](#), [685](#).  
Schlafly, Phyllis, activist  
[3427](#).  
Schlegel, A. W., writer  
[1037](#).  
Schlegel, Friedrich, writer  
[1037](#).  
Schleicher, Kurt von, German leader  
[1984](#), [1985](#), [1986](#), [1988](#).  
Schleiden, Matthias, scientist  
[1043](#).  
Schleiermacher, Friedrich Ernst Daniel, German theologian  
[645](#), [1036](#).



Schlei River

[416](#).

Schleswig

[416](#), [461](#), [551](#), [554](#), [554](#), [619](#), [622](#), [1077](#), [1078](#), [1096](#), [1097](#), [1100](#), [1100](#), [1100](#), [1100](#), [1230](#), [1233](#), [1251](#), [1784](#), [1817](#), [1974](#), [2039](#), [2041](#). *See* [Schleswig-Holstein](#).

Schleswig-Holstein

[1075](#), [1077](#), [1077](#), [1100](#), [1233](#), [1251](#), [1251](#).

Schlieffen, Alfred von, Prussian commander

[1237](#), [1738](#).

Schlieffen Plan, for two-front war

[1237](#).

Schlüter, Poul, Danish leader

[3050](#), [3051](#).

Schmahl, Jeanne-E., French reformer

[1198](#).

Schmalkaldic League

[615](#).

Schmalkaldic War

[615](#).

Schmidt, George, missionary

[890](#).

Schmidt, Helmut, German leader

[2982](#), [3008](#), [3008](#).

Schneider Chereau, René, Chilean leader

[3511](#).

Schneider-Creusot, French arms factory

[1913](#).

Schneiderman, Rose, U.S. labor leader

[1613](#).

Schnitzer, Eduard

*See* [Emin Pasha, Mehmet, explorer](#).

Schober, Johann, Austrian leader

[2000](#), [2003](#), [2004](#).

Schoeffer, Peter, printer

[542](#), [643](#).

Schoenberg, Isaac, inventor

[1850](#).

Scholarius, George, theologian

[569](#).

scholasticism

[283](#), [580](#).

Schönberg, Arnold, composer  
[1146](#), [1816](#).

Schönbrunn, treaty of  
[1026](#), [1267](#).

Schönbrunn Convention  
[1104](#).

School Law, Denmark  
[771](#).

School of Isfahan, center of Shi'ite scholarship  
[815](#).

School of Languages, Egypt  
[1367](#).

School of Mathematics and Navigation, Russia  
[785](#).

Schopenhauer, Arthur, philosopher  
[1036](#).

Schouten group  
[2630](#).

Schrödinger, Erwin, Austrian physicist  
[1729](#).

Schroeder, Gerhard, German leader  
[2982](#), [2998](#), [3025](#), [3026](#).

Schubert, Franz, composer  
[1037](#).

Schuessel, Wolfgang  
[3039](#).

Schumacher, Kurt, German leader  
[2988](#).

Schuman, Robert, French leader  
[2700](#), [2709](#), [2719](#), [2842](#), [2842](#).

Schumann, Robert, composer  
[1037](#).

Schuman Plan  
[2709](#), [2710](#), [2711](#), [2988](#), [2990](#); Treaty, [2845](#), [2845](#).

Schuschnigg, Kurt von, Austrian leader  
[2008](#), [2009](#), [2009](#), [2009](#), [2010](#), [2010](#), [2011](#), [2011](#), [2011](#), [2011](#).

Schuster, Rudolf  
[3139](#), [3140](#).

Schütz, Heinrich, German composer  
[624](#).

Schutzbund, Austria





Scorpion, king of Upper Egypt

[91](#).

Scotch-Irish, settlers in America

[935](#).

Scotland

[251](#), [421](#), [421](#), [421](#), [422](#), [422](#), [424](#), [424](#), [424](#), [424](#), [424](#), [424](#), [424](#), [425](#), [426](#), [426](#), [444](#), [444](#), [447](#), [464](#), [464](#), [512](#), [512](#), [512](#), [512](#), [512](#), [512](#), [512](#), [512](#), [512](#), [517](#), [522](#), [585](#), [585](#), [585](#), [588](#), [588](#), [589](#), [589](#), [589](#), [589](#), [591](#), [591](#), [591](#), [591](#), [591](#), [591](#), [592](#), [592](#), [592](#), [593](#), [593](#), [593](#), [593](#), [598](#), [615](#), [668](#), [668](#), [668](#), [669](#), [669](#), [671](#), [674](#), [676](#), [676](#), [676](#), [678](#), [679](#), [679](#), [683](#), [686](#), [687](#), [785](#), [1046](#), [1155](#), [1157](#), [1159](#), [1846](#), [2693](#), [2777](#), [2800](#), [2800](#), [2802](#), [2802](#); and France, [452](#); and England, [512](#); union with England, [683](#); WWI, [1741](#), [1795](#), [1809](#); WWII, [2587](#).

Scott, Dred, U.S. slave

[1583](#).

Scott, Michael, activist

[4455](#).

Scott, Robert F., English explorer

[997](#), [997](#), [997](#).

Scott, Thomas, Canadian leader

[1630](#).

Scott, Walter, writer

[1046](#).

Scott, Winfield, U.S. commander

[1578](#), [1586](#), [1586](#).

Scottish Church

[447](#), [591](#).

Scottish National Party

[2644](#).

Scottish War

[512](#).

Scottsboro, Alabama

[2199](#).

Scottsboro Case

[2199](#).

Scouting Experimental, British plane

[1767](#).

Scranton, William W., U.S. leader

[3420](#).

Scratchley, Peter

[1477](#).

Scribonia, wife of Octavian

[242](#).  
Scribonianus, Lucius Arruntius Camillus, governor of Dalmatia  
[248](#).  
Scripture  
  *See* [Bible](#).  
Scrooby  
  [926](#).  
Scullin, James H., Australian leader  
  [2544](#).  
sculpture  
  [130](#), [132](#), [152](#), [158](#), [167](#), [229](#).  
Scutari  
  [536](#), [538](#), [563](#), [1138](#), [1138](#), [1798](#).  
Scutari, battles of  
  [1137](#), [1297](#).  
Scyros  
  [168](#), [190](#), [199](#).  
Scythians  
  [47](#), [87](#), [123](#), [130](#), [132](#), [216](#), [216](#).  
Scytho-Parthians  
  [217](#).  
Seaga, Edward, Jamaican leader  
  [3763](#).  
Sealand dynasty  
  [85](#), [86](#), [86](#), [88](#).  
Seale, Bobby, activist  
  [3417](#).  
Seaman's Act of 1915, U.S.  
  [1620](#).  
Seamen's Security Law, Norway  
  [2047](#).  
Sea of Azov  
  [489](#), [784](#).  
Sea of Japan  
  [160](#), [163](#), [167](#).  
Sea of Marmara  
  [114](#), [115](#), [955](#), [1045](#).  
Sea Peoples  
  [86](#), [93](#), [93](#), [103](#), [109](#), [113](#), [171](#).  
Sears, Richard Warner, U.S. merchant  
  [1602](#).

Sears, Roebuck, and Company

[1602](#).

Seattle

[18](#), [2697](#), [3438](#).

Sebastian I, king of Portugal

[605](#), [605](#), [823](#).

Sebennytus

*See* [Tjeb-neter](#).

Sebuktigin, Ghaznavid leader

[300](#).

secession

[1584](#), [1585](#).

Sechenov, Ivan M., physiologist

[1152](#).

Second Cataract

[92](#), [93](#).

Second Coalition

[1010](#), [1011](#).

Second Empire, France

[1177](#), [1187](#).

Second International

[1902](#); in Switzerland, [1228](#).

Second International Workingmen's Association

[959](#), [1144](#), [1703](#).

Second Reich

[1234](#).

Second Republic, France

[1081](#).

Second Secession

[225](#).

Second Temple

[105](#).

Secretariat of the Indies, Spain

[909](#).

secret ballot

[1492](#).

secret police

[1258](#); Ottoman Empire, [1345](#).

secret societies

[1059](#), [1060](#); Spain, [1062](#), [1066](#); Italy, [1066](#), [1067](#), [1067](#), [1067](#).

secularism

[580](#); in art, [616](#).  
secularization  
[1143](#), [1146](#); Belgium, [1171](#); Austria, [1242](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



## Subject Index

### Page 69

Secularization Campaign

[2326.](#)

Securities Act of 1933, U.S.

[2202.](#)

Securities and Exchange Commission, U.S.

[2202.](#)

Securities Exchange Act, U.S.

[2202.](#)

Security Covenant, Tunisia

[1388.](#)

Sedan, France

[1185](#), [1781](#), [2585](#), [2585.](#)

Sedayama, king of Vamsas

[129.](#)

Seddiq, Mahjoub ben, labor leader

[3919.](#)

Seddon, Richard John, New Zealand leader

[1504.](#)

Sedgemoor, battle of

[676.](#)

Sedgwick, Adam, geologist

[1043.](#)

Sedition Act, U.S.

[1565](#), [2188.](#)

Sedlnitzky, count, Austrian police chief

[1073](#), [1073.](#)

Sée, Camille, French reformer

[1193.](#)

Seeckt

[2474.](#)

Seely, H. W., developer of flatiron  
[986](#).

Sefuwa dynasty  
[354](#), [354](#), [871](#).

Segesta  
[185](#), [192](#), [197](#).

Segni, Antonio, Italian leader  
[2925](#), [2955](#).

Segovia  
[525](#), [601](#).

segregation  
[1558](#), [1559](#); in U.S., [1595](#), [1601](#), [1611](#), [1615](#). *See* [race](#).

Segu, kingdom of  
[870](#), [871](#), [878](#), [1507](#), [1511](#), [1517](#).

Segu Bambara  
[1510](#).

Seguel, Rodolfo, labor leader  
[3514](#).

Seguin, Marc, bridgebuilder  
[983](#).


Seibou, Ali, Niger leader  
[4365](#).

Seikad  Bunko, Japan  
[1425](#).

Seimas, Lithuanian parliament  
[2089](#), [2090](#), [2093](#).

Seine River  
[412](#), [413](#), [413](#), [413](#), [445](#), [450](#), [2619](#).

Seipel, Ignaz, Austrian leader  
[2001](#), [2002](#), [2003](#).

Seiry , Kaiho, economist  
[1437](#).

Seisachtheia, Athenian law  
[180](#).

Seishisai, Aizawa, Japanese leader  
[1437](#).

Sei Sh nagon, writer  
[386](#).

seismograph  
[1152](#).

Seiwa, emperor of China

[385](#).

Seiyōkai, Japan

[1460](#), [2499](#), [2507](#).

Seize Mai Crisis, France

[1191](#).

Sejanus, Lucius Aelius, Roman leader

[247](#), [247](#), [247](#).

Sejarah Melayu, court literature

[837](#).

Sejm, Poland

[487](#), [776](#), [776](#), [780](#), [780](#), [781](#), [1267](#), [1267](#), [1267](#), [2114](#), [2116](#), [2119](#), [2122](#), [2122](#), [3110](#).

Sejo, king of Korea

[855](#), [855](#).

Sejong, king of Korea

[855](#), [855](#).

Sejur, Poland

[3098](#).

Sekigahara, battle of

[858](#), [859](#), [859](#).

Seko, Mobutu Sese, Congolese leader

[4430](#).

Seku Ahmadu, African leader

[1510](#), [1510](#).

Sekukhune, African leader

[1552](#).

Selangor

[837](#), [1410](#), [1411](#), [1411](#).

Selassie, Haile, Ras Tafari

*See* [Haile Selassie I \(Ras Tafari\), emperor of Ethiopia](#).

Selden, George B., inventor

[990](#).

Selden, John, English jurist

[590](#).

Selden Resolution, U.S.

[3523](#).

Seldte, Franz, German leader

[1986](#).

Selective Service, U.S.

[2599](#), [3390](#), [3392](#), [3394](#), [3418](#).

Selective Service Act, U.S.

[2187](#).  
Selective Training and Service Act  
[2209](#).  
Seleucia  
[214](#), [218](#), [254](#).  
Seleucids  
[70](#), [88](#), [129](#), [208](#), [208](#), [213](#), [213](#), [214](#), [214](#), [214](#), [215](#), [216](#), [216](#), [216](#), [217](#), [240](#).  
Seleucus I Nicator, king of Babylon  
[129](#), [209](#), [209](#), [209](#), [209](#), [209](#), [209](#), [209](#), [213](#), [213](#).  
Seleucus II Callinicus, king of Syria  
[213](#), [213](#), [213](#), [213](#), [213](#), [216](#), [217](#).  
Seleucus III Soter, king of Syria  
[213](#), [214](#).  
Seleucus IV Philopater, king of Syria  
[214](#), [214](#), [214](#).  
Seleucus VI  
[215](#).  
Self-Denying Ordinance, England  
[593](#).  
Self-Employed Women's Association, SEWA  
[3950](#), [3972](#).  
Self-Reliance Literary Group, Vietnam  
[2526](#).  
Self-Strengthening Movement, China  
[1417](#).  
self-sufficiency  
[1986](#).  
Seligenstadt  
[466](#).  
Selim I, Ottoman sultan  
[316](#), [792](#), [792](#), [792](#), [796](#), [826](#).  
Selim II, Ottoman sultan  
[616](#), [795](#), [796](#), [796](#), [797](#), [797](#), [797](#), [813](#).  
Selim III, Ottoman sultan  
[578](#), [810](#), [810](#), [810](#), [810](#), [811](#), [811](#), [955](#), [1296](#), [1328](#), [1333](#).  
Selimiye mosque, Edirne  
[796](#), [798](#).  
Selim the Sot  
*See* [Selim II, Ottoman sultan](#).  
Selinus  
[185](#), [192](#), [197](#), [253](#).

Seljuks

[281](#), [281](#), [300](#), [300](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [301](#), [302](#), [302](#), [302](#), [302](#), [302](#), [303](#), [303](#), [303](#), [303](#), [306](#), [306](#), [307](#), [317](#), [318](#), [318](#), [438](#), [498](#), [498](#), [499](#), [500](#), [500](#), [500](#), [500](#), [500](#), [500](#), [501](#), [501](#), [501](#), [502](#), [502](#), [505](#), [505](#), [505](#), [508](#), [510](#), [564](#).

Selkirk, earl of, Thomas Douglas, colonizer  
[1623](#).

Sella, Quintino, Italian leader  
[1219](#).

Sellapan Rama Nathan, Singaporean leader  
[4117](#).

Selma  
[3411](#), [3411](#), [3411](#).

Selves, Justin de, French official  
[1135](#).

Semakokiro, king of Buganda  
[884](#).

Sembene, Ousmane, writer  
[4320](#).

Sembilan Islands  
[1410](#).

Seme, Pixley, South African leader  
[2578](#).

Semendria  
[563](#), [1743](#), [1797](#).

Semenov, Nicholas, Russian counterrevolutionary  
[2067](#).

seminaries  
[609](#).

Seminole Indians  
[3435](#).

Seminole Tribe of Florida v. Florida, U.S. Supreme Court decision  
[3435](#).

Seminole War, U.S.  
[1574](#).

Semiramis  
*See* [Sammuramat, regent](#).

Semitic peoples  
[84](#), [102](#), [250](#).

Sempach, battle of  
[546](#).

Semyenov, Vladimir, Russian leader

[3013](#).  
Sen, Chin A., Surinamese leader  
[3631](#), [3631](#).  
Sena  
[888](#).  
Senanayake, Dudley, Ceylonese leader  
[4029](#), [4032](#).  
Senanayaki, Stephen, Ceylonese leader  
[4026](#).  
Senas  
[324](#).  
Senate  
[212](#), [218](#), [243](#), [261](#); France, [1013](#), [1014](#), [1019](#), [1031](#), [1086](#), [1086](#), [1177](#), [1184](#), [1185](#),  
[1191](#), [1191](#); Austria, [1089](#); Finland, [1255](#); Greece, [1275](#); Serbia, [1285](#), [1286](#);  
Australia, [1497](#); South Africa, [1558](#); Canada, [1630](#); Brazil, [1656](#); Chile, [1662](#); Poland,  
[3110](#).  
Senate of Notables, Serbia  
[1285](#).  
Sénatus Consulte, Algeria  
[1383](#).  
Sendero Luminoso, Peru  
[3555](#), [3557](#), [3557](#), [3557](#), [3558](#), [3559](#), [3559](#), [3561](#), [3561](#), [3565](#).  
Seneca, Lucius Annaeus, Roman playwright  
[246](#), [246](#), [248](#), [249](#).  
Seneca Falls, New York  
[1579](#).  
Seneca Indians  
[935](#).  
Senef, battle of  
[652](#).  
Senegal  
[281](#), [358](#), [359](#), [666](#), [870](#), [870](#), [874](#), [875](#), [953](#), [1510](#), [1510](#), [1511](#), [1511](#), [1511](#), [1515](#),  
[2384](#), [2554](#), [2555](#), [2556](#), [2559](#), [2696](#), [4321](#), [4325](#), [4325](#), [4325](#), [4326](#), [4327](#), [4328](#),  
[4343](#), [4343](#), [4343](#), [4344](#), [4351](#), [4351](#), [4351](#), [4377](#), [4378](#), [4378](#), [4378](#), [4378](#), [4379](#), [4380](#),  
[4380](#), [4380](#), [4381](#), [4381](#); independence, [4377](#); Republic of Senegal, [4377](#); student  
unrest, [4378](#).  
Senegal Company, France  
[874](#), [875](#), [875](#).  
Senegalese Democratic Party  
[4381](#).  
Senegal River

[44](#), [281](#), [344](#), [352](#), [358](#), [871](#), [872](#), [873](#), [874](#), [1507](#), [1510](#).

Senegambia  
[351](#), [359](#), [870](#), [870](#), [871](#), [871](#), [871](#), [871](#), [871](#), [871](#), [876](#), [876](#), [908](#).

Senegambian Federation  
[4343](#), [4378](#).

Senggelinqin, Chinese general  
[1417](#).

Senior, Nassau William, economist  
[1035](#).

Seni Pramoj, Thai leader  
[4070](#).

Senji Nayakas  
[831](#).

Senlis, treaty of  
[597](#).

Sennacherib, king of Assyria  
[87](#), [105](#), [109](#), [122](#), [123](#), [123](#), [127](#), [128](#).

Sennar  
[879](#), [1366](#).

Sennar Dam, Sudan  
[2561](#).

Senones  
[227](#).

Sentinum  
[227](#).

Senusret  
*See* [Sesostris I, king of Egypt](#).

Senzaimaru  
[1442](#).

Seoul, Korea  
[855](#), [856](#), [1419](#), [1429](#), [1430](#), [1431](#), [1432](#), [1436](#), [2489](#), [2492](#), [2493](#), [2698](#), [4189](#), [4192](#),  
[4192](#), [4194](#), [4194](#), [4195](#), [4195](#), [4203](#), [4204](#), [4209](#), [4209](#), [4210](#), [4212](#), [4212](#), [4213](#),  
[4214](#), [4214](#), [4217](#), [4222](#).

Seoul National University  
[4212](#).

separate but equal doctrine  
[1609](#).

separatists  
[588](#), [926](#). *See* [Pilgrims, New England](#).

Sepoy Mutiny  
[1157](#).

September Convention, Franco-Italian

[1182](#), [1215](#).

September Laws, France

[1061](#).

September Massacres, Paris

[1003](#).

September Treaty

[1253](#).

Septennial Act, England

[685](#).

Septimania

[407](#), [410](#), [411](#), [411](#), [413](#), [418](#).

Septimius Severus, Roman emperor

[246](#), [255](#), [255](#), [255](#), [255](#), [255](#), [255](#), [255](#), [255](#), [257](#), [421](#).

Seqenenre Tao II, king of Egypt

[92](#).

Serampore Baptist Mission, India

[1394](#).

Serapis, British ship

[950](#).

Serbia

[310](#), [310](#), [310](#), [313](#), [313](#), [428](#), [440](#), [440](#), [440](#), [441](#), [441](#), [469](#), [482](#), [494](#), [494](#), [496](#), [502](#), [502](#), [560](#), [562](#), [563](#), [563](#), [563](#), [564](#), [564](#), [565](#), [565](#), [566](#), [566](#), [566](#), [566](#), [566](#), [567](#), [567](#), [567](#), [758](#), [792](#), [804](#), [806](#), [807](#), [809](#), [810](#), [811](#), [955](#), [955](#), [957](#), [1088](#), [1100](#), [1105](#), [1106](#), [1106](#), [1106](#), [1106](#), [1106](#), [1107](#), [1108](#), [1108](#), [1110](#), [1112](#), [1112](#), [1112](#), [1113](#), [1122](#), [1127](#), [1132](#), [1132](#), [1133](#), [1133](#), [1133](#), [1136](#), [1136](#), [1137](#), [1138](#), [1139](#), [1139](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1140](#), [1239](#), [1244](#), [1246](#), [1284](#), [1284](#), [1284](#), [1284](#), [1284](#), [1284](#), [1285](#), [1285](#), [1285](#), [1286](#), [1286](#), [1287](#), [1287](#), [1288](#), [1289](#), [1297](#), [1307](#), [1309](#), [1321](#), [1322](#), [1322](#), [1322](#), [1325](#), [1329](#), [1334](#), [1340](#), [1343](#), [1344](#), [1347](#), [1348](#), [1738](#), [1738](#), [1738](#), [1738](#), [1779](#), [2127](#), [2127](#), [2127](#), [2127](#), [2127](#), [2127](#), [2130](#), [2131](#), [2160](#), [2688](#), [2692](#), [2754](#), [2756](#), [3039](#), [3175](#), [3176](#), [3176](#), [3176](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3177](#), [3178](#), [3178](#), [3178](#), [3178](#), [3178](#), [3179](#), [3179](#), [3180](#), [3180](#), [3180](#), [3181](#), [3182](#), [3183](#), [3185](#), [3185](#), [3185](#), [3186](#), [3186](#), [3186](#), [3186](#), [3187](#), [3191](#), [3192](#), [3192](#), [3197](#), [3206](#), [3232](#), [3439](#); and Balkan Wars, [1136](#), [1137](#), [1137](#), [1137](#), [1137](#), [1137](#), [1138](#), [1138](#), [1139](#), [1318](#); WWI, [1141](#), [1295](#), [1739](#), [1739](#), [1740](#), [1742](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1744](#), [1745](#), [1746](#), [1746](#), [1757](#), [1758](#), [1769](#), [1769](#), [1771](#), [1780](#), [1780](#), [1792](#), [1792](#), [1792](#), [1797](#), [1797](#); revolutions, [1284](#), [1284](#); war with Greece, [1288](#); and Austria, [1288](#), [1293](#); war with Serbia, [1289](#); and Bulgaria, [1293](#), [1293](#), [1308](#), [1308](#), [1309](#); war with Austria, [1293](#); and Greece, [1294](#); war with Bulgaria, [1301](#); and Macedonia, [1324](#), [1324](#); and Ottoman Empire, [1328](#), [1329](#), [1337](#); wars with Ottoman Empire, [1341](#).



Serbian Autonomous Region of Krajina  
[3177](#), [3177](#).

Serbian Autonomous Region of Western Slavonia  
[3177](#).

Serbian Democratic Movement  
[3178](#).

Serbian Industrial Company  
[1289](#).

Serbs  
[279](#), [3186](#).

Serengeti Plain  
[19](#).

Sereth River  
[1761](#).

serfdom  
[511](#), [2487](#); Italy, [534](#); Russia, [631](#), [631](#), [631](#), [631](#), [631](#), [789](#), [790](#), [1256](#), [1259](#), [1259](#);  
Poland and Lithuania, [632](#); after Thirty Years' War, [644](#); Prussia, [756](#); Poland, [781](#),  
[1267](#); Central Europe, [1071](#).

Sergius, duke of Naples  
[409](#).

Sergius, patriarch of Constantinople  
[429](#).

Sergius, patriarch of Russia  
[2081](#).

Sergius III, pope  
[465](#).

Serrano, Francisco, Spanish leader  
[1200](#), [1200](#), [1201](#), [1203](#).

Serrano Elias, Jorge, Guatemalan leader  
[3655](#), [3655](#), [3655](#).

Serrato, José, Uruguayan leader  
[2252](#), [2252](#).

Serres, battle of  
[509](#).

Serse-Dingil, emperor of Ethiopia  
[879](#).

Sertorius, Quintus, Roman general  
[237](#).

Servetus, Michael, Spanish theologian  
[625](#).

Service Council of the British Society of Friends

[1701](#).  
Servien, Abel  
[624](#).  
Servile Wars  
[234](#), [238](#).  
Servius Tullius, legendary king of Rome  
[224](#).  
Sesostris I, king of Egypt  
[92](#).  
Sesostris II, king of Egypt  
[92](#).  
Sesostris III, king of Egypt  
[92](#), [103](#).  
Sessh , painter  
[396](#).  
Sestos  
[189](#).  
Sète  
[1178](#).  
Seth, Egyptian god  
[92](#).  
Sethnakhte, leader of Egypt  
[93](#).  
Seti I, king of Egypt  
[93](#).  
Settlement Decree, Prussia  
[1267](#).  
Settlers and Farmers Association, Kenya  
[1534](#).  
Sevar, Bulgarian ruler  
[439](#).  
Sevastopol  
[431](#), [1774](#), [2594](#), [2595](#), [2597](#).  
Seven Cities of Cibola  
[903](#).  
Seveners, Isma'ili Shi'ites  
[293](#), [296](#).  
Seven Ionian Islands, Republic of the  
[1018](#).  
Seven Sages of the Bamboo Grove  
[158](#).

Seventh Day Adventists

[2568](#).

Seven Weeks' War

*See* [Austro-Prussian War](#).

Seven Years' War

[578](#), [662](#), [688](#), [724](#), [755](#), [758](#), [781](#), [788](#), [868](#), [906](#), [940](#), [941](#).

Severans

[255](#), [255](#), [256](#).

Severus, Roman emperor

[261](#), [262](#).

Severus, Roman emperor in the west

[269](#).

Severus, Flavius Valerius

*See* [Severus, Roman emperor](#).

Severus, Lucius Septimius

*See* [Septimius Severus, Roman emperor](#).

Severus Alexander, Marcus Aurelius

*See* [Alexander Severus, Roman emperor](#).

Sevier, John, American pioneer

[941](#).

Sevilla

*See* [Seville](#).

Sevilla, Diogo de, explorer

[281](#).

Seville

[53](#), [412](#), [419](#), [475](#), [476](#), [476](#), [476](#), [479](#), [525](#), [601](#), [601](#), [601](#), [602](#), [900](#), [909](#), [911](#), [911](#),  
[1926](#), [1929](#), [2907](#).

Seville, treaty of

[686](#), [723](#).

Sèvres, treaty of

[1712](#), [1788](#), [2144](#), [2321](#), [2322](#).

Seward, William Henry, U.S. leader

[1580](#).

sewing machine

[985](#), [1578](#).

Sex Discrimination Act, Great Britain

[2788](#).

Sexi

[110](#).

sexism

[584](#); France, [716](#), [717](#).

Sextius, Lucius, Roman tribune

[226](#).

sexual harassment

[3430](#), [3430](#), [3432](#), [3434](#).

sexuality and reproduction

[297](#), [302](#), [401](#), [1814](#), [1839](#), [1841](#), [1875](#), [1901](#), [1974](#), [1986](#), [2068](#), [2187](#), [2643](#), [2643](#), [2665](#), [2680](#), [2701](#), [2770](#), [2778](#), [2811](#), [2812](#), [2813](#), [2824](#), [2832](#), [2836](#), [2858](#), [2901](#), [2903](#), [2919](#), [2920](#), [2943](#), [2959](#), [2965](#), [2965](#), [2973](#), [3023](#), [3024](#), [3048](#), [3050](#), [3060](#), [3065](#), [3112](#), [3116](#), [3132](#), [3159](#), [3254](#), [3405](#), [3412](#), [3417](#), [3421](#), [3423](#), [3424](#), [3427](#), [3441](#), [3454](#), [3456](#), [3458](#), [3723](#), [3973](#), [4164](#), [4165](#), [4172](#); 1800–1914, [1142](#); postwar, [2702](#); RU486, [2704](#); Viagra, [3437](#).

Seychelles

[1561](#), [3807](#).

Seymour, Jane, wife of Henry VIII

[585](#).

Seyn, F. A., Russian governor-general of Finland

[1255](#).

Seyss-Inquart, Arthur, Austrian leader

[2011](#), [2011](#), [2011](#).

Sezer, Ahmet Necdet, Turkish leader

[3805](#).

Sfax

[1390](#).

Sforza, Milanese family

[537](#), [612](#), [625](#).

Sforza, Carlo

[1943](#).

Sforza, Francesco, duke of Milan

[533](#), [535](#), [537](#), [537](#), [537](#).

Sforza, Francesco II Maria, duke of Milan

[607](#), [608](#), [612](#), [614](#), [615](#).

Sforza, Galeazzo Maria, duke of Milan

[537](#), [537](#), [537](#).

Sforza, Gian Galeazzo, duke of Milan

[537](#).

Sforza, Ippolita

[537](#).

Sforza, Ludovico (Il Moro), duke of Milan

[532](#), [536](#), [537](#), [537](#), [537](#), [607](#), [607](#), [607](#), [607](#).

Sforza, Maximilian, duke of Milan

[607](#).

Sgueros family  
[503](#).

Shaan-Gan-Ning government, China  
[2481](#).

Shaanxi  
[138](#), [138](#), [1415](#), [2465](#), [2475](#), [2477](#), [2477](#), [2481](#), [2481](#).

Shaba, Congo  
[348](#), [363](#), [885](#), [4450](#).

Shabako, king of Egypt  
[95](#), [99](#).

Shabbatai Tzvi  
*See* [Sabbatai Sevi, Jewish mystic](#).

Shabwa  
[128](#).

Shackleton, Ernest H.  
[997](#).

Shaddadids  
[300](#).

Shadhiliyya, Sufi order  
[322](#).

Shafi'i, school of law  
[294](#), [300](#), [301](#).

Shafi'i population, South Yemen  
[3891](#).

Shaftesbury, earl of, Anthony Ashley Cooper, English leader and Cabal member  
[675](#).

Shagari, Shehu, Nigerian leader  
[4368](#), [4368](#), [4369](#).

Shah Jahan, Mughal emperor  
[833](#), [833](#), [833](#), [833](#), [834](#).

Shah Kulu, Ottoman rebel  
[316](#).

Shah-nama, Book of Kings  
[813](#).

Sha-ho, battle of  
[1262](#).

Shahrbaraz, usurper of the Persian throne  
[275](#).

Shahrizor  
[794](#).

Shahrukh, Afshar ruler of Khurasan

[818](#).  
Shah Rukh, Timurid leader  
[307](#), [307](#), [307](#).  
Shahrukh Shah, ruler of Iran  
[817](#).  
Shah Shoja  
[1354](#).  
Shah Wali-Ullah, religious leader  
[835](#), [1395](#).  
Shaka, Zulu leader  
[1506](#), [1550](#), [1550](#), [1551](#), [1551](#), [1551](#).  
Shakanda, king of Nubia  
[360](#).  
Shakbut ibn Sultan, Sheik, ruler of Abu Dhabi  
[3897](#).  
Shakers, U.S.  
[1563](#).  
Shakespeare, William, English playwright  
[594](#), [594](#), [1454](#).  
Shakrusha  
[93](#).  
Shali  
[3366](#).  
Shallum, king of Israel  
[105](#).  
Shalmeneser I, king of Assyria  
[86](#), [86](#), [87](#), [113](#), [118](#).  
Shalmeneser III, king of Assyria  
[87](#), [106](#), [106](#), [109](#), [118](#), [123](#).  
Shalmeneser V, king of Assyria  
[87](#).  
Shama  
[876](#).  
Shamash  
*See [Utu \(Shamash\)](#), Sumerian and Akkadian god.*  
Shamash-shum(a)-ukin, king of Babylon  
[87](#), [87](#).  
Shambaa people  
[1528](#).  
Shamir, Yitzhak, Israeli leader  
[3861](#), [3861](#), [3861](#), [3862](#).

Shams al-Din Eldiguz, Seljuk leader  
[302](#).

Shams al-Din Muhammad Ibn Tulun, Damascene historian  
[794](#).

Shamshi-Adad I, king of Assyria  
[85](#), [85](#), [102](#).

Shamshi-Adad V, king of Assyria  
[87](#).

Shams-ud-din Iltutmish, ruler of India  
[331](#).

Shandong  
[138](#), [138](#), [141](#), [378](#), [968](#), [1417](#), [1417](#), [1423](#), [1423](#), [1424](#), [1425](#), [2460](#), [2461](#), [2463](#),  
[2464](#), [2465](#), [2465](#), [2470](#), [2476](#), [2494](#), [2502](#), [2507](#), [2508](#), [2508](#).

Shandong Peninsula  
[374](#).

Shang civilization  
[49](#).

Shangdu  
[375](#).

Shang dynasty, Yin  
[63](#), [65](#), [66](#), [67](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [140](#), [152](#), [1425](#), [2478](#).

Shanghai  
[1416](#), [1416](#), [1418](#), [1424](#), [1424](#), [1425](#), [1427](#), [1438](#), [1442](#), [2459](#), [2465](#), [2465](#), [2467](#),  
[2467](#), [2469](#), [2469](#), [2473](#), [2477](#), [2478](#), [2479](#), [2486](#), [2489](#), [2490](#), [2511](#), [2512](#), [2524](#),  
[2624](#), [4146](#), [4157](#), [4166](#); International Concession, [2481](#).

Shanghai Communiqué  
[4161](#).

Shanghai General Labor Union  
[2469](#), [2469](#).

Shanghai People's Commune  
[4157](#).

Shanghai  
[2474](#).

Shanhaiguan  
[1420](#), [1424](#).

Shanhaikwan  
[1721](#).

Shanghai Pass  
[852](#).

Shankar, Ramesewak, Surinamese leader  
[3633](#), [3634](#).

Shanniq, Muhammad, Tunisian leader  
[3940](#), [3940](#).

Shannon River  
[700](#).

Shans, Burmese people  
[341](#), [342](#), [342](#), [844](#), [844](#), [844](#), [844](#), [846](#), [846](#), [1404](#), [4056](#).

Shansabani dynasty  
[331](#).

Shan states, Burma  
[4048](#).

Shantung  
[1768](#), [1784](#); Treaty, [1710](#).

Shanxi  
[138](#), [139](#), [139](#), [157](#), [158](#), [1417](#), [1417](#), [1424](#), [2465](#), [2470](#), [2476](#), [2480](#), [2481](#), [4161](#).

Shao Yong, scholar  
[373](#).

Shapley, Harlow, American astronomer  
[1729](#).

Shapur I, king of Persia  
[257](#), [257](#), [271](#), [271](#), [272](#), [272](#), [272](#), [272](#), [272](#), [272](#).

Shapur II, king of Persia  
[272](#), [272](#), [273](#), [273](#), [273](#), [273](#), [273](#).

Shapur III, king of Persia  
[273](#).

sharecropping  
[1592](#).

Sharetsky, Semyon, Belarusan leader  
[3319](#).

Shari'a courts  
[839](#).

Sharif, Mian Nawaz, Pakistani leader  
[2697](#), [3988](#), [4011](#), [4012](#), [4014](#), [4014](#), [4015](#).

Sharja  
[3897](#).

Shar-kali-sharri, king  
[84](#).

Sharki dynasty  
[333](#).





## Subject Index

### Page 70

- Sharma, Shanksar Dayal, Indian leader  
[3986.](#)
- Sharon, Ariel, Israeli leader  
[3869.](#)
- Sharp, Andrew, New Zealand scholar  
[864.](#)
- Sharpeville, South Africa massacre  
[4477.](#)
- Sharrett, Moshe, Israeli leader  
[3858.](#)
- Sharru-kin  
*See* [Sargon I \(the Great\), king of Babylon.](#)
- Shastri, Lal Bahadur, Indian leader  
[3965.](#), [3965.](#), [3965.](#), [3966.](#), [3967.](#)
- Shatila refugee camp, Lebanon  
[3849.](#)
- Shatt al-Arab  
[3775.](#), [3778.](#)
- Shattuara II, Hurrian king  
[86.](#)
- Shaw, George Bernard, writer  
[1869.](#)
- Shaw, J. C., engineer  
[1734.](#)
- Shaw Commission, Palestine  
[2389.](#)
- Shaykan, battle of  
[1524.](#)
- Shaykhi school, of Shi'ism  
[1349.](#)

Shaykh Junayd, Sufi leader  
[307](#), [308](#).

Shaykh Safi al-Din, Safavid founder  
[306](#).

Shays Rebellion, Massachusetts  
[952](#).

Shearer, Hugh, Jamaican leader  
[3759](#).

Sheba  
[104](#), [128](#), [4107](#), [4110](#).

Shechem  
[100](#), [103](#), [104](#).

Sheffield  
[984](#).

Shehu, Mehmet, Albanian leader  
[2722](#), [3199](#), [3200](#), [3201](#), [3202](#).

Sheik Jabir, ruler of Kuwait  
[3898](#).

Sheik Omar Abdel-Rahman, terrorist  
[2689](#).

Sheik ul-Islam  
[2326](#).

Shekhar, Chandra, Indian leader  
[3983](#).

Shekib Efendi  
[1333](#).

Sheku Ahmadu, African leader  
[1511](#), [1511](#), [1511](#).

Shelley, Mary, writer  
[1046](#).

Shelley, Percy Bysshe, poet  
[1037](#), [1046](#).

Shemakha  
[1256](#).

Shemyaka  
[558](#).

Shenandoah Valley  
[935](#); Civil War, [1587](#), [1588](#), [1589](#).

Shen Buhai, Chinese official  
[140](#), [148](#), [153](#).

Sheng Xuanhuai, Chinese official

[1425](#).  
Shengzu, Chinese emperor  
[852](#).  
Shennong, mythical Chinese ruler  
[138](#).  
Shenuda III, Coptic pope  
[2681](#), [3913](#).  
Shenyang  
[852](#).  
Shenzhen  
[4163](#).  
Shenzong, Chinese emperor  
[371](#), [371](#).  
Shenzong, Chinese ruler  
[851](#).  
Shepilov, Dmitri T., Russian leader  
[3270](#), [3271](#).  
Shepstone, Theophilus  
[1552](#), [1554](#).  
Sher Ali, emir of Afghanistan  
[1108](#).  
Sheridan, Philip H., Union commander  
[1589](#), [1590](#).  
Sheriffmuir, battle of  
[684](#).  
Sherley, Anthony and Robert, English merchant adventurers  
[814](#).  
Sherman, William Tecumseh, Union commander  
[1588](#), [1589](#), [1590](#), [1590](#); march through Georgia, [1589](#), [1589](#).  
Sherman Anti-Trust Act, U.S.  
[1604](#), [1605](#), [1609](#), [1614](#), [1618](#), [1621](#).  
Sherman Silver Purchase Act, U.S.  
[1604](#), [1606](#), [1606](#), [1607](#), [2202](#).  
Sherpao, Hayat Mohammed, Pakistani leader  
[4005](#).  
Sherrington, Charles, physiologist  
[1154](#).  
Sher Shah, ruler of India  
[831](#).  
Shesh-bazaar, governor of Judah  
[105](#), [105](#).

Sheshonq I, king of Egypt

[94](#), [104](#), [105](#).

Sheshonq IV, king of Egypt

[95](#).

Shetland Islands

[426](#), [464](#), [518](#).

Shevardnadze, Eduard A., Russian leader

[3293](#), [3327](#), [3327](#), [3328](#), [3330](#), [3331](#), [3331](#).

Shidehara, Kijirō, Japanese leader

[2501](#), [2504](#), [2509](#), [2510](#), [4223](#).

Shiga Naoya, writer

[2520](#).

Shigenobu, Yukuma, Japanese leader

[1450](#), [1452](#), [1454](#), [1459](#), [1472](#), [2496](#).

Shihab, Fu'ad, Lebanese leader

[3845](#).

Shihab al-Din al-Suhrawardi, theologian

[319](#).

Shihab dynasty

[805](#), [806](#), [810](#).

Shi Huangdi, Chinese emperor

[49](#), [72](#), [153](#), [153](#), [153](#).

Shi'ism

[285](#), [288](#), [288](#), [289](#), [289](#), [291](#), [291](#), [292](#), [292](#), [293](#), [293](#), [293](#), [294](#), [295](#), [296](#), [296](#), [296](#),  
[298](#), [299](#), [300](#), [300](#), [300](#), [305](#), [306](#), [306](#), [306](#), [306](#), [307](#), [308](#), [308](#), [316](#), [317](#), [317](#), [318](#),  
[318](#), [318](#), [321](#), [321](#), [505](#), [575](#), [580](#), [791](#), [792](#), [795](#), [797](#), [797](#), [812](#), [812](#), [812](#), [813](#), [814](#),  
[815](#), [815](#), [815](#), [815](#), [816](#), [816](#), [816](#), [817](#), [817](#), [817](#), [819](#), [819](#), [830](#), [832](#), [1346](#), [1349](#),  
[1349](#), [1349](#), [1350](#), [1350](#), [1350](#), [1350](#), [1352](#), [1358](#), [2379](#), [2383](#), [2399](#), [3778](#); Iraq, [3778](#),  
[3883](#), [3885](#); Iran, [3828](#); Lebanon, [3846](#), [3848](#), [3849](#), [3850](#), [3851](#); Saudi Arabia, [3889](#);  
Bahrain, [3898](#), [3898](#).

Shiji, Records of the Grand Historian

[156](#).

Shijiazhuang

[2479](#).

Shijing, Classic of Poetry

[152](#).





Shikibu, Takenouchi, Japanese scholar

[861](#).







Shikoku

[163](#), [1441](#).

Shikotan Island

[4231](#).  
Shilak-Inshushinak I, king of Elam  
[122](#).  
Shillukland  
[1524](#).  
Shiloh  
[104](#), [1587](#).  
Shimabara, peninsula  
[860](#).  
Shimabara Rebellion  
[860](#), [860](#).  
Shimazu family  
[858](#).  
Shimei, Futabatei, writer  
[1454](#).  
Shimoda  
[1439](#).  
Shimonoseki  
[1443](#), [1444](#); treaty of, [966](#), [1421](#), [1432](#), [1457](#).  
Shingen, Takeda, Japanese warrior  
[857](#).  
Shingon Buddhism  
[385](#).  
Shining Path  
*See* [Sendero Luminoso, Peru](#).  
Shinpei, Et , Japanese leader  
[1450](#).  
Shinpei, Got , Japanese leader  
[1464](#).  
Shinran Sh nin, Buddhist leader  
[395](#).  
Shinsaku, Takasugi, Japanese leader  
[1442](#).  
Shintenn ji, temple  
[383](#).  
Shinto  
[165](#), [384](#), [385](#), [396](#), [859](#), [861](#), [1437](#), [1437](#), [1448](#), [2493](#), [4223](#).  
shipbuilding  
[1628](#).  
Shipley, Jenny, New Zealand leader

[4317](#), [4318](#).  
shipping, U.S.  
[1096](#), [1397](#), [1568](#), [1569](#), [1570](#), [1629](#); 1800–1914, [961](#); eastern Mediterranean, [1329](#);  
Suez Canal, [1370](#).  
Shipping Board, U.S.  
[2191](#).  
ships  
[643](#), [1062](#), [1130](#), [1130](#).  
Shirakawa, emperor of Japan  
[387](#), [387](#).  
Shir Ali, ruler of Afghanistan  
[1355](#), [1355](#), [1355](#), [1355](#).  
Shiraz  
[300](#), [306](#), [362](#), [814](#), [817](#), [1350](#).  
Shire Highlands  
[1546](#), [1548](#).  
Shire River  
[888](#), [1547](#).  
Shirkuh, Zangid leader  
[318](#).  
Shirmake, Abdirashid Ali, Somalian leader  
[4400](#).  
Shiroe  
*See* [Kavad II, king of Persia](#).  
Shirvan  
[308](#), [806](#), [807](#).  
Shishak  
*See* [Sheshonq I, king of Egypt](#).  
Shishman, tsar of Bulgaria  
[567](#).  
Shi Siming, Chinese rebel  
[368](#).  
Shiv Sena, India  
[3976](#).  
Shizong, Chinese emperor  
[851](#), [852](#), [853](#).  
Shoa  
[346](#).  
Shoja Shah, ruler of Afghanistan  
[1354](#), [1354](#).  
Shokusan Bank, Japan

[2488](#).  
Sholes, Christopher L., developer of typewriter  
[990](#).  
Shmu, emperor of Japan  
[384](#), [384](#).  
Shona people  
[349](#), [351](#), [364](#), [889](#), [889](#), [1548](#), [1553](#), [1556](#), [4467](#).  
Shore, John  
[836](#).  
Shore temple  
[326](#).  
Shorter Catechism  
[614](#).  
Short Parliament, England  
[591](#).  
Shoshone Indians  
[53](#).  
Shostakovich, Dmitri, composer  
[2074](#), [3263](#).  
Shou, Chinese king  
[138](#).  
Shwa period, Japan  
[2494](#), [2506](#), [2507](#), [2520](#), [2520](#).  
Shy, Tsubouchi, writer  
[1454](#).  
Shzan, Sakuma, scholar  
[1438](#), [1440](#).  
Shraddhanand, Swami, Indian religious leader  
[2437](#).  
Shreveport  
[1590](#).  
Shrewsbury, John Talbot, duke of  
[523](#).  
Shbun, painter  
[396](#).  
Shuddhi movement, India  
[2438](#).  
Shudras  
[337](#).



Shufeldt, Robert, U.S. naval commander  
[1430](#), [1430](#).

Shuf Mountain  
[801](#).

Shuf region  
[806](#), [3849](#).

Shu-Han dynasty  
[156](#), [157](#).

Shuisky, Russian noble family  
[629](#).

Shuisky, Basil, tsar of Russia  
[630](#), [630](#), [630](#).

Quwatli, Shukri al-, Syrian leader  
[2376](#), [3839](#).

Shulgi, king of Ur  
[84](#), [122](#).

Shumayyil, Shibli, writer  
[2351](#).

Shun, Chinese ruler  
[138](#).



Shunzhi reign  
[852](#), [852](#).

Shuowen jiezi, Analysis of Characters as an Explanation of Writing  
[156](#).

Shushkevich, Stanislav S., Belarusan leader  
[3315](#), [3317](#).

Shu-Sin, king of Ur  
[84](#).

Shuster, W. Morgan, U.S. envoy  
[979](#).

Shsui, Ktoku, Japanese leader  
[1469](#).

Shutruk-Nahhunte, king of Elam  
[122](#).

Shutruk-Nahhunte II, king of Elam  
[122](#).

“shuttle diplomacy”  
[3775](#).

Shu’ubiyya  
[292](#).

Shuvalov, Peter

[1108](#), [1108](#), [1108](#).  
Shvernik, Nikolai, Russian leader  
[3261](#).  
Siak  
[837](#), [837](#).  
Siak River  
[837](#).  
Sialkot  
[324](#).  
Siam  
[1404](#); WWI, [2450](#); and United States, [2450](#); and Japan, [2451](#); and France, [2451](#); and Great Britain, [2451](#); between Wars, [2451](#); name changed to Thailand, [2452](#); Thailand, [4065](#). See [Ayutthaya](#); [Thailand](#).  
Siamun, king of Egypt  
[93](#), [104](#).  
Sib, Treaty of  
[2408](#).  
Sibelius, Jan, composer  
[2055](#).  
Siberia  
[18](#), [18](#), [26](#), [26](#), [28](#), [28](#), [28](#), [47](#), [160](#), [629](#), [631](#), [789](#), [993](#), [993](#), [995](#), [996](#), [1258](#), [1262](#),  
[1266](#), [2067](#), [2072](#), [2078](#), [2463](#), [2480](#), [2498](#), [2502](#), [3076](#), [3278](#).  
Sibiu, battle of  
[1806](#).  
Sibley, Henry, U.S. commander  
[1587](#).  
Sibylline Books  
[225](#).  
Sicans  
[184](#).  
Siccardi, Giuseppe, Italian leader  
[1210](#).  
Sicels  
[184](#), [191](#), [193](#), [193](#), [194](#), [196](#), [199](#), [228](#).  
Sichuan  
[156](#), [156](#), [156](#), [157](#), [368](#), [369](#), [370](#), [374](#), [852](#), [1415](#), [1425](#), [2476](#), [2478](#), [2481](#).  
Sicilian Vespers  
[452](#), [533](#), [534](#), [564](#).  
Sicily  
[110](#), [110](#), [171](#), [178](#), [178](#), [184](#), [184](#), [184](#), [184](#), [184](#), [184](#), [184](#), [184](#), [185](#), [185](#), [185](#), [185](#), [185](#),  
[186](#), [186](#), [188](#), [189](#), [190](#), [191](#), [191](#), [192](#), [193](#), [194](#), [196](#), [197](#), [197](#), [197](#), [197](#), [198](#), [198](#), [199](#),

[203](#), [204](#), [204](#), [220](#), [220](#), [220](#), [220](#), [221](#), [222](#), [227](#), [228](#), [229](#), [230](#), [230](#), [231](#), [232](#), [234](#), [234](#), [238](#), [241](#), [242](#), [242](#), [245](#), [246](#), [246](#), [260](#), [282](#), [293](#), [294](#), [408](#), [408](#), [408](#), [412](#), [430](#), [430](#), [431](#), [434](#), [435](#), [444](#), [445](#), [451](#), [452](#), [452](#), [456](#), [457](#), [457](#), [457](#), [457](#), [458](#), [458](#), [458](#), [459](#), [459](#), [459](#), [459](#), [465](#), [466](#), [467](#), [467](#), [469](#), [469](#), [470](#), [470](#), [470](#), [471](#), [471](#), [471](#), [471](#), [498](#), [505](#), [507](#), [526](#), [526](#), [526](#), [526](#), [533](#), [533](#), [533](#), [540](#), [564](#), [603](#), [605](#), [607](#), [607](#), [657](#), [657](#), [659](#), [659](#), [660](#), [660](#), [715](#), [723](#), [724](#), [738](#), [738](#), [738](#), [740](#), [740](#), [740](#), [745](#), [797](#), [827](#), [1066](#), [1066](#), [1093](#), [1212](#), [1212](#), [1214](#), [1221](#), [1224](#), [1948](#), [1960](#), [1961](#), [2591](#), [2608](#);  
WWII, [2617](#), [2617](#), [2617](#).

Sicínski, Jan

[776](#).

Sickingen, Franz von, Reformation leader

[614](#).

Sicyon

[176](#), [179](#), [182](#), [192](#).

Siddhanta

[129](#).

Siddhantasiromani

[131](#).

Siddhartha

*See* [Gautama Siddhartha \(the Buddha\)](#).

Sidi Barrani

[2611](#).

Sidi Mehrez Mosque, Tunis

[828](#).

Sidi Muhammad III, sultan of Morocco

[2419](#).

Sidi Muhammad VI, king of Egypt

[3924](#), [3924](#).

Sidi Muhammad VI, king of Morocco

[3785](#).

Sidi Sayyid, ruler of India

[334](#).

Sidney, Philip

[594](#), [594](#).

Sidon

[100](#), [104](#), [107](#), [108](#), [109](#), [109](#), [109](#), [109](#), [109](#), [109](#), [109](#), [109](#), [473](#), [806](#), [809](#), [810](#), [1335](#), [2379](#).

Sidonius, Latin author

[260](#).

Sidqi Pasha, Ismail, Egyptian leader

[2351](#).

Siebener Concordat, Switzerland

[1070](#).  
Siegrist, pioneer in developing color film  
[990](#).  
Siemens, Frederick  
[984](#).  
Siemens, Frederick and William, developers of open hearth furnace  
[956](#).  
Siemens, Werner von, designer of armature for generators  
[981](#).  
Siemens-Martin process, steelmaking  
[984](#).  
Siemrap  
[1407](#).  
Siena  
[443](#), [459](#), [469](#), [533](#), [534](#), [534](#), [537](#), [612](#).  
Sierra, Terencio, Latin American leader  
[1686](#).  
Sierra Club  
[2642](#).  
Sierra Leone  
[110](#), [359](#), [873](#), [873](#), [874](#), [875](#), [875](#), [877](#), [877](#), [878](#), [1513](#), [1513](#), [1513](#), [1514](#), [1514](#),  
[1514](#), [1514](#), [1516](#), [1517](#), [1518](#), [1623](#), [2555](#), [2558](#), [2559](#), [2559](#), [2559](#), [2559](#), [2559](#),  
[2694](#), [2696](#), [2698](#), [4324](#), [4326](#), [4327](#), [4349](#), [4350](#), [4355](#), [4359](#), [4359](#), [4360](#), [4382](#),  
[4382](#), [4382](#), [4383](#), [4383](#), [4383](#), [4384](#), [4385](#), [4385](#); independence, [4382](#).  
Sierra Leone People's Party  
[4324](#), [4382](#).  
Sierra Maestra  
[3714](#).  
Sierra Morena  
[228](#).  
Sierra Nevada  
[228](#).  
Sieveking, Amalie, German reformer  
[1071](#).  
Siyès, abbé, Emmanuel Joseph, French leader  
[1001](#), [1012](#).  
Siffin  
[288](#).  
Sigebert, Ripuarian leader  
[407](#).  
Sigeric, Visigoth leader

[403](#).

Sigeum  
[180](#), [187](#).

Sigismund, Burgundian king  
[406](#).

Sigismund, Holy Roman emperor  
[311](#), [531](#), [531](#), [531](#), [541](#), [541](#), [541](#), [544](#), [544](#), [544](#), [544](#), [546](#), [555](#), [555](#), [560](#), [560](#), [560](#), [560](#).

Sigismund I, king of Poland  
[632](#).

Sigismund II, August  
[632](#), [632](#).

Sigismund III, Vasa  
[628](#), [628](#), [628](#), [630](#), [630](#), [633](#), [633](#), [633](#).

Sigismund Bathory, prince of Transylvania  
[635](#).

Sigismund of Luxemburg  
*See* [Sigismund, Holy Roman emperor, king of Hungary and Bohemia](#).

Sigua, Tengiz, Georgian leader  
[3327](#).

Sigurd, Germanic hero  
[426](#).

Sigurdsson, Jon, Icelandic leader  
[1077](#).

Sihanouk, Norodom, Cambodian leader and sometime king  
[2453](#), [2454](#), [2454](#), [2689](#), [4075](#), [4075](#), [4075](#), [4075](#), [4076](#), [4076](#), [4076](#), [4076](#), [4077](#), [4078](#),  
[4078](#), [4079](#), [4079](#), [4080](#), [4080](#), [4081](#), [4081](#), [4081](#), [4081](#), [4081](#), [4081](#), [4082](#), [4083](#), [4084](#),  
[4084](#), [4085](#), [4085](#), [4088](#), [4088](#), [4089](#), [4272](#).

Sijilmasa  
[292](#).

Sikasso  
[1511](#), [1511](#), [1517](#).

Sikhs  
[578](#), [580](#), [830](#), [834](#), [834](#), [1354](#), [1354](#), [1354](#), [1355](#), [1394](#), [1394](#), [1395](#), [1396](#), [2437](#),  
[2644](#), [2679](#), [2680](#), [3951](#), [3953](#), [3960](#), [3960](#), [3967](#), [3968](#), [3977](#), [3977](#), [3977](#), [3977](#),  
[3978](#), [3978](#), [3979](#), [3979](#), [3984](#).

Sikkim  
[3973](#), [4155](#).

Sikorsky, Igor, inventor  
[1736](#).

Silahara dynasty  
[327](#).

Silang, Diego, Philippine leader

[868](#).

Siles, Hernando, Bolivian leader

[2255](#), [2255](#).

Silesia

[417](#), [483](#), [483](#), [484](#), [486](#), [486](#), [486](#), [487](#), [541](#), [544](#), [544](#), [555](#), [561](#), [613](#), [617](#), [617](#), [618](#),  
[620](#), [624](#), [660](#), [660](#), [660](#), [660](#), [661](#), [662](#), [662](#), [663](#), [666](#), [754](#), [776](#), [777](#), [987](#), [2582](#).

Silesian Wars

[660](#), [660](#), [662](#), [755](#), [755](#), [755](#). *See* [Seven Years' War](#).

Siles Salinas, Adolfo, Bolivian leader

[3541](#), [3541](#).

Siles Suazo, Hernán, Bolivian leader

[3538](#), [3538](#), [3545](#), [3546](#), [3546](#), [3546](#).

Silistria

[1138](#), [1303](#), [1309](#), [1318](#), [1806](#).

silk

[1449](#).

Silk Road

[76](#), [78](#), [271](#), [278](#), [282](#), [473](#), [473](#).

Silla

[160](#), [161](#), [161](#), [161](#), [161](#), [161](#), [161](#), [162](#), [162](#), [162](#), [167](#), [167](#), [167](#), [279](#), [377](#), [377](#), [377](#), [377](#),  
[377](#), [377](#), [377](#), [377](#), [377](#), [377](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [378](#), [379](#), [383](#), [384](#).

Sillanpää, Frans Eemil, writer

[2056](#).

Silla's Council of Nobles

[377](#).

Silurian period

[1043](#).

Silva, Anibal Cavaco, Portuguese leader

[2919](#).

Silva, Antonio José da, Portuguese writer

[727](#).

Silva, Antonio Mara da, Portuguese leader

[1936](#).

Silva Xavier, Joaquim José da, Brazilian leader

[916](#).

Silva, Luiz Inácio (Lula) da, Brazilian leader

[3618](#), [3623](#), [3626](#).

silver

[582](#), [584](#), [602](#), [602](#), [603](#), [603](#); Mexico, [903](#); Americas, [911](#), [911](#); U.S., [1595](#), [1595](#),  
[1599](#), [1604](#); Latin America, [1670](#).

Silver Pavilion, Ginkakuji  
[396](#).

Silver Purchase Act  
*See* [Sherman Silver Purchase Act, U.S.](#).

Silvestre, Fernandez, Spanish general  
[1921](#).

Sima family, Chinese military leaders  
[157](#).

Sima Guang, historian  
[371](#), [372](#), [373](#), [854](#).

Sima Qian, historian  
[156](#).

Simashki dynasty  
[120](#), [122](#).

Sima Tan, historian  
[156](#).

Sima Xiangru, poet  
[156](#).

Sima Yan, Chinese leader  
[157](#).

Simbirsk  
[784](#).

Simeon, uncle of Stephen Urosh V  
[562](#).

Simeon I, grand prince of Moscow  
[558](#).

Simeon II, tsar of Bulgaria  
[2173](#), [3234](#).

Simhavishnu, ruler of India  
[326](#).

Simitas, Costas, Simitis  
[3231](#), [3233](#), [3811](#), [3811](#).

Simla Agreement  
[3972](#).

Simon, John Allsebrook  
[1848](#).

Simon, Jules, French leader  
[1191](#).

Simon Bar Kozebah, Jewish leader  
[253](#).

Simonides, Greek poet

[176](#).  
Simpson, Mrs. Wallis Warfield, wife of Duke of Windsor  
[1850](#).  
Simpson, Nicole, murder victim  
[3436](#).  
Simpson, O.J., athlete, acquitted of murder  
[3434](#), [3436](#).  
Simpson's Ltd., Canada  
[1632](#).  
Si Muhand, Berber poet  
[1384](#).  
Simuka  
[132](#).  
Sin  
*See* [Nanna](#).  
Sin-ahhi-eriba  
*See* [Sennacherib, king of Assyria](#).  
Sinai Peninsula  
[43](#), [90](#), [91](#), [91](#), [91](#), [92](#), [127](#), [1347](#), [1751](#), [2638](#), [2655](#), [2664](#), [2672](#), [3771](#), [3771](#), [3771](#),  
[3774](#), [3777](#), [3914](#).  
Sinaloa  
[903](#), [903](#), [904](#).  
Sincai, George, writer  
[1311](#).  
Sin Chae-hyo, musician  
[1429](#).  
Sinclair, Harry F., U.S. businessman  
[2194](#).  
Sind  
[290](#), [325](#), [331](#), [333](#), [1394](#), [1395](#), [3990](#), [4001](#), [4008](#).  
Sindermann, Horst, German leader  
[3019](#).  
Sindhis  
[3990](#), [4008](#).  
Sin'ganhoe, Korea  
[2493](#).  
Singapore  
[837](#), [1410](#), [1411](#), [1418](#), [2453](#), [2455](#), [2626](#), [2627](#), [2634](#), [2636](#), [2640](#), [2691](#), [2770](#), [2799](#),  
[4042](#), [4042](#), [4047](#), [4047](#), [4047](#), [4104](#), [4105](#), [4105](#), [4106](#), [4106](#), [4107](#), [4108](#), [4116](#),  
[4116](#), [4117](#), [4117](#); makeup, [4047](#); and Great Britain, [4105](#), [4106](#), [4117](#); independence,  
[4116](#).



Singara  
[273](#).

Singer, Isaac M., inventor  
[985](#).

Singer sewing machine company  
[961](#), [1700](#).

Singh, Beant, assassin  
[3977](#).

Singh, Bhagat, Indian leader  
[2440](#).

Singh, Ram Subhag, Indian leader  
[3969](#).

Singh, Satwant, assassin  
[3977](#).

Singh, V. P., Indian leader  
[3978](#), [3982](#), [3983](#), [3983](#).

Singkel  
[839](#).

Single Workers' Central, CUT  
[3621](#).

Single Workers' Central, CUT  
[3583](#).

Singosari  
[339](#).

Sinhalese, Sinhalese  
[336](#), [3984](#), [4026](#), [4026](#), [4027](#), [4030](#), [4034](#), [4035](#), [4037](#), [4037](#), [4037](#).

Sinhalese Language Bill  
[4026](#).

Sinigaglia  
[609](#).

Sinking Fund Act, England  
[685](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 71

Sinminhoe, Korea

[2488](#).

Sin-muballit of Babylon

[85](#).

Sinmun, Korean king

[378](#).

Sinn

[1510](#).

Sinnar

[327](#).

Sinn Fein, Irish political organization

[1170](#), [1859](#), [1860](#), [1860](#), [1861](#), [1861](#), [1861](#), [1861](#), [1863](#), [1863](#), [1863](#), [1863](#), [1869](#), [2800](#),  
[2800](#), [2800](#), [2814](#), [2815](#), [2815](#), [2816](#), [2816](#), [2816](#), [3432](#).

Sino-French War

[1474](#).

Sinoia, Rhodesia

[4467](#).

Sino-Japanese relations

[966](#), [1418](#), [1720](#), [2460](#), [2461](#), [2462](#), [2462](#), [2463](#), [2463](#), [2464](#), [2464](#), [2465](#), [2466](#), [2466](#),  
[2469](#), [2470](#), [2470](#), [2471](#), [2472](#), [2473](#), [2473](#), [2473](#), [2473](#), [2474](#), [2474](#), [2474](#), [2476](#),  
[2476](#), [2476](#), [2476](#), [2476](#), [2477](#), [2477](#), [2477](#), [2478](#), [2494](#), [2495](#), [2496](#), [2496](#), [2497](#),  
[2498](#), [2502](#), [2504](#), [2507](#), [2507](#), [2508](#), [2508](#), [2508](#), [2510](#), [2511](#), [2511](#), [2512](#), [2512](#),  
[2513](#), [2514](#), [2515](#), [2515](#), [2517](#), [2517](#), [2520](#), [2520](#), [2623](#), [2624](#), [2634](#), [4140](#), [4150](#),  
[4154](#), [4161](#), [4162](#), [4170](#), [4177](#); and Korea, [1431](#).

Sino-Japanese Wars

[955](#), [1420](#), [1421](#), [1456](#); and Korea, [1432](#).

Sinop, battle of

[1334](#).

Sinope

[501](#), [508](#), [508](#).

Sino-Soviet relations

[2463](#), [2463](#), [2464](#), [2465](#), [2465](#), [2465](#), [2466](#), [2466](#), [2467](#), [2467](#), [2468](#), [2468](#), [2469](#),  
[2469](#), [2469](#), [2476](#), [2479](#), [2486](#), [2637](#), [2718](#), [2723](#), [2725](#), [3269](#), [3274](#), [3278](#), [3280](#),  
[3283](#), [3284](#), [4087](#), [4088](#), [4140](#), [4141](#), [4144](#), [4145](#), [4146](#), [4146](#), [4146](#), [4146](#), [4146](#),  
[4152](#), [4152](#), [4153](#), [4154](#), [4154](#), [4155](#), [4158](#), [4158](#), [4160](#), [4165](#), [4168](#), [4172](#), [4187](#),  
[4187](#).

Sino-Tibetans

[138](#).

Sinowatz, Alfred, Austrian leader

[3037](#).

Sin-shar-ishkun, king of Assyria

[87](#).

Sin-shum-lishar, king of Assyria

[87](#).

Sinyavsky, Andrei, intellectual

[3280](#).

Sioux Indians

[1587](#), [1592](#), [1604](#).

Sipan

[58](#).

Sippar

[85](#).

Siraj-ud-Daulah, nawab of Bengal

[835](#), [835](#).

Sir George Williams University, Montreal

[3454](#).

sirhak, Korean school of learning

[856](#), [856](#), [1429](#), [1429](#).

Sirhan, Sirhan Beshara, assassin

[3415](#).

Sirius

[1148](#).

Siroky, Viliam, Czech leader

[3127](#), [3128](#).

Sirovy, Jan, premier of Czechoslovakia

[1835](#).

Sirwah

[128](#).

Sisavangvong, king of Laos

[2453](#), [2453](#), [2453](#), [4093](#), [4094](#).

Sisavanvon, king of Laos

[1409](#).  
Sismondi, Simonde de  
[1036](#).  
Sison, José Maria, Philippine leader  
[4293](#).  
Sisophon  
[1407](#).  
Sisowath Monivong, king of Cambodia  
[2453](#), [2453](#).  
Sissek  
[798](#).  
Sistan  
[295](#), [816](#).  
Sistine Chapel, Vatican  
[532](#), [607](#).  
Sistova  
[809](#), [1806](#).  
Sisulu, Walter, South African leader  
[4320](#).  
Sita  
[129](#).  
Sithole, Ndabaningi, Zimbabwean leader  
[4467](#), [4467](#).  
Sitif  
[2425](#).  
Sitre  
*See [Tawosre, queen of Egypt](#)*.  
Sittang River  
[844](#).  
Sitting Bull, American Indian leader  
[1597](#), [1604](#).  
Siva, Indian god  
[129](#), [133](#), [337](#).  
Sivaji, Maratha raider and later rajah  
[833](#), [833](#), [834](#).  
Sivamara II, ruler of India  
[327](#).  
Sivas  
[311](#), [797](#), [3796](#).  
Siwa  
[206](#).

Six Acts, England  
[1046](#).

Six Articles, England  
[587](#), [587](#).

Six Articles, Germanic Confederation  
[1071](#).

Six Classics, Chinese text  
[854](#).

Six-Day War (June War)  
[2664](#), [3771](#), [3771](#), [3771](#), [3858](#).

Six Dynasties period  
[156](#), [156](#), [158](#), [158](#), [276](#).

Six Nations, of the Iroquois  
[935](#), [940](#).

Sixteen kingdoms  
[158](#).

Sixth Cataract  
[99](#).

Sixth Syrian War  
[214](#).

Sixtus, prince  
[1771](#), [1771](#).

Sixtus, prince of Bourbon  
[536](#), [1771](#), [1771](#).

Sixtus IV, pope  
[525](#), [532](#), [532](#), [535](#), [535](#), [609](#).

Sixtus V, pope  
[609](#).

Sjahrir, Soetan, Indonesian leader  
[2457](#), [4120](#).

Sjarifoeddin, Amir, Indonesian leader  
[4120](#).


Skagen School, of Danish painters  
[1252](#).

Skandagupta, king of India  
[130](#).

Skanderbeg, George, Castriotes  
[313](#).

Skåne  
[761](#), [764](#), [1076](#).

Skarga, Peter, Polish writer

[633](#).  
Skate, American submarine  
[998](#).  
Skaw, the  
[1252](#).  
Skegness  
[1851](#).  
Skele, Andris, Latvian leader  
[3350](#), [3350](#), [3350](#), [3351](#).  
skepticism  
[584](#), [584](#).  
Skidmore, Thomas, U.S. reformer  
[1575](#).  
Skobelev, Mikhail D., Russian general  
[1111](#).  
Skokov, Yury, Russian leader  
[3364](#).  
Skopin-Shuisky, Michael, Russian leader  
[630](#).  
Skopje, Skopye  
[310](#), [562](#), [1322](#), [1326](#), [3195](#).  
Skoropadsky, Paul, Skoropadski  
[1774](#), [2067](#).  
Skottowe, Nicholas, British envoy in China  
[853](#).  
Skouloudis, Stephanos, Greek leader  
[1744](#), [1758](#).  
Skup tina, Skupshtina  
[1284](#), [1285](#), [1285](#), [2128](#), [2128](#), [2134](#).  
Skutkonung, Olaf, ruler of Sweden  
[463](#).  
Skwarczynski, Stanislas, Polish leader  
[2123](#).  
Skylax, general  
[129](#).  
skyscrapers  
[1146](#).  
Slachter's Nek Rebellion, South Africa  
[1550](#).  
Slansky, Rudolf, Czech leader  
[3126](#), [3126](#).



[1260](#).

Slavophiles, school of Russian thought

[1258](#).

Slavs

[408](#), [409](#), [415](#), [415](#), [416](#), [417](#), [426](#), [426](#), [427](#), [428](#), [429](#), [429](#), [430](#), [430](#), [430](#), [430](#), [432](#), [432](#), [434](#), [439](#), [440](#), [440](#), [456](#), [456](#), [459](#), [482](#), [482](#), [482](#), [483](#), [483](#), [483](#), [486](#), [486](#), [488](#), [488](#), [488](#), [491](#), [494](#), [494](#), [502](#), [540](#), [541](#), [548](#), [550](#), [563](#), [563](#), [1089](#), [1090](#), [1105](#), [1107](#), [1240](#), [1244](#), [1244](#), [1260](#), [1285](#), [1296](#), [1297](#), [1334](#), [1769](#), [1778](#), [1779](#).

Slawata, William, governor of Prague

[617](#).

Sleeman, William

[1395](#).

Slesvig

[769](#).

Slezevicius, Adolfas, Lithuanian leader

[3356](#), [3357](#).

Slivnitza, battle of

[1112](#), [1289](#), [1301](#).

Slovakia

[482](#), [483](#), [483](#), [486](#), [486](#), [634](#), [1835](#), [1837](#), [1837](#), [2013](#), [2013](#), [2015](#), [2016](#), [2017](#), [2020](#), [2021](#), [2021](#), [2023](#), [2031](#), [2582](#), [2752](#), [2754](#), [2756](#), [3118](#), [3120](#), [3122](#), [3128](#), [3134](#), [3135](#), [3136](#), [3136](#), [3136](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3137](#), [3138](#), [3138](#), [3138](#), [3139](#), [3139](#), [3140](#), [3244](#), [3259](#), [3350](#), [3357](#); WWI, [1787](#); and Germany, [1992](#); autonomy, [3129](#); personal name reform, [3137](#). *See* [Czechoslovakia](#).

Slovak Republic

[2688](#). *See* [Czechoslovakia](#).

Slovak Socialist Republic

[3129](#).

Slovene Christian Democratic Party

[3176](#).

Slovenia

[482](#), [494](#), [794](#), [804](#), [805](#), [1073](#), [1779](#), [2127](#), [2127](#), [2127](#), [2131](#), [2134](#), [2687](#), [2754](#), [2754](#), [3118](#), [3162](#), [3176](#), [3176](#), [3176](#), [3178](#), [3178](#), [3193](#), [3193](#), [3194](#), [3194](#), [3194](#), [3324](#); independence, [3176](#), [3177](#), [3193](#), [3193](#), [3193](#), [3193](#); Republic, [3176](#); secession, [3177](#).

Slovenian League of Communists

[3176](#).

Slovenski Jug, Serbian society

[1293](#).

Slowacki, Juljusz, writer

[1267](#).



Slutsk  
[2125](#).

Sluys, battle of  
[512](#), [520](#).

Small Elobey  
[4338](#).

Smallholders' Party, Hungary  
[3141](#).

smallpox  
[583](#), [693](#), [774](#), [1068](#), [1527](#), [1626](#).

Smendes, king of Egypt  
[93](#), [93](#).

Smerdis, brother of Cambyses I, king of Persia  
[124](#).

Smetona, Antanas, Lithuanian leader  
[2086](#), [2090](#), [2090](#), [2091](#).

Smith, Adam, political philosopher  
[645](#), [645](#), [689](#), [1352](#), [1425](#).

Smith, Alfred E., U.S. leader  
[2197](#).

Smith, Harry  
[1552](#).

Smith, Ian, Rhodesian leader  
[2662](#), [4467](#), [4467](#), [4467](#).

Smith, John, English colonist  
[924](#), [926](#).

Smith, Joseph, U.S. religious leader  
[1575](#).

Smith, Kirby, Confederate commander  
[1590](#).

Smith, Ross  
[2539](#).

Smith, T., British commander  
[1551](#).

Smith, Theobald, pathologist  
[1153](#).

Smith, William, geologist  
[1042](#).

Smith Act, U.S.  
[3395](#).

Smith-Connally Anti-Strike Bill, U.S.

[2212](#).  
Smith-Dorrien, Horace  
[1789](#).  
Smithson, James, philanthropist  
[1040](#).  
Smithsonian Agreement  
[2640](#).  
Smithsonian Institution, Washington  
[1040](#).  
Smolensk  
[629](#), [630](#), [631](#), [632](#), [633](#), [777](#), [783](#), [1029](#), [2125](#), [2125](#), [2593](#), [2596](#).  
Smoot-Hawley Tariff Act, U.S.  
[2198](#), [2227](#).  
Srnkovsky, Czech leader  
[3130](#).  
smuggling  
[911](#).  
Smuts, Jan Christiaan, South African leader  
[1558](#), [1784](#), [2554](#), [2575](#), [2576](#), [2577](#), [2577](#), [2579](#), [2580](#).  
Smyrna, Izmir  
[175](#), [177](#), [566](#), [803](#), [1110](#), [1743](#), [1743](#), [1752](#), [1788](#), [1788](#), [2144](#), [2145](#), [2321](#), [2321](#). *See*  
[Izmir](#).  
Smyth v. Ames, U.S. Supreme Court decision  
[1596](#).  
Snake River  
[1568](#).  
Snefru, king of Egypt  
[91](#).  
Snegur, Mircea, Moldovan leader  
[3358](#), [3358](#), [3359](#), [3359](#).  
Snellman, J. V., Finnish leader  
[1080](#).  
Snell's Künsnacht Memorial  
[1070](#).  
Snow, John, British physician  
[1155](#).  
Snowden, Philip, English leader  
[1847](#).  
Snowdon  
[446](#).  
So, king of Egypt

[105](#).  
Soares, Mário, Portuguese leader  
[2919](#).  
Sobhuza I, African leader  
[1549](#).  
Sobhuza II, king of Swaziland  
[4490](#), [4490](#).  
Sobranye, Bulgaria  
[1300](#).  
S  Chae-p'il, Korean leader  
[1433](#).  
Sociaal-Democratische Arbeiders Partij, Netherlands  
[1175](#).  
Sociaal-Democratische Bond, SDB  
[1174](#), [1175](#).  
Social Christian Democrats, COPEI  
[3601](#), [3604](#).  
Social Christian Party, Ecuador  
[3572](#).  
Social Christian Unity Party, PUSC  
[3690](#).  
Social Christian Unity Party, Nicaragua  
[3691](#).  
social contract  
[645](#).  
Social Credit Party, Alberta  
[2231](#).  
Social Darwinism  
[1143](#), [1394](#), [1450](#), [1657](#).  
Social Democracy of the Kingdom of Poland  
[1269](#).  
Social Democratic Alliance of Macedonia  
[3195](#).  
Social Democratic Party  
[1234](#); Germany, [1233](#), [1235](#), [1235](#), [1237](#), [1237](#), [2983](#), [2987](#); Sweden, [1249](#); Denmark,  
[1252](#); Russia, [1262](#), [1262](#), [1263](#), [2064](#); Austria, [1998](#); Czechoslovakia, [2014](#);  
Hungary, [2029](#), [2030](#), [3143](#); Latvia, [2099](#); Great Britain, [2794](#); Brazil, [2919](#), [3607](#);  
Switzerland, [2970](#); Poland, [3112](#); Croatia, [3192](#); Japan, [4224](#).  
Social Democratic People's Party, Hungary  
[3158](#).  
Social Democratic Populist Party, Turkey

[3799](#).

Social Democratic Union, East Germany

[3021](#).

Social Gospel

[1640](#).

socialism

[959](#), [1702](#), [1782](#), [1814](#), [1814](#), [1815](#), [1839](#), [1913](#), [2457](#); 1800–1914, [999](#), [1035](#), [1035](#), [1035](#), [1035](#), [1142](#), [1143](#), [1143](#), [1143](#), [1144](#), [1144](#), [1144](#), [1144](#), [1146](#); Great Britain, [1047](#); France, [1060](#), [1060](#), [1061](#), [1081](#), [1183](#), [1187](#), [1188](#), [1191](#), [1195](#), [1195](#), [1197](#), [1198](#); Belgium, [1171](#), [1172](#); Netherlands, [1174](#), [1894](#); Spain, [1204](#), [1920](#); Portugal, [1207](#); Italy, [1221](#), [1222](#), [1225](#), [1943](#); Germany, [1231](#), [1233](#), [1234](#), [1235](#), [1235](#), [1235](#), [1237](#); Scandinavia, [1248](#); Denmark, [1252](#); Finland, [1254](#); Russia, [1258](#), [1262](#); Poland, [1268](#), [1269](#), [1270](#); China, [1424](#); U.S., [1598](#), [1611](#), [1619](#); Canada, [1639](#); Austria, [2003](#); Korea, [2490](#).

Socialism Party, Belgium

[1891](#).

Socialist Congress, Italy

[1941](#).

Socialist Destour Party

[3943](#).

Socialist Falange, Bolivia

[3543](#).

Socialist Party

[1914](#), [1975](#), [2987](#), [4246](#); Switzerland, [1228](#); Italy, [1746](#), [1942](#), [1944](#); Belgium, [1882](#), [1882](#); Netherlands, [1896](#); France, [1901](#), [1902](#), [1910](#), [1910](#), [1912](#), [1914](#), [1914](#), [1914](#), [2839](#), [2870](#); Spain, [1925](#), [1928](#), [1929](#), [1930](#); Germany, [1971](#), [1971](#), [1971](#), [1971](#), [1973](#), [1973](#), [1974](#), [1978](#), [1979](#), [1980](#), [1982](#), [1983](#), [1984](#), [1984](#), [1986](#), [1986](#), [1986](#), [1994](#), [3005](#); Austria, [1998](#), [1998](#), [1998](#), [1999](#), [2002](#), [2003](#), [2003](#), [2003](#), [2004](#), [2008](#), [2023](#), [3028](#), [3028](#); Hungary, [2023](#), [3162](#); Russia, [2064](#), [2064](#), [2064](#), [2064](#), [2065](#), [2066](#), [2067](#), [2067](#); Poland, [2117](#), [2118](#), [2122](#); Portugal, [2920](#); Serbia, [3177](#); Albania, [3204](#); Kazakhstan, [3332](#); Japan, [4242](#); Senegal, [4328](#), [4379](#).

Socialist Party Congress, Livorno

[1944](#).

socialist realism

[3277](#).

Socialist Students' League

[3004](#).

Socialist Unity Party, SED

[2983](#).

Socialist Unity Party, East Germany

[3021](#).

Socialist Workingmen's Party, Italy

[1221](#).

Social Liberal Party, Croatia

[3192](#).

social reforms

[1814](#), [1814](#), [1846](#), [2203](#), [2788](#); France, [1005](#), [1909](#), [1912](#), [2839](#), [2840](#), [2848](#), [2856](#), [2871](#); welfare state, [1702](#), [1814](#), [1856](#); adoption, [1844](#); children, [1880](#), [1881](#); Belgium, [1886](#), [1889](#); Austria, [1998](#), [3037](#); Hungary, [2031](#); Scandinavia, [2036](#); Denmark, [2041](#), [2043](#); Norway, [2047](#); Sweden, [2048](#), [2048](#), [2049](#), [3068](#); Russia, [2064](#); Lithuania, [2089](#); Poland, [2114](#); U.S., [2187](#), [2187](#), [2205](#), [2205](#), [2206](#), [3390](#), [3390](#), [3390](#), [3410](#), [3411](#), [3418](#), [3419](#), [3419](#), [3422](#), [3423](#), [3430](#), [3430](#), [3435](#), [3439](#), [3439](#); Canada, [2227](#), [2231](#), [2231](#); Newfoundland, [2237](#); Latin America, [2238](#); Argentina, [2242](#), [2247](#), [2247](#); Chile, [2245](#); Uruguay, [2252](#); Colombia, [2268](#); Venezuela, [2269](#); Brazil, [2273](#); Guatemala, [2279](#); New Zealand, [2551](#), [2552](#), [2552](#), [4314](#), [4314](#), [4316](#), [4317](#); Africa, [2559](#); Great Britain, [2758](#); social insurance, [2759](#); Netherlands, [2832](#); Spain, [2892](#), [2894](#); Germany, [3024](#); Finland, [3081](#); food stamps, [3418](#); Nicaragua, [3678](#); Costa Rica, [3686](#), [3688](#), [3689](#), [3690](#); Cuba, [3718](#), [3721](#); Haiti, [3745](#); Jamaica, [3762](#); Grenada, [3762](#); Iran, [3817](#); Iraq, [3880](#). *See* [insurance](#); [women](#); [New Deal](#); [suffrage](#).

Social Revolutionaries, Russia

[1262](#).

Social Revolutionary Party, Russia

[2064](#), [2065](#), [2067](#).

Social Security, U.S.

[3411](#), [3428](#).

Social Security Act, U.S.

[2187](#), [2205](#), [2205](#).

Social Service Council of Canada

[1640](#).

Social War

[203](#), [237](#); ancient Greece, [211](#), [211](#); ancient Rome, [237](#), [237](#).

Sociedad de la Igualdad, Chile

[1662](#).

Sociedad Nacional de Agricultura, SNA

[1663](#).

Société Générale, Netherlands

[1053](#).

Societies of Polish Workers

[1269](#).

society

[3](#), [1062](#), [1390](#), [1814](#), [1986](#), [2214](#); prehistoric, [2](#), [14](#), [14](#), [14](#), [14](#), [14](#), [18](#), [19](#), [23](#), [31](#), [33](#), [35](#), [37](#), [40](#), [40](#), [41](#), [41](#), [46](#), [49](#), [50](#); New World, [53](#); Mesopotamia, [83](#); ancient Egypt,



Society for the Defense of Women's Rights, Ottoman Empire  
[1348](#).

Society for the Emancipation of Italy  
[1214](#).

Society Islands  
[14](#), [52](#), [1476](#).

Society of Friends to Farmers  
[1078](#).

Society of God Worshipers, China  
[1417](#).

Society of Jesus  
*See [Jesuits, religious order](#)*.

Society of Loyal Electors, Canada  
[1623](#).

Society of Muhammadan Union  
[1348](#).

Society of Mutual Help, Russia  
[1262](#).

Socorro  
[913](#).

Socotra  
[337](#).

Socrates, Greek philosopher  
[68](#), [186](#), [199](#).

Socratic Method  
[186](#).

Soest  
[548](#).

Sofala  
[362](#), [364](#).

Sofia  
[310](#), [313](#), [438](#), [441](#), [1299](#), [1321](#), [1343](#), [1743](#), [2164](#), [2166](#), [2172](#), [2591](#), [2597](#), [3238](#),  
[3239](#), [3243](#).

Softsword  
*See [John Lackland, king of England](#)*.

Soga clan  
[347](#), [383](#), [383](#), [383](#), [383](#), [383](#).

Soga no Iruka, clan leader  
[383](#).

Soga Umako, Japanese leader  
[383](#), [383](#).

Sogdiana

[207](#), [217](#), [272](#), [272](#).

Sogdianus, king of Persia

[124](#).

Soglo, Nicéphore, Benin leader

[4329](#), [4329](#).

Sohn

[1477](#).

Soil Conservation Act, U.S.

[2202](#).

Soilih, Ali, Comoros leader

[4415](#).

Soissons

[407](#), [407](#), [407](#), [505](#), [615](#), [1738](#), [1781](#), [1789](#), [1801](#), [1812](#), [1812](#).

Soka Gakkai

[2644](#).

S kkuram, Buddhist grottoes

[378](#).

S  K -j ng, Korean scholar

[856](#).

Sokol Law, Yugoslavia

[2131](#).

Sokoto

[869](#), [871](#), [1506](#), [1507](#), [1510](#), [1510](#), [1510](#), [1511](#), [1513](#), [1519](#), [1520](#).

Solana, Javier, NATO leader

[2752](#).

solar monotheism

[90](#).

Soldiere

[3853](#).

Soldiers' Bonus Bill, U.S.

[2194](#).

Sole Bay, battle of

[650](#).

Solemn League and Covenant (Covenanters)

[591](#), [592](#), [592](#), [676](#).

Solferino, battle of

[1211](#).

Solidaridad, Mexico

[3707](#).

Solidarity, Poland



[2677](#), [2679](#), [2685](#), [3100](#), [3100](#), [3101](#), [3102](#), [3102](#), [3102](#), [3102](#), [3102](#), [3102](#), [3103](#), [3104](#),  
[3105](#), [3105](#), [3106](#), [3106](#), [3107](#), [3108](#), [3109](#), [3110](#), [3110](#), [3110](#), [3110](#), [3111](#), [3112](#),  
[3112](#), [3113](#), [3115](#), [3116](#), [3132](#).

Solidarity Electoral Action, Poland

[3119](#).

Solingen

[3024](#).

Sollum

[2612](#).

Sologub, Fyodor, writer

[1258](#).

Solomon, king of Israel

[93](#), [104](#), [109](#), [360](#).

Solomon, Anthony, economist

[4283](#).

Solomonic dynasty

[360](#), [360](#), [361](#).

Solomon Islands

[27](#), [864](#), [865](#), [865](#), [866](#), [1477](#), [1478](#), [1478](#), [1494](#), [2530](#), [2531](#), [2627](#), [2627](#), [2628](#), [2628](#),  
[4284](#), [4288](#), [4287](#).

Solomon's Temple

[88](#), [105](#).

Solon, Athenian lawgiver

[180](#), [180](#), [180](#), [187](#).

Solo River

[20](#).

Solórzano, Carlos, Nicaraguan leader

[2283](#), [2283](#).

Solothurn

[547](#), [625](#), [625](#).

Solus

[184](#).

Solvay, Ernest, chemist

[983](#).

Solway

[253](#).

Solway Firth

[421](#).

Solzhenitsyn, Aleksandr, writer

[3280](#), [3284](#), [3301](#), [3365](#).

Soma

129.  
Somali  
343, 1527, 4391.  
Somalia  
91, 96, 347, 2636, 2636, 2638, 2638, 2641, 2688, 3722, 4320, 4390, 4392, 4393,  
4396, 4397, 4399, 4400, 4400, 4400, 4400, 4400, 4400, 4401, 4401, 4402, 4402,  
4403, 4403; and U.S., 3430; Somali Republic, 4399.  
Somaliland  
954, 1952, 2929; WWI, 1746.  
Somali National Movement, SNM  
4400, 4400.  
Somali Youth League, SYL  
4390, 4391, 4400.  
Somanatha  
331.  
Somerset, duke of, Edward Seymour, 1st earl of Hertford  
587, 587.  
Somerset, 1st duke of, John Beaufort  
515, 515.  
Somersetshire  
590.  
Somers Islands Company  
931.  
Somerville, William, explorer  
1507.  
Somesvara I, ruler of India  
336, 336.  
Somesvara IV, ruler of India  
337.  
Somme, battles of the  
1754, 1754, 1754, 1754, 1754, 1756, 1766, 1800, 1801, 1812.  
Somme River  
412, 523, 523, 2585.  
Somnath  
325.  
Somoza, Luis, Nicaraguan leader  
3675, 3675, 3675.  
Somoza Debayle, Anastasio, Nicaraguan leader  
3474, 3675, 3675, 3675, 3675, 3676, 3676, 3676, 3676, 3676, 3677, 3677, 3677, 3678.  
Somoza García, Anastasio, Nicaraguan leader  
2285, 2285, 2285, 2285, 2285, 2285.








## Subject Index

### Page 72

- Sonnino, Sidney  
[1225](#), [1746](#), [1746](#), [1771](#), [1784](#), [1784](#).
- Sonora  
[904](#), [2296](#), [3703](#).
- Sons of Liberty  
[941](#), [943](#).
- Sontoku, Ninomiya, philosopher  
[1437](#).
- Soo Canal, U.S.  
[1583](#).
- Soor, battle of  
[660](#).
- Sophagaesenus, Indian ruler  
[214](#).
- Sophia, Byzantine empress  
[428](#).
- Sophia, princess of Hanover  
[682](#).
- Sophia, regent of Russia  
[784](#), [784](#).
- Sophia, wife of Ivan the Great  
[629](#).
- Sophists, Greek philosophers  
[186](#).
- Sophocles, Greek playwright  
[186](#).
- Sophoulis, Themostokles, Greek leader  
[3208](#), [3209](#).
- Sorai, Ogyō, Japanese philosopher

[859](#).  
Sorbon, Robert de, theologian  
[452](#).  
Sorbonne, Paris  
[452](#), [2859](#).  
Sorby, Henry Clifton, English geologist  
[984](#).  
Sorel, and introduction of galvanized iron  
[983](#).  
Sorel, Georges, anarchist  
[1143](#), [1145](#), [1195](#).  
Sorzano, Luis Tejada, Bolivian leader  
[2255](#).  
Sosa, Yon, Guatemalan leader  
[3652](#).  
S seki, Natsume, writer  
[1471](#).  
Sosibius, minister to Ptolemy IV  
[218](#).  
Soso  
[352](#), [353](#).  
Sota, José Manuel de la  
[3505](#).  
Sotelo, Leopoldo Calvo, Spanish leader  
[2887](#), [2899](#), [2899](#).  
Sotho people  
[1551](#), [1552](#), [1553](#).  
Sotho-Tswana  
[365](#), [890](#), [890](#).  
Soto, Bernardo, Latin American leader  
[1685](#).  
Soto, Marco Aurelio, Latin American leader  
[1686](#).  
S  t Zen Buddhism  
[395](#).  
Soubise, duke of, Benjamin de Rohan, Huguenot leader  
[599](#).  
Soubllette, Carlos, Latin American leader  
[1675](#).  
Soulouque, Faustin, Haitian leader  
[1696](#).

Soult, Nicolas, duke of Dalmatia

[1027](#), [1028](#), [1028](#).

sound recording

[990](#).

Souphanouvong, prince

[4096](#).

Sousse

[828](#).

Soustelle, Jacques, French leader

[2852](#).

South, U.S.

[579](#), [961](#), [1563](#), [1563](#), [1565](#), [1575](#), [1578](#), [1596](#), [1598](#), [1598](#), [1605](#), [1611](#); Civil War, [1586](#), [1586](#), [1587](#), [1587](#), [1589](#), [1590](#), [1590](#); Reconstruction, [1592](#), [1592](#), [1593](#); discrimination in, [1604](#), [1604](#).

South Africa

[19](#), [19](#), [24](#), [25](#), [38](#), [365](#), [578](#), [596](#), [703](#), [713](#), [869](#), [891](#), [891](#), [961](#), [970](#), [971](#), [1162](#), [1162](#), [1162](#), [1505](#), [1506](#), [1506](#), [1529](#), [1549](#), [1553](#), [1556](#), [1557](#), [1558](#), [1558](#), [1699](#), [1768](#), [2229](#), [2554](#), [2554](#), [2574](#), [2576](#), [2576](#), [2576](#), [2577](#), [2577](#), [2578](#), [2578](#), [2578](#), [2579](#), [2636](#), [2638](#), [2641](#), [2648](#), [2663](#), [2664](#), [2667](#), [2667](#), [2668](#), [2673](#), [2673](#), [2674](#), [2682](#), [2682](#), [2683](#), [2684](#), [2686](#), [2687](#), [2688](#), [2689](#), [2694](#), [2696](#), [2697](#), [2698](#), [2699](#), [3721](#), [4315](#), [4316](#), [4316](#), [4320](#), [4320](#), [4320](#), [4320](#), [4320](#), [4326](#), [4344](#), [4353](#), [4353](#), [4371](#), [4400](#), [4410](#), [4414](#), [4416](#), [4426](#), [4436](#), [4436](#), [4436](#), [4437](#), [4437](#), [4438](#), [4438](#), [4438](#), [4438](#), [4450](#), [4457](#), [4458](#), [4459](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#), [4462](#), [4463](#), [4464](#), [4465](#), [4465](#), [4465](#), [4467](#), [4467](#), [4469](#), [4470](#), [4470](#), [4470](#), [4470](#), [4470](#), [4470](#), [4471](#), [4471](#), [4472](#), [4472](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4473](#), [4474](#), [4475](#), [4475](#), [4476](#), [4476](#), [4476](#), [4476](#), [4476](#), [4476](#), [4477](#), [4477](#), [4478](#), [4480](#), [4480](#), [4480](#), [4482](#), [4483](#), [4483](#), [4483](#), [4483](#), [4484](#), [4485](#), [4487](#), [4488](#), [4488](#), [4489](#), [4489](#), [4489](#), [4490](#), [4490](#); consolidation of, [1558](#); Union of, [1558](#); WWI, [2574](#), [2575](#), [2575](#), [2575](#); makeup, [2577](#); WWII, [2580](#), [2580](#); republic, [4477](#).

South African Defence Force

[4458](#), [4473](#).

South African Native Affairs Commission

[1558](#).

South African Native Clothing Workers' Union

[2578](#).

South African Native National Congress

[1559](#).

South African Native Peoples Congress

[2554](#).

South African Parliament

[4455](#).

South African Party  
[1560](#), [2574](#).

South African Students Organization, SASO  
[4477](#).

South African Truth and Reconciliation Commission  
[2694](#), [4470](#).

South African War  
[970](#), [971](#), [973](#), [1124](#), [1142](#), [1162](#), [1162](#), [1237](#), [1497](#), [1498](#), [1506](#), [1558](#), [1639](#).

South America  
[28](#), [34](#), [34](#), [34](#), [40](#), [40](#), [41](#), [281](#), [570](#), [572](#), [573](#), [573](#), [575](#), [578](#), [579](#), [584](#), [602](#), [659](#), [889](#),  
[909](#), [914](#), [919](#), [956](#), [957](#), [1043](#), [1546](#), [1658](#), [1721](#), [2242](#), [2248](#), [2292](#), [2647](#), [2855](#),  
[3477](#), [3478](#), [3480](#), [3598](#), [3628](#), [3629](#); WWI, [1795](#), [1795](#); free trade, [3467](#), [3479](#); and  
Alfredo Stroessner, model for dictators, [3523](#).

South American antiwar pact  
[2242](#).

Southampton, Virginia  
[1575](#).

Southampton, 3rd earl of, Henry Wriothesley, English leader  
[590](#).

South Arabia  
[126](#), [126](#), [128](#), [128](#).

South Arabian League  
[3891](#).

South Arcot  
[337](#).

South Asia  
[48](#), [67](#), [68](#), [279](#), [324](#), [324](#), [324](#), [324](#), [331](#), [331](#), [830](#), [830](#), [830](#), [830](#), [1394](#), [1706](#), [2432](#),  
[2432](#), [2636](#), [2644](#), [3950](#), [3950](#), [3950](#); independence, [3950](#); and Great Britain, [3950](#),  
[3950](#).

South Atlantic  
[869](#), [869](#), [2045](#).

South Australia  
[1487](#), [1489](#), [1492](#), [1495](#), [1497](#), [1497](#), [1498](#), [4309](#).

South Australia Association  
[1489](#).

South Carolina  
[574](#), [905](#), [938](#), [938](#), [940](#), [951](#), [1575](#), [1576](#), [1584](#), [1589](#).

South Carolina Exposition, Calhoun  
[1574](#).

South China Sea  
[51](#), [281](#), [281](#).



Southcott, Joanna, millenarian

[690](#).

South Dakota

[1593](#), [1603](#), [2670](#).

Southeast, U.S.

[33](#), [53](#).

Southeast Africa

[4410](#).

Southeast Asia

[18](#), [22](#), [22](#), [24](#), [27](#), [27](#), [29](#), [30](#), [35](#), [39](#), [39](#), [41](#), [48](#), [49](#), [51](#), [51](#), [51](#), [51](#), [52](#), [64](#), [78](#), [79](#), [129](#), [129](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [136](#), [137](#), [138](#), [164](#), [279](#), [279](#), [279](#), [281](#), [281](#), [281](#), [282](#), [324](#), [326](#), [329](#), [329](#), [330](#), [335](#), [339](#), [339](#), [340](#), [371](#), [373](#), [375](#), [397](#), [443](#), [578](#), [830](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [837](#), [839](#), [839](#), [841](#), [841](#), [844](#), [847](#), [849](#), [863](#), [864](#), [867](#), [867](#), [953](#), [1394](#), [1402](#), [1402](#), [1402](#), [1402](#), [1410](#), [1706](#), [1706](#), [2432](#), [2448](#), [2527](#), [2528](#), [2634](#), [2643](#), [2644](#), [2780](#), [2959](#), [4047](#), [4047](#), [4048](#), [4113](#), [4223](#), [4241](#), [4241](#), [4256](#), [4266](#), [4302](#), [4315](#); postclassical society, [339](#), [339](#), [339](#), [340](#), [340](#), [340](#); between Wars, [2448](#), [2448](#); WWII, [2448](#), [2521](#), [2631](#); peasant rebellions, [2448](#); makeup, [2448](#), [4047](#), [4047](#); and China, [2448](#), [4047](#); Mainland, [2448](#); Peninsular and Island, [2455](#); and U.S., [3400](#); postwar colonialism, [4047](#); cold war, [4047](#); economy, [4047](#), [4073](#).

Southeast Asia Treaty Organization (SEATO)

[2637](#), [2653](#), [2674](#), [4097](#), [4106](#), [4256](#), [4264](#), [4264](#), [4315](#).

Southeast Socialist Party, PSS

[2297](#).

Southern Africa

[45](#), [349](#), [364](#), [888](#), [890](#), [1546](#), [2572](#), [2663](#), [2667](#), [2673](#), [2674](#), [2684](#), [2697](#), [4455](#), [4457](#), [4472](#).

Southern African Development Coordination Conference, SADCC

[4426](#), [4438](#), [4459](#), [4462](#), [4465](#), [4467](#), [4473](#), [4490](#).

Southern Alliance, farmers' organization

[1605](#).

Southern and Northern dynasties period

[157](#).

Southern Christian Leadership Conference, U.S.

[3402](#).

Southern Colonies, U.S.

[938](#).

Southern Cone Common Market, Mercosur

[2696](#), [3475](#), [3475](#), [3476](#), [3478](#), [3549](#), [3628](#).

Southern Court

[396](#), [396](#), [396](#).

Southern Han dynasty

[397](#).

Southern Ireland

[1862](#), [1863](#). *See* [Ireland](#).

Southern Kingdom

[105](#).

Southern Pacific Railroad

[1601](#).

Southern Qi dynasty

[158](#).

Southern Rhodesia

*See* [Rhodesia](#).

Southern Society, Kiev

[1257](#).

Southern Song dynasty

[372](#), [373](#), [373](#), [373](#), [380](#), [399](#).

South Germany

[542](#), [546](#), [547](#), [548](#).

South India

[326](#).

South Island, New Zealand

[866](#), [1500](#), [1502](#), [1502](#), [1502](#), [1503](#).

South Korea

[1706](#), [2636](#), [2637](#), [2637](#), [2638](#), [2640](#), [2642](#), [2650](#), [2650](#), [2679](#), [2698](#), [2698](#), [3394](#), [3413](#), [4065](#), [4192](#), [4192](#), [4192](#), [4192](#), [4192](#), [4192](#), [4193](#), [4193](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#), [4196](#), [4197](#), [4197](#), [4198](#), [4198](#), [4198](#), [4199](#), [4199](#), [4200](#), [4200](#), [4201](#), [4201](#), [4201](#), [4202](#), [4202](#), [4202](#), [4202](#), [4203](#), [4203](#), [4203](#), [4203](#), [4203](#), [4204](#), [4204](#), [4205](#), [4205](#), [4205](#), [4205](#), [4206](#), [4206](#), [4207](#), [4207](#), [4208](#), [4209](#), [4209](#), [4209](#), [4209](#), [4209](#), [4210](#), [4210](#), [4210](#), [4210](#), [4211](#), [4211](#), [4212](#), [4212](#), [4212](#), [4212](#), [4212](#), [4213](#), [4213](#), [4213](#), [4214](#), [4214](#), [4214](#), [4214](#), [4215](#), [4216](#), [4216](#), [4216](#), [4217](#), [4217](#), [4218](#), [4218](#), [4218](#), [4219](#), [4219](#), [4221](#), [4222](#), [4222](#), [4222](#), [4222](#), [4236](#); and China, [4171](#); and U.S., [4193](#); April Revolution, [4201](#); economic change in 1960s–1990s, [4203](#), [4209](#), [4212](#), [4217](#); CIA (KCIA), [4203](#), [4209](#), [4209](#), [4209](#); student demonstrations, [4204](#), [4204](#), [4204](#); and Vietnam, [4205](#), [4266](#); student unrest, [4209](#), [4210](#), [4210](#), [4212](#), [4212](#); makeup, [4212](#).

South Korean Interim Legislative Assembly

[4190](#).

south magnetic pole

[997](#).

South Manchurian Railway

[1424](#), [1463](#), [1464](#), [1465](#), [2466](#), [2486](#).

South Pacific

[14](#), [1498](#), [2532](#), [2551](#), [4223](#); WWII, [2629](#).

South Pacific Commission, SPC  
[4283](#), [4285](#), [4297](#).

South Pacific Forum  
[4284](#), [4316](#).

South Pacific Games  
[4283](#).

South Pacific Nuclear Free Zone Treaty, Treaty of Raratonga  
[4285](#).

South Persia Rifles  
[1751](#), [2336](#).

South Pole  
[992](#), [997](#), [997](#), [998](#), [998](#).

South Sea  
*See* [Pacific Ocean](#).

South Sea Company  
[683](#), [685](#).

South Tyrol  
[1746](#), [1746](#), [1785](#), [1946](#), [3037](#).

South Tyrol People's Party  
[3037](#).

South Vietnam  
[3413](#), [3415](#), [4069](#), [4081](#), [4081](#), [4081](#), [4085](#), [4088](#), [4098](#), [4099](#), [4256](#), [4256](#), [4261](#),  
[4263](#), [4263](#), [4263](#), [4264](#), [4264](#), [4264](#), [4265](#), [4266](#), [4266](#), [4268](#), [4268](#), [4268](#), [4268](#),  
[4269](#), [4269](#), [4269](#), [4269](#), [4270](#), [4270](#), [4270](#), [4271](#), [4271](#), [4271](#), [4272](#), [4272](#), [4272](#),  
[4272](#), [4272](#), [4273](#), [4273](#), [4273](#), [4273](#), [4274](#), [4275](#), [4302](#); and U.S., [3424](#); Republic,  
[4257](#); student unrest, [4265](#); and South Korea, [4266](#). *See* [Vietnam](#).

Southwest, U.S.  
[5](#), [40](#), [1600](#).

Southwest Africa, Namibia  
[66](#), [954](#), [955](#), [963](#), [1554](#), [1555](#), [1558](#), [2554](#), [2663](#), [4470](#), [4470](#), [4475](#), [4475](#), [4475](#),  
[4475](#), [4475](#), [4476](#), [4476](#), [4476](#), [4476](#), [4476](#), [4476](#). *See* [Namibia](#).

Southwest Africa House of Assembly  
[4455](#).

South West African People's Organization, SWAPO  
[2636](#), [4470](#), [4475](#), [4475](#), [4475](#), [4475](#), [4476](#), [4476](#), [4476](#), [4476](#).

South Yemen  
[3891](#), [3891](#), [3891](#), [3891](#), [3892](#), [3892](#), [3892](#), [3892](#), [3892](#), [3893](#), [3893](#), [3893](#), [3893](#),  
[3893](#), [3893](#), [3893](#), [3894](#), [3894](#), [3894](#), [3894](#), [3895](#), [3895](#), [3897](#); and Great Britain,  
[3891](#), [3892](#), [3892](#), [3892](#); royalist-republican civil war, [3891](#), [3891](#); makeup, [3892](#);  
military expansion, [3893](#); People's Democratic Republic of Yemen, [3893](#).

Phouma, Souvanna  
[4093](#), [4095](#), [4095](#), [4095](#), [4096](#), [4097](#), [4098](#), [4098](#), [4098](#), [4099](#).

Souza, Martin Affonso de, explorer  
[914](#).

Souza, Thomé de, Portuguese colonial administrator  
[914](#).

Souza y Menezas, A. M. de, Portuguese envoy to China  
[852](#).

Sovereign Military Hospitaller Order of St. John of Jerusalem, Rhodes, and Malta  
[2967](#).

Soviet-Afghan Treaty  
[2346](#).

Soviet Federation  
[2076](#).

Soviet-Nazi nonaggression pact  
[2582](#).

Soviet Protocol  
[2593](#).

Soviet Russia  
*See* [Russia](#).

Soviet Union  
[1814](#). *See* [Russia](#).

soviet, workers' council  
[2067](#).

Soweto, South Africa  
[2673](#), [4478](#).

Soyinka, Wole, writer  
[2682](#).

Soyuz, Russian spacecraft  
[3287](#).

Spa  
[1971](#).

Spaak, Paul-Henri, Belgian leader  
[1891](#), [2717](#), [2722](#), [2818](#), [2822](#).

space exploration, U.S.  
[2641](#), [2655](#), [2666](#), [2675](#), [2677](#), [2678](#), [2679](#), [2679](#), [2680](#), [2680](#), [2682](#), [2682](#), [2686](#),  
[2703](#), [2703](#), [2703](#), [2704](#), [3271](#), [3271](#), [3273](#), [3275](#), [3407](#), [3408](#); space station, [2705](#),  
[3437](#), [3441](#); Russian-American, [3276](#), [3287](#); Russia, [3277](#), [3278](#), [3279](#); treaty, [3281](#);  
U.S., [3407](#), [3409](#), [3432](#), [3435](#), [3436](#); Arab League, [3779](#); China, [4159](#); Korea, [4222](#).

Spa Conference  
[1781](#), [1818](#), [1975](#).

Spad 3, French plane

1766.

Spadolini, Giovanni, Italian leader

2945.

Spa Fields, England

1046.

Spagnaletto

*See* José ~Ribera, artist.

Spain

22, 33, 53, 55, 110, 228, 229, 230, 231, 231, 231, 232, 232, 232, 232, 232, 233, 233,  
234, 237, 240, 241, 241, 241, 241, 243, 243, 245, 246, 246, 246, 251, 253, 257, 260,  
265, 265, 271, 279, 281, 281, 281, 285, 287, 290, 291, 292, 292, 293, 299, 315, 315,  
319, 321, 321, 322, 322, 322, 323, 323, 323, 323, 344, 403, 403, 403, 403, 404, 404,  
410, 418, 420, 427, 429, 434, 453, 453, 456, 466, 468, 469, 475, 475, 480, 505, 511,  
525, 572, 573, 575, 575, 578, 578, 579, 579, 582, 584, 584, 584, 585, 588, 589, 589,  
590, 590, 590, 590, 591, 595, 595, 595, 595, 595, 595, 595, 597, 597, 597, 597, 597,  
598, 599, 600, 601, 601, 601, 601, 601, 601, 601, 601, 601, 601, 601, 602, 602, 602, 602,  
602, 602, 602, 602, 603, 603, 603, 603, 603, 603, 603, 603, 604, 604, 604, 604, 604, 604,  
604, 605, 605, 606, 606, 607, 607, 607, 607, 607, 607, 607, 607, 607, 609, 609, 609, 609,  
611, 611, 612, 612, 612, 612, 612, 613, 613, 615, 617, 617, 620, 626, 626, 626, 626,  
635, 644, 644, 648, 648, 648, 649, 649, 651, 653, 653, 653, 653, 653, 656, 657, 657,  
657, 657, 657, 657, 659, 659, 659, 659, 659, 659, 659, 659, 659, 659, 659, 660, 660,  
660, 660, 660, 662, 666, 672, 685, 686, 687, 688, 710, 711, 712, 715, 715, 718, 718,  
718, 718, 718, 718, 718, 719, 719, 719, 719, 719, 719, 719, 720, 720, 720, 720, 721,  
722, 723, 723, 723, 724, 724, 724, 724, 724, 724, 724, 724, 725, 725, 725, 726, 726,  
726, 726, 726, 727, 727, 727, 727, 727, 727, 728, 728, 728, 728, 731, 731, 732, 732,  
736, 737, 737, 738, 738, 740, 740, 740, 745, 748, 758, 780, 789, 796, 797, 797, 822,  
822, 823, 823, 824, 824, 826, 826, 826, 827, 827, 828, 837, 859, 867, 894, 895, 897,  
898, 898, 898, 898, 899, 899, 899, 899, 899, 900, 900, 901, 901, 901, 901, 902, 902,  
903, 904, 904, 904, 905, 906, 906, 906, 906, 906, 906, 906, 906, 906, 906, 908, 909,  
911, 911, 911, 912, 913, 918, 920, 939, 951, 953, 954, 954, 957, 957, 957, 965, 999,  
1005, 1008, 1017, 1018, 1023, 1026, 1027, 1027, 1028, 1030, 1032, 1045, 1045,  
1045, 1062, 1062, 1062, 1062, 1062, 1062, 1064, 1066, 1066, 1067, 1100, 1114,  
1126, 1128, 1129, 1131, 1182, 1199, 1199, 1199, 1204, 1204, 1206, 1234, 1482,  
1507, 1610, 1653, 1656, 1705, 1714, 1824, 1825, 1825, 1825, 1834, 1835, 1835,  
1852, 1920, 1929, 1930, 2010, 2317, 2644, 2698, 2703, 2704, 2710, 2711, 2737,  
2739, 2744, 2746, 2748, 2752, 2754, 2756, 2777, 2801, 2825, 2832, 2833, 2836,  
2885, 2887, 2887, 2888, 2888, 2890, 2890, 2890, 2891, 2891, 2892, 2892, 2893,  
2893, 2893, 2894, 2895, 2899, 2899, 2900, 2901, 2902, 2903, 2903, 2903, 2904,  
2906, 2906, 2908, 2909, 2911, 2914, 2922, 2922, 2922, 2923, 2923, 2923, 2923,  
2924, 2924, 2951, 2997, 3039, 3082, 3476, 3487, 3507, 3521, 3521; and the

Americas, [4](#), [8](#), [570](#), [570](#), [572](#), [572](#), [572](#), [572](#), [572](#), [572](#), [572](#), [573](#), [573](#), [574](#), [574](#), [908](#), [908](#), [908](#), [908](#), [909](#), [909](#), [909](#), [909](#), [909](#), [909](#), [910](#), [910](#), [911](#), [911](#), [911](#), [911](#), [911](#), [912](#), [912](#), [913](#), [913](#), [913](#), [913](#), [914](#), [915](#), [915](#), [915](#), [915](#), [916](#), [916](#), [918](#), [919](#); exploration, [281](#), [281](#); civil war in, [419](#); Moorish, [475](#), [475](#), [476](#); and Portugal, [529](#), [1939](#); and North Africa, [826](#), [975](#), [976](#), [1199](#), [1205](#); and Japan, [858](#), [859](#), [860](#); and Pacific Islands, [865](#), [865](#), [865](#), [1478](#), [1478](#); and Philippines, [865](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [868](#), [868](#), [868](#), [868](#), [868](#), [868](#), [868](#), [868](#), [1480](#), [1480](#), [1480](#), [1480](#), [1480](#), [1480](#), [1480](#), [1480](#), [1480](#), [1481](#), [1481](#), [1481](#), [1481](#), [1481](#), [1481](#), [1481](#), [1481](#), [1482](#), [1485](#); and Latin America, [894](#), [894](#), [894](#), [894](#), [895](#), [895](#), [895](#), [907](#), [907](#), [907](#), [1199](#), [1643](#), [1643](#), [1643](#), [1643](#), [1644](#), [1644](#), [1644](#), [1645](#), [1646](#), [1647](#), [1648](#), [1648](#), [1649](#), [1649](#), [1650](#), [1650](#), [1650](#), [1651](#), [1653](#), [1653](#), [1653](#), [1653](#), [1655](#), [1662](#), [1663](#), [1670](#), [1691](#), [1693](#), [1695](#), [1695](#), [1695](#), [1695](#), [1696](#); exploration of North America, [903](#); and North America, [905](#), [907](#), [907](#), [907](#), [920](#), [921](#), [922](#), [923](#), [923](#), [923](#), [925](#), [938](#), [938](#), [939](#), [939](#), [940](#); and American Revolution, [950](#); and U.S., [952](#), [1583](#); and Mexico, [1199](#); Republic, [1203](#), [1925](#), [1925](#), [1927](#), [1927](#), [1927](#), [1927](#), [1927](#), [1928](#), [1929](#), [1939](#); and Spanish-American War, [1204](#), [1609](#), [1609](#), [1609](#); wars with Morocco, [1376](#), [1377](#); and Morocco, [1376](#), [1377](#), [1378](#), [1379](#), [1920](#), [1921](#), [1929](#), [2418](#), [2418](#), [2418](#), [2418](#), [2418](#), [2418](#), [2418](#), [2420](#), [3920](#); and Southeast Asia, [1413](#); and Louisiana, [1567](#); and Florida, [1574](#); and Canada, [1623](#); and Cuba, [1693](#), [1693](#), [1693](#); and Puerto Rico, [1694](#), [1694](#), [1694](#), [1694](#); Civil War, [1704](#), [1725](#), [1726](#), [1833](#), [1836](#), [1912](#), [1929](#), [1929](#), [1929](#), [1929](#), [1929](#), [1929](#), [1929](#), [1930](#), [1930](#), [1930](#), [1930](#), [1930](#), [1930](#), [1930](#), [1930](#), [1930](#), [1931](#), [1931](#), [1931](#), [1932](#), [1932](#), [1932](#), [1932](#), [1939](#), [1954](#), [1955](#), [1990](#), [2076](#), [2421](#); WWI, [1768](#); after WWI, [1920](#), [1920](#), [1922](#); culture, [1921](#); and Italy, [1922](#), [1954](#); Great Depression, [1925](#); and Catalonia, [1926](#); Civil War costs, [1932](#); WWII, [1932](#), [1932](#), [1933](#), [2590](#), [2887](#), [2887](#); and Russia, [2076](#); and Africa, [2559](#), [4338](#), [4364](#); post-WWII, [2887](#), [2891](#); monarchy, [2887](#), [2887](#), [2889](#), [2891](#), [2892](#), [2894](#), [2897](#); Economic Stabilization Plan, [2891](#); economic boom, [2892](#); free elections, [2896](#); European currency, [2909](#), [2910](#).

Spalirises, Iranian ruler

[130](#).

Spallanzani, Lazzaro, Italian scientist

[735](#).

Spanish America

See [Latin America](#).

Spanish-American War

[954](#), [1204](#), [1478](#), [1482](#), [1482](#), [1598](#), [1609](#), [1609](#), [1609](#), [1693](#).

Spanish Armada

[589](#), [595](#), [603](#), [606](#).

Spanish Guinea (Rio Muni)

[954](#), [2555](#), [2892](#), [4338](#).

Spanish Inquisition

See [Inquisition](#).

Spanish International

[1202](#).

Spanish Mark

[411](#), [477](#).

Spanish Morocco

*See* [Morocco](#).

Spanish Overseas Ministry

[1481](#).

Spanish Sahara

[3921](#), [3921](#), [3924](#). *See* [Sahara](#).

Spanish Union

[2891](#).

Sparta

[95](#), [173](#), [176](#), [176](#), [178](#), [178](#), [178](#), [178](#), [178](#), [178](#), [178](#), [179](#), [179](#), [179](#), [179](#), [179](#), [179](#), [179](#), [184](#), [185](#),  
[185](#), [186](#), [187](#), [187](#), [187](#), [187](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [189](#), [190](#), [190](#), [190](#), [190](#), [191](#),  
[191](#), [191](#), [192](#), [192](#), [192](#), [193](#), [193](#), [193](#), [193](#), [193](#), [195](#), [196](#), [196](#), [196](#), [196](#), [196](#), [196](#), [196](#), [196](#),  
[197](#), [197](#), [197](#), [197](#), [197](#), [197](#), [198](#), [198](#), [198](#), [198](#), [198](#), [198](#), [198](#), [198](#), [198](#), [199](#), [199](#), [199](#),  
[199](#), [199](#), [199](#), [199](#), [199](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [200](#), [201](#), [201](#), [202](#), [202](#),  
[202](#), [202](#), [202](#), [203](#), [204](#), [205](#), [205](#), [206](#), [208](#), [208](#), [210](#), [210](#), [210](#), [210](#), [210](#), [210](#), [211](#), [211](#),  
[211](#), [211](#), [211](#), [212](#), [218](#), [222](#), [230](#), [234](#).

Spartacists, Germany

[1703](#), [1971](#), [1972](#), [1973](#), [1975](#).

Spartacus, Roman gladiator

[238](#).

Spartiates

[178](#), [186](#), [196](#).

Special Areas Act, Great Britain

[1846](#).

Special Circular

[1576](#).

spectrum analysis

[1151](#).

Spee, Maximilian von, German vice-admiral

[1795](#), [1795](#), [1795](#).

speed of light

[1147](#), [1147](#).

Speenhamland system

[692](#), [1048](#), [1048](#).

Speight, George, Fijian rebel

[4287](#), [4287](#).

Speke, John, English explorer

[1508](#), [1508](#).  
Spemann, Hans, zoologist  
[1731](#).  
Spencer, Herbert, philosopher  
[1143](#).  
Spencer Bay  
[1489](#).  
Spengler, Oswald, philosopher  
[1815](#).  
Spenser, Edmund, English poet  
[594](#).  
Speransky, Michael, Russian leader  
[1256](#), [1256](#), [1258](#).  
Spercheios River  
[438](#).  
Sperry, Elmer A., inventor  
[991](#).  
Sperry Rand Corporation  
[2641](#).  
Speyer, Speier  
[454](#), [505](#), [613](#), [622](#).  
spheres of influence  
[955](#), [962](#), [1470](#); China, [955](#), [970](#); Ethiopia, [976](#); Africa, [1128](#), [1205](#), [1523](#); Persia, [1131](#); Iran, [1352](#); Afghanistan, [1356](#); Arabia, [1363](#); Siam, [1407](#); Manchuria, [1465](#), [1468](#).  
Sphinx  
[91](#).  
Sphodrias, Spartan commander  
[200](#).  
Spice Islands  
[900](#). *See* [Molucca Islands](#).  
spices  
[282](#), [317](#).  
spice trade  
[51](#); Southeast Asia, [839](#), [839](#), [840](#), [841](#), [843](#).  
Spichern, battle of  
[1185](#).  
Spinola, Ambrose, military commander  
[617](#), [617](#).  
Spinola, Antonio de, Portuguese leader  
[2916](#), [2916](#).



Spirit of St. Louis, Lindbergh's plane  
[991](#), [2195](#).

Spiritual Regliment, Russia  
[786](#).

Spitak  
[3296](#).

Spitalfields  
[686](#).

Spitamenes, Persian leader  
[207](#).

Spitsbergen, Svalbard  
[992](#), [995](#), [997](#), [2043](#), [3055](#).

Split  
[260](#).

Splügen Pass  
[537](#).

Spock, Benjamin, writer  
[3390](#).

spoils system  
[1575](#).

Spoletto  
[408](#), [408](#), [408](#).

Sporades  
[473](#).

sports  
[959](#), [1706](#), [1706](#), [1706](#), [2765](#), [2777](#), [3617](#); 1800–1914, [958](#), [959](#), [960](#), [1146](#); soccer, [959](#), [2790](#), [3588](#); Ireland, [1170](#); New Zealand, [1505](#); U.S., [1596](#), [1610](#); baseball, [1610](#), [3458](#); Canada, [1635](#), [2219](#); cricket, [2546](#); polo, [2555](#); football and betting pools, [2761](#); World Cup, [2884](#); table tennis, [4160](#), [4279](#); marathon, [4279](#); rugby, [4315](#), [4316](#), [4316](#).

Spratly Islands  
[4294](#).

Sprengel, Hermann, developer of high-vacuum mercury pump  
[990](#).

Spring and Autumn Annals  
[139](#), [152](#).

Spurs, battle of the  
[453](#), [585](#), [597](#).

Sputnik I, Russian satellite  
[2637](#), [2641](#), [2655](#), [2770](#), [3271](#).

Sputnik II, Russian satellite  
[3271](#).

Spychalski, Polish leader

[3099](#).

Squires, Richard A.

[2235](#), [2235](#).

Sravana Belgola

[133](#).

Sri Lanka

[78](#), [134](#), [338](#), [844](#), [2636](#), [2636](#), [2644](#), [2679](#), [3950](#), [3984](#), [4026](#), [4026](#), [4032](#), [4032](#), [4032](#), [4032](#), [4032](#), [4032](#), [4032](#), [4033](#), [4033](#), [4033](#), [4033](#), [4033](#), [4034](#), [4034](#), [4035](#), [4035](#), [4035](#), [4036](#), [4036](#), [4036](#), [4036](#), [4037](#), [4037](#), [4037](#), [4037](#), [4037](#), [4037](#), [4037](#), [4038](#), [4038](#), [4038](#), [4038](#), [4039](#), [4039](#), [4039](#), [4039](#), [4039](#), [4039](#), [4039](#), [4039](#), [4042](#), [4043](#); makeup, [4026](#), [4026](#), [4026](#); and Great Britain, [4026](#). *See* [Ceylon](#).

Sri Lanka Freedom Party, SLFP

[4028](#), [4033](#).

Srimaravarman, ruler of India

[326](#).

Sringeri, Mysore

[327](#), [337](#).

Srivijaya, Sumatra

[279](#), [329](#), [336](#), [336](#), [339](#), [339](#), [339](#), [840](#).

Srong-tsan-sgam-po, king of Tibet

[324](#), [368](#).

Stablewski, Florian, Prussian prelate

[1269](#).

Stack, Lee

[2356](#).

Stadion, Johann von

[1026](#).

Städtordnung, Prussia

[755](#).

Staël, Madame de, writer

[1060](#).

Staffarda, battle of

[653](#).

Stafford, viscount, William Howard

[676](#).

Staffordshire

[1049](#), [1155](#).

Stahlberg, Kaarlo J., Finnish leader

[2054](#), [2055](#).

Stahlhelm

[1986](#).  
Stahremberg, Rüdiger von, Austrian prince  
[2009](#), [2009](#).  
Stakhanov, Alexei, Russian miner  
[2075](#).  
Stalin, Joseph V., Soviet dictator  
[1699](#), [1815](#), [2065](#), [2068](#), [2070](#), [2072](#), [2072](#), [2072](#), [2074](#), [2077](#), [2078](#), [2469](#), [2477](#),  
[2481](#), [2486](#), [2621](#), [2621](#), [2632](#), [2634](#), [2645](#), [2700](#), [3013](#), [3238](#), [3261](#), [3262](#), [3264](#),  
[3266](#), [3267](#), [3275](#), [3275](#), [3277](#), [3288](#), [3297](#), [3381](#), [3393](#); death, [3267](#); attack by  
Khrushchev, [3270](#).  
Stalingrad  
[1993](#), [2595](#), [2595](#), [2595](#), [2596](#).  
Stamboliski, Alexander, Bulgarian leader  
[1306](#), [2160](#), [2160](#), [2161](#), [2162](#), [2162](#), [2162](#), [2162](#).  
Stambolov, Stephen, Bulgarian leader  
[1302](#), [1302](#), [1303](#), [1303](#), [1304](#), [1304](#), [1304](#), [1304](#).  
Stamford Bridge  
[423](#), [464](#).  
Stamp Act, England  
[941](#), [941](#), [942](#).  
Stamp Act Congress, New York  
[941](#).  
Stamp Tax  
[941](#).  
Standard Oil Company  
[1618](#), [2255](#), [2299](#); Trust, [1604](#); New Jersey, [1700](#), [2248](#), [2640](#); California, [2414](#), [2640](#);  
Ohio, [2640](#).  
Stanislas I Leszczyński, king of Poland  
[660](#), [776](#), [780](#), [780](#), [781](#).  
Stanislas II Poniatowski, king of Poland  
[776](#).  
Stanislav  
[1794](#), [1803](#).  
Stankevičius, Mindavgas, Lithuanian leader  
[3357](#).  
Stanley, Henry M., explorer  
[1112](#), [1509](#), [1509](#), [1509](#), [1509](#), [1540](#), [1540](#), [1541](#).  
Stanley Falls District  
[1540](#).  
Stanton, Elizabeth Cady, U.S. reformer  
[1579](#), [1594](#).

Staple Act, England  
[939](#).

Star Chamber, England  
[585](#).

Stargard, Truce of  
[665](#).

Star of the West, U.S. ship  
[1585](#).

Starr, Kenneth  
[3438](#), [3439](#).

State Bank for Industry and Mining, Turkey  
[2326](#).

State Council, Switzerland  
[1094](#), [2472](#).

State Gentry Land Bank, Russia  
[1261](#).

State Law and Order Restoration Council, SLORC  
[4060](#), [4061](#), [4061](#), [4061](#).

State-Owned Enterprises Bill, New Zealand  
[4317](#).

State Peace and Development Council, SPDC  
[4062](#), [4062](#).

State Planning Commission, Gosplan  
[3262](#).

States General, Netherlands  
[596](#), [596](#), [596](#), [705](#), [1053](#).

States Reorganization Commission  
[3960](#).

states' rights  
[1565](#).

statistical mechanics  
[1148](#).

statistics  
[1147](#), [1148](#).

Statthalter, Nazi  
[1986](#).

Statute of Drogheda  
[585](#).

Statute of Gloucester  
[446](#).

Statute of Kilkenny, England

[448](#).  
Statute of Laborers, England  
[513](#).  
Statute of Mortmain  
[446](#).  
Statute of Piotrkow, Poland  
[632](#).  
Statute of the Six Articles, England  
[587](#).  
Statute of Wales, England  
[446](#).  
Statute of Westminster  
[446](#), [1847](#), [2228](#), [4315](#).  
Statutory Commission, India  
[2437](#), [2442](#).  
Stauning, Thorvald, Danish leader  
[2040](#), [2041](#), [2041](#).  
Stauracius, Staurakios  
[432](#), [433](#).  
Stavanger, Norway  
[2584](#).  
Stavisky, Alexandre, French swindler  
[1910](#), [1910](#).  
steam carriages  
[989](#).  
steam engine  
[981](#), [981](#).  
steamships  
[989](#), [1073](#), [1329](#), [1331](#), [1367](#), [1489](#), [1492](#), [1569](#), [1635](#).  
steam turbine  
[982](#).  
steel  
[984](#), [2187](#), [2703](#); alloys, [984](#).  
Steelboys, Irish peasant movement  
[701](#).  
steelmaking  
[956](#), [983](#), [984](#), [984](#).  
Steen, Jan, Dutch artist  
[596](#).  
Stefanopoulos, Constantinos “Costis”  
[3230](#), [3233](#).

Stein, Aurel, British archaeologist  
[1425](#).

Stein, Heinrich Friedrich Karl vom und zum  
[756](#), [1026](#).

Stein, Peter, director  
[3008](#).

Steinbeck, John, writer  
[2208](#).

Steinkirk, battle of, Steenkerken  
[653](#).

Stepankert  
[3312](#).

Stepashin, Sergei, Russian leader  
[3370](#).

Stephanopoulos, Stephanos, Greek leader  
[3217](#).

Stephen, son of Henry I of England  
[444](#), [444](#), [444](#).

Stephen I, Saint  
[454](#), [486](#), [491](#), [491](#), [491](#), [491](#), [492](#), [1073](#), [1073](#).

Stephen II, king of Hungary  
[492](#).

Stephen II, pope  
[408](#), [410](#).

Stephen V, king of Hungary  
[493](#), [560](#).

Stephen IX, pope  
[467](#).

Stephen Bathory, king of Poland  
[629](#), [633](#).

Stephen Dechanski, king of Serbia  
[562](#).

Stephen Lazarević , ruler of Serbia  
[563](#), [563](#).

Stephen Nemanya I, ruler of Serbia  
[494](#).

Stephen Nemanya II, ruler of Serbia  
[494](#), [494](#), [495](#).

Stephen of Blois  
[444](#).

Stephen of Vendôme, Crusader

507.

Stephens, Alexander H., Confederate leader

1585.

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---




[PREVIOUS](#)

[NEXT](#)




---

## Subject Index

### Page 73

- Stephens, James, Fenian leader  
[1168](#).
- Stephens, Uriah, U.S. union leader  
[1594](#).
- Stephensen, Magnus, Icelandic leader  
[1077](#), [1077](#).
- Stephenson, George, inventor  
[989](#), [989](#).
- Stephenson, Robert, inventor  
[989](#).
- Stephen the First-Crowned  
*See* [Stephen Nemanya I, ruler of Serbia](#).
- Stephen Tom  sevi , king of Serbia  
[563](#).
- Stephen Uro  IV Dushan, king of Serbia  
[562](#), [562](#), [562](#), [562](#), [566](#), [566](#), [567](#), [567](#).
- Stephen Urosh II  
*See* [Milyutin, king of Serbia](#).
- Stephen Urosh III  
*See* [Stephen Dechanski, king of Serbia](#).
- Stephen Urosh IV  
*See* [Stephen Uro !\[\]\(d06bd4b5386b5ebdee91452b0403e593\_img.jpg\) IV Dushan, king of Serbia](#).
- Stephen Urosh V, king of Serbia  
[562](#).
- Stepinac, Aloysiye, Yugoslavian archbishop  
[3165](#).
- Step Pyramid  
[91](#).



Stephen Toma   levi , king of Serbia  
[563](#).  
stereochemistry  
[1151](#), [1152](#).  
Stesichorus, Dorian poet  
[176](#).  
stethoscope  
[1042](#).  
Stettin  
[624](#).  
Stettinius, Edward R., U.S. leader  
[2215](#), [2634](#).  
Stevens, Henry H., Canadian leader  
[2230](#).  
Stevens, John, inventor  
[989](#).  
Stevens, Siaka, Sierra Leonean leader  
[4382](#), [4382](#), [4382](#), [4382](#).  
Stevenson, Adlai, U.S. leader  
[3396](#).  
Stevin, Simon, mathematician  
[638](#).  
Sthenelaidas, Spartan ephor  
[195](#).  
Stich, Otto, Swiss leader  
[2977](#), [2978](#).  
Stigand, archbishop of Canterbury  
[422](#), [444](#).  
Stikker, Dirk U., NATO leader  
[2722](#), [2725](#), [2828](#).  
Stilicho, Flavius, Roman leader  
[265](#), [265](#), [265](#), [265](#), [265](#), [265](#), [403](#), [403](#), [403](#), [403](#), [403](#).  
Stilwell, Joseph, U.S. leader  
[2485](#).  
Stimson, Henry L., U.S. leader  
[2200](#), [2285](#), [2473](#), [2474](#), [2588](#).  
Stimson-Layton agreement  
[2588](#).  
Stirling, castle of  
[512](#), [517](#).  
Stirling, James, settler in Australia

[1489](#), [1489](#).  
Stirner, Max, writer  
[1036](#).  
stirrup  
[407](#).  
Stockach  
[1011](#).  
Stöcker, Adolf, German clergyman  
[1235](#).  
Stockholm  
[554](#), [627](#), [761](#), [763](#), [763](#), [2048](#), [2049](#), [2642](#), [2669](#), [3064](#), [3067](#), [3280](#); treaties of, [659](#),  
[685](#), [762](#).  
Stock Market Crash, United States  
[2197](#).  
stock markets  
[1700](#).  
Stockton-Darlington Railway  
[989](#).  
Stoicism  
[208](#), [246](#), [246](#), [251](#), [401](#).  
Stoilov, Constantine, Bulgarian leader  
[1304](#).  
Stojadinovic, Milan, Yugoslav leader  
[2134](#).  
Stokes, George, physicist  
[1736](#).  
Stolbovo, treaty of  
[628](#), [631](#).  
Stoletov, Nicholas, Russian envoy  
[1355](#).  
Stolojan, Theodor, Romanian leader  
[3256](#).  
Stolypin, Peter  
[1132](#), [1264](#), [1265](#), [1266](#), [1266](#).  
Stone, Lucy, activist  
[1594](#).  
Stone Age  
[14](#), [14](#), [46](#), [138](#), [343](#), [348](#), [364](#).  
Stonehenge  
[46](#).  
Stonewall Inn, New York City

[3417](#).  
Stono Rebellion  
[938](#).  
Stony Desert  
[1489](#).  
Stopes, Marie, birth control advocate  
[1814](#), [1841](#).  
Stoph, Willi, German leader  
[3006](#), [3006](#), [3016](#), [3017](#), [3017](#), [3017](#), [3019](#), [3019](#).  
Stop the Draft Week, U.S.  
[3414](#).  
Stormont building, Belfast  
[2815](#).  
Storm Petition, Austria  
[1089](#).  
Storting, Storthing  
[1075](#), [1076](#), [1076](#), [1247](#), [1248](#), [1249](#), [1249](#), [2044](#), [3057](#).  
Story of Sinuhe  
[92](#).  
Stowe, Harriet Beecher, writer  
[1582](#).  
Stoyadinovich, Milan, Yugoslav premier  
[1834](#).  
Stoyanov, Petar, Bulgarian leader  
[3244](#).  
Strabo, Greek geographer  
[133](#), [269](#).  
Stradivari, Antonio, Italian violinmaker  
[735](#).  
Strafford, earl of, Thomas Wentworth, English leader  
[590](#), [591](#), [591](#).  
Stragna, battle of  
[499](#).  
Stragopulos, Alexius, Greek commander  
[510](#).  
Strait of Gibraltar  
[110](#).  
Strait of Magellan  
[596](#), [906](#).  
Strait of Messene  
[184](#).

Straits (Bosporus and Dardanelles)

[1045](#), [1105](#), [1110](#), [1114](#), [1114](#), [1131](#), [1132](#), [1133](#), [1225](#), [1333](#), [1334](#), [1339](#), [1343](#),  
[1725](#), [1749](#), [1749](#), [1753](#), [1788](#), [1788](#), [2592](#), [2637](#), [3797](#); convention, [1045](#).

Straits of Belle Isle

[920](#).

Straits of Melaka

[135](#).

Straits of Messina

[2608](#), [2617](#).

Tiran, Straits of

[3770](#), [3771](#), [3771](#).

Straits of Tsushima

[163](#).

Straits Settlements

[1410](#), [1411](#), [1411](#).

Stralsund

[548](#), [548](#), [551](#), [619](#), [1026](#).

Strasbourg

[407](#), [624](#), [625](#), [653](#), [656](#), [713](#), [1782](#), [2708](#), [2714](#), [2747](#).

Strassburg, Gottfried von, poet

[459](#).

Strasser, Gregor, Nazi leader

[1988](#).

Strasser, Valentine E., Sierra Leonean leader

[4382](#).

Strassfurt

[987](#).

Strassmann, Otto, physicist

[1730](#).

Strategic Arms Limitations Talks, SALT

[2637](#), [2641](#), [2666](#), [2676](#), [3284](#), [3286](#), [3289](#).

Strategic Arms Reduction Talks, START

[2637](#), [2641](#), [2679](#), [2689](#), [3291](#), [3304](#), [3371](#), [3435](#), [3439](#).

Strategic Defense Command, U.S.

[3432](#).

Strategic Defense Initiative, U.S

[2637](#).

Strategic Petroleum Reserve, U.S.

[3441](#).

Strathclyde

[424](#), [424](#).

Strauss, David Friedrich, writer

[1036](#).

Strauss, Franz Josef, German leader

[2999](#), [3002](#).

Stravinsky, Igor, composer

[1146](#), [2068](#).

Straw, Jack, English leader

[514](#).

streetcars

[990](#).

Stresa

[1832](#); front, [1835](#).

Stresemann, Gustav

[1978](#), [1978](#).

strikebreakers

[1049](#).

strikes

[1841](#), [1844](#), [1844](#), [1857](#), [1873](#), [2003](#), [2200](#), [2232](#), [2294](#), [2493](#); Great Britain, [1155](#), [1162](#), [1162](#), [1163](#), [2762](#), [2763](#), [2777](#), [2781](#), [2793](#); Belgium, [1172](#), [1172](#), [1172](#), [1887](#), [2821](#); Netherlands, [1176](#); France, [1182](#), [1183](#), [1198](#), [1901](#), [1903](#), [1910](#), [1912](#), [1913](#), [2841](#), [2841](#), [2842](#), [2846](#), [2859](#), [2881](#), [2883](#); Spain, [1204](#), [1920](#), [1920](#), [1928](#), [1928](#), [2891](#), [2895](#), [2902](#), [2903](#), [2904](#); Portugal, [1209](#); Italy, [1223](#), [1223](#), [1223](#), [1225](#), [1225](#), [2927](#); Germany, [1235](#), [1975](#), [1986](#); Scandinavia, [1247](#), [1247](#), [1250](#); Denmark, [1253](#), [2039](#), [2041](#), [3050](#); Finland, [1255](#), [3073](#), [3079](#); Russia, [1260](#), [1263](#), [1263](#), [1263](#), [1266](#), [2064](#), [2066](#), [3297](#), [3298](#), [3298](#); Poland, [1269](#), [1269](#), [1269](#), [2118](#), [3100](#), [3102](#), [3109](#), [3115](#), [3115](#), [3115](#), [3116](#); Bulgaria, [1306](#), [2160](#), [3241](#); New Zealand, [1504](#), [1505](#); Africa, [1559](#), [2554](#), [2556](#), [2570](#), [2571](#), [2572](#), [2572](#), [2573](#), [2574](#), [2577](#), [2577](#), [2578](#), [4320](#); U.S., [1597](#), [1602](#), [1602](#), [1605](#), [1605](#), [1612](#), [1615](#), [1620](#), [2187](#), [2190](#), [2190](#), [2191](#), [2193](#), [2193](#), [2206](#), [2212](#), [2216](#), [3390](#), [3392](#), [3396](#), [3396](#), [3405](#), [3434](#); Latin America, [1666](#), [1674](#); Ireland, [1861](#), [1861](#), [1862](#); Switzerland, [1963](#), [1967](#), [1969](#); Sweden, [2048](#), [3065](#), [3074](#); Estonia, [2107](#); Greece, [2155](#), [3217](#), [3228](#), [3228](#), [3229](#); Romania, [2174](#), [2181](#), [3254](#), [3255](#), [3256](#), [3256](#), [3258](#), [3258](#), [3259](#); Canada, [2221](#), [3454](#), [3456](#); Argentina, [2242](#), [3488](#), [3488](#), [3492](#), [3502](#), [3504](#); Chile, [2245](#), [2245](#), [3514](#), [3514](#), [3517](#); Bolivia, [2255](#), [2255](#), [3537](#), [3540](#), [3546](#), [3547](#), [3549](#), [3551](#); Peru, [2258](#), [2262](#), [3555](#), [3557](#); Colombia, [2267](#), [2267](#), [2267](#), [3579](#); Venezuela, [2269](#); Brazil, [2270](#), [2271](#), [3608](#), [3610](#), [3613](#), [3615](#), [3618](#), [3618](#), [3621](#), [3623](#); Panama, [2276](#); Guatemala, [2278](#), [3654](#); El Salvador, [2282](#), [3666](#); Mexico, [2295](#), [2298](#), [3702](#); Cuba, [2302](#), [2303](#), [3714](#); Palestine, [2391](#); India, [2437](#), [3973](#); China, [2465](#), [2466](#), [2469](#), [2469](#), [4142](#); Japan, [2501](#), [4224](#); Sierra Leone, [2559](#); East Germany, [3013](#); Serbia, [3177](#), [3179](#); Croatia, [3191](#); Belorussia, [3315](#); Belarus, [3316](#); Ukraine, [3383](#); Uruguay, [3529](#); Ecuador, [3571](#); Surinam, [3631](#); Nicaragua, [3676](#), [3683](#), [3685](#); Costa Rica, [3689](#), [3690](#); Honduras,

[3693](#), [3695](#), [3698](#); Dominican Republic, [3736](#), [3742](#); Haiti, [3749](#); Sri Lanka, [4033](#); Malaysia, [4109](#); Korea, [4190](#); Australia, [4295](#), [4298](#); Gabon, [4341](#); Senegal, [4378](#); East Africa, [4408](#); Cameroon, [4432](#); Rhodesia, [4455](#), [4455](#); Malawi, [4460](#); Zimbabwe, [4467](#); South Africa, [4477](#).

Stril War

[772](#).

Stroessner, Alfredo, Paraguayan leader

[3522](#), [3522](#), [3522](#), [3522](#), [3523](#), [3523](#), [3523](#), [3523](#), [3523](#), [3524](#).

Stroganov, Russian merchant family

[629](#).

Stroganov, Paul A., Russian reformer

[1256](#).

Strougal, Lubomir, Czech leader

[3131](#), [3133](#).

Struensee, Johann Friedrich, German-Danish leader

[770](#).

Struensee, John Friedrich, Danish leader

[770](#), [770](#).

Struggle of the Orders

[225](#), [227](#), [229](#).

Strumitsa

[1797](#).

Struve, Friedrich, astronomer

[1040](#).

Strypa

[1802](#).

Stuart, royal house

[517](#), [589](#), [592](#), [687](#).

Stuart, James, earl of Moray

[588](#).

Stuart, John McDouall, explorer

[1494](#).

Stuart, Henry, lord Darnley

[588](#).

Stuart, Mary

See [Mary, queen of Scots](#).

Student Non-Violent Coordinating Committee, SNCC

[3409](#), [3413](#).

Students for a Democratic Society, SDS

[3415](#), [3420](#).

Studio Misr, Egypt

[1707](#), [2358](#).  
Studion  
[433](#).  
Stulgenskis, Antanas, Lithuanian leader  
[2088](#).  
Stummdorf, treaty of  
[776](#).  
Sturdee, Frederick  
[1795](#).  
Sturdza, Michael, prince of Moldavia  
[1311](#).  
Sture, Sten (the Elder)  
[554](#).  
Sture, Sten (the Younger)  
[554](#), [554](#).  
Sture, Svante  
[554](#).  
Stures, Swedish family  
[554](#).  
Stürgkh, Karl  
[1996](#).  
Sturleson, Snorri, poet  
[464](#).  
Sturm Abteilung  
[2011](#).  
Stürmer, Boris, Russian leader  
[2063](#), [2063](#).  
Sturt, Charles, explorer  
[1488](#), [1489](#).  
Sturza, Ion, Moldovan leader  
[3362](#).  
Sturzo, Don Luigi, Italian leader  
[1946](#).  
Stuttgart  
[613](#), [1098](#), [1975](#), [2706](#), [3007](#).  
Stuyvesant, Peter, Dutch colonial administrator  
[932](#).  
Styria  
[459](#), [485](#), [540](#), [616](#), [2005](#), [2007](#), [2011](#).  
Suakin, Red Sea port  
[795](#), [1369](#).

Suarez, Adolfo, Spanish leader  
[2887](#), [2895](#), [2896](#), [2897](#), [2899](#), [2899](#).

Suarez, Francisco, Spanish scholar  
[604](#).

Suárez, Marco Fidel, Colombian leader  
[2267](#).

Suárez Flammerich, Germán, Venezuelan leader  
[3596](#).

Suazo Córdova, Roberto, Honduran leader  
[3695](#).

Subaktagin, ruler of India  
[325](#).

Subandrio, Indonesian leader  
[4107](#), [4131](#).

Subartu, Assyria  
[84](#).

subatomic particles  
[1149](#).

Subhi Khatib, Syrian leader  
[2375](#).

submarine warfare  
[998](#), [998](#), [1698](#), [1719](#), [1741](#), [1741](#), [1755](#), [1762](#), [1762](#), [1762](#), [1762](#), [1763](#), [1763](#), [1763](#),  
[1767](#), [1770](#), [1770](#), [1770](#), [1780](#), [1784](#), [1795](#), [1795](#), [1796](#), [1796](#), [1796](#), [1809](#), [1809](#),  
[1930](#), [1971](#), [2264](#), [2641](#), [2772](#), [2868](#); WWII, [2587](#), [2589](#), [2604](#), [2608](#), [2608](#), [2609](#),  
[2631](#).

sub-Saharan Africa  
[29](#), [38](#), [584](#), [869](#), [1392](#).

Subutai, Mongol leader  
[489](#).

subways  
[989](#).

Successor States, of India  
[835](#).

Suchet, Louis Gabriel, French marshal  
[1029](#).

Suchinda Kraprayoon, Thai leader  
[4072](#), [4072](#).

Suchocka, Hanna, Polish leader  
[3115](#), [3115](#), [3116](#).

Suchun, emperor of Japan  
[383](#).



Sucre, Bolivia

[898](#), [1669](#).

Sucre, Antonio José de, Latin American leader

[1649](#), [1649](#), [1649](#), [1651](#), [1652](#), [1668](#).

Sudan

[38](#), [38](#), [43](#), [44](#), [96](#), [292](#), [344](#), [344](#), [344](#), [344](#), [344](#), [346](#), [352](#), [353](#), [353](#), [355](#), [824](#), [870](#), [870](#), [870](#), [871](#), [871](#), [880](#), [954](#), [963](#), [967](#), [1121](#), [1366](#), [1367](#), [1495](#), [1506](#), [1508](#), [1510](#), [1511](#), [1511](#), [1523](#), [1524](#), [1524](#), [1524](#), [1524](#), [1524](#), [1527](#), [1527](#), [1536](#), [1706](#), [2354](#), [2356](#), [2357](#), [2360](#), [2366](#), [2555](#), [2561](#), [2561](#), [2561](#), [2561](#), [2561](#), [2561](#), [2562](#), [2636](#), [2636](#), [2643](#), [2644](#), [2694](#), [3437](#), [3769](#), [3771](#), [3841](#), [3905](#), [4320](#), [4390](#), [4390](#), [4391](#), [4391](#), [4391](#), [4392](#), [4392](#), [4404](#), [4404](#), [4404](#), [4404](#), [4405](#), [4405](#), [4406](#), [4406](#); and Egypt, [1372](#), [1373](#); independence, [4320](#), [4404](#); French Sudan, [4324](#), [4325](#); southern, [4404](#), [4404](#), [4404](#), [4405](#), [4405](#), [4406](#), [4407](#); slavery, [4407](#).

Sudanese People's Liberation Army, SPLA

[4405](#), [4405](#), [4406](#), [4406](#).

Sudan Socialist Union, Sudan

[4404](#).

Sudarna I, king of Mitanni

[86](#).

Sudarna II, king of Mitanni

[86](#).

Sudarna III, king of Mitanni

[86](#).

Sudbury, Simon, archbishop of Canterbury

[514](#).

Sudeten

[1835](#), [1835](#), [1991](#), [2020](#), [2020](#).

Sudetendeutsche Partei, Czech Nazi party

[2016](#), [2017](#), [2019](#), [2019](#).

Sudetenland

[3132](#).

Sudeten National Socialist Party

[2016](#).

Sudraka, Hindu poet

[131](#).

Sudras

[830](#).

Suetonius, Caius Suetonius Tranquillus

[246](#).

Sueves, Suevi

[265](#), [269](#), [403](#), [403](#), [403](#).

Suez, city

[1367](#), [1368](#), [1369](#).

Suez Canal

[956](#), [961](#), [962](#), [989](#), [1105](#), [1109](#), [1128](#), [1162](#), [1329](#), [1368](#), [1372](#), [1678](#), [1749](#), [1751](#), [2354](#), [2615](#), [2770](#), [2770](#), [2779](#), [2848](#), [3401](#), [3771](#), [3771](#), [3771](#), [3773](#), [3774](#), [3775](#), [3908](#), [3913](#); opening of, [1370](#), [1397](#); free navigation guaranteed, [1372](#); crisis, [2637](#), [2638](#), [2655](#); nationalization, [2769](#).

Suez Canal Company

[1370](#), [1371](#).

Suez Canal Zone

[2359](#), [2366](#), [2671](#), [2672](#), [3904](#), [3904](#).

Suez War

[3771](#), [3839](#), [3858](#), [3906](#), [3908](#).

Suffolk Resolves, American colonies

[944](#), [944](#).

suffrage

[1049](#), [1632](#), [1814](#), [1814](#), [1839](#), [1845](#), [2169](#), [2187](#), [2739](#); Great Britain, [1047](#), [1159](#), [1160](#), [1162](#), [1162](#), [1163](#), [1163](#), [1163](#), [1839](#), [1845](#), [2781](#); women, [1049](#), [1162](#), [1163](#), [1163](#), [1198](#), [1250](#), [1497](#), [1497](#), [1504](#), [1504](#), [1592](#), [1592](#), [1594](#), [1604](#), [1632](#), [2191](#), [2238](#), [2264](#); France, [1058](#), [1059](#), [1060](#), [1084](#), [1198](#), [2838](#), [2840](#), [2865](#); 1800–1914, [1081](#), [1143](#); Austria, [1089](#), [1089](#), [1243](#), [1244](#), [3037](#); Prussia, [1096](#), [1097](#); Belgium, [1172](#), [1172](#), [1882](#), [1882](#), [1882](#), [2823](#); Netherlands, [1174](#), [1174](#), [1176](#), [1176](#), [1894](#), [1895](#), [2832](#); Spain, [1204](#), [2897](#); Portugal, [1207](#), [2914](#); Italy, [1219](#), [1225](#), [1941](#); Germany, [1234](#), [1971](#); Hungary, [1246](#); Scandinavia, [1247](#), [1247](#), [1248](#), [1249](#), [1250](#); Denmark, [1251](#), [1251](#), [1253](#), [1253](#), [3049](#); Finland, [1255](#), [2054](#); Russia, [1263](#), [1265](#); Japan, [1452](#), [1455](#), [2499](#), [2499](#), [2499](#), [2502](#), [2505](#); Philippines, [1486](#), [2534](#); Australia, [1497](#), [1497](#); New Zealand, [1503](#), [1504](#), [1504](#); Africa, [1556](#), [1558](#); U.S., [1563](#), [1575](#), [1592](#), [1593](#), [1594](#), [1596](#), [1604](#), [1604](#), [1604](#), [2187](#), [3420](#); Canada, [1632](#), [2220](#); Argentina, [1661](#), [2242](#); Chile, [1663](#); Sweden, [2048](#); Estonia, [2104](#); Uruguay, [2252](#); Brazil, [2272](#); El Salvador, [2281](#); Mexico, [2294](#); Cuba, [2304](#); Virgin Islands, [2312](#); Dominican Republic, [2314](#); Turkey, [2326](#), [2330](#); Northern Ireland, [2781](#); Ireland, [2810](#); Luxembourg, [2836](#); Switzerland, [2973](#), [2976](#); Norway, [3060](#); Bolivia, [3538](#); Peru, [3552](#); Egypt, [3908](#); India, [3956](#); Korea, [4189](#); South Africa, [4483](#).

Sufi lodge, Damascus

[795](#).

Sufism, Egypt

[281](#), [283](#), [290](#), [297](#), [297](#), [299](#), [300](#), [300](#), [300](#), [302](#), [303](#), [303](#), [306](#), [306](#), [306](#), [319](#), [319](#), [320](#), [321](#), [322](#), [322](#), [322](#), [323](#), [324](#), [331](#), [335](#), [335](#), [580](#), [791](#), [801](#), [812](#), [812](#), [816](#), [816](#), [820](#), [822](#), [822](#), [822](#), [823](#), [823](#), [823](#), [823](#), [824](#), [829](#), [829](#), [832](#), [879](#), [1349](#), [1375](#), [1378](#), [1381](#), [1381](#), [1382](#), [1384](#), [2326](#), [2365](#), [2418](#), [2420](#), [2423](#), [3910](#).

Sufyanid dynasty

[290](#).

sugar  
[1693](#), [1694](#).

Sugar Act, England  
[941](#), [941](#).

Sugawara no Michizane, Japanese diplomat  
[385](#), [386](#).

Suger, abbot of St. Denis  
[449](#), [449](#), [449](#).

Suharto, T. N. J., Indonesian leader  
[4132](#), [4133](#), [4134](#), [4134](#), [4135](#), [4135](#), [4135](#), [4135](#), [4136](#), [4136](#), [4136](#), [4137](#), [4137](#),  
[4137](#), [4137](#), [4137](#), [4137](#).

Suhrawardi, Arab philosopher  
[815](#).

Suhrawardiyya, Sufi order  
[300](#), [303](#).

Suhrawardy, Hussein Shaheed, Pakistani leader  
[3993](#).

Sui dynasty  
[72](#), [158](#), [159](#), [159](#), [276](#), [279](#), [367](#), [367](#), [367](#), [367](#), [367](#), [367](#), [367](#), [367](#), [367](#), [367](#), [370](#), [370](#), [370](#), [377](#),  
[377](#), [377](#), [377](#), [377](#), [383](#), [397](#).

Suiko, empress of Japan  
[367](#), [383](#).

Suitgar  
*See* [Clement II, pope](#).

Suiyuan  
[2476](#).

Sujin, Japanese ruler  
[167](#).

Sukarno, Achmed, Indonesian leader  
[2456](#), [2457](#), [2457](#), [2636](#), [2637](#), [2644](#), [3957](#), [4047](#), [4122](#), [4124](#), [4125](#), [4125](#), [4125](#),  
[4125](#), [4128](#), [4129](#), [4129](#), [4130](#), [4130](#), [4131](#), [4132](#), [4133](#), [4133](#), [4133](#), [4134](#), [4135](#), [4135](#),  
[4136](#), [4139](#).

Sukarnoputri, Megawati, Indonesian leader  
[4138](#), [4139](#).

Sukchong, king of Korea  
[856](#).

Sukhavati, Western Paradise  
[158](#).

Sukhomlinov, Vladimir, Russian commander  
[2062](#).

Sukothai

[342](#).

Sukselainen, Vieno, Finnish leader

[3076](#).

Sulaiman al-Mustain, caliph

[419](#).

Sulaiman Syah, sultan of Johor

[837](#).

Sulawesi

[837](#), [837](#).

Sulayman, sultan of Morocco

[825](#).

Nablusi, Sulayman al-, Jordanian leader

[3872](#).

Sulaymaniyya, Babans of

[1331](#).

Sulayman Pasha, the Great

[809](#).

Sulcis

[110](#).

Suleyman, Ottoman leader

[309](#), [312](#), [312](#).

Suleyman, Safi II

[816](#).

Suleyman I, the Magnificent

[613](#), [614](#), [615](#), [615](#), [616](#), [792](#), [792](#), [793](#), [793](#), [793](#), [793](#), [793](#), [793](#), [794](#), [794](#), [794](#), [794](#), [795](#), [795](#), [795](#), [795](#), [796](#), [796](#), [796](#), [796](#), [797](#), [799](#).

Suleyman II, Ottoman sultan

[804](#), [804](#).

Suleyman Baal, leader of Futa Toro

[872](#).

Suleyman ibn Kutalmish, leader of Rum

[301](#), [302](#).

Suleymaniye, mosque in Istanbul

[794](#).

sulfa drugs

[1154](#).

sulfuric acid

[983](#).

Sulla, Lucius Cornelius, Roman general and consul

[237](#), [237](#), [237](#), [237](#), [237](#), [237](#), [237](#), [239](#), [240](#), [240](#), [241](#), [243](#).

Sully, duke of, Maximilien de Béthune [duke of Sully]

[599](#), [599](#).

Sulpicians, religious order

[922](#).

Sulpicius Rufus, Publius, Roman tribune

[237](#).

Sultan ibn Salman, astronaut

[3779](#).

Sultaniyya

[305](#), [306](#).

Sultan Mahmud fountain, Cairo

[808](#).

Sultan Qabus University, Oman

[3897](#).

Sulu

[867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [867](#), [868](#), [868](#), [1413](#), [1480](#), [1480](#), [1481](#), [1483](#), [4291](#).

Sumanguru, king of Soso

[353](#).

Sumapaz

[3576](#).

Sumatra

[132](#), [133](#), [279](#), [324](#), [329](#), [339](#), [339](#), [474](#), [580](#), [837](#), [839](#), [840](#), [840](#), [840](#), [841](#), [841](#), [841](#), [1410](#), [1412](#), [1412](#), [1414](#), [1414](#), [2456](#), [4119](#), [4125](#), [4127](#).

Sumer

[42](#), [48](#), [62](#), [65](#), [65](#), [83](#), [83](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [84](#), [85](#), [86](#), [88](#), [91](#), [102](#), [112](#), [121](#), [122](#), [122](#).

Sumer Bank, Turkey

[2332](#).

Sumero-Akkadian literature

[87](#).

Summer Palace, Yuanming yuan

[1417](#).

summit conferences

[1699](#); Geneva, [2637](#), [2654](#); Vienna, [2658](#).

Summit of the Americas

[3520](#).


sumptuary laws

[229](#).

Sumter, Thomas, American commander

[951](#), [951](#).

Sumu-abum of Babylon

85.  
Sumual, Ventje, Indonesian leader  
4125.  
Sunda  
27, 339.  
Sunda Islands  
4119.  
Sunda Kelapa  
839.  
Sunday schools  
688.  
Sundback, G., developer of zipper  
986.  
Sundiata Keita, leader of Mali  
353, 353, 359.  
Sundsvall  
1247.  
Sunga dynasty  
129.  
Sunga-Kanva dynasties  
132.  
Sungari River  
160, 160.  
Sung dynasty  
341.  
Sun Goddess, Amaterasu mikami  
165, 167, 167.  
Sunjo, king of Korea  
1429, 1429.  
Sunjong, Korean emperor  
1436, 2488, 2492.  
Sunni Ali Ber, ruler of Songhay  
351, 356, 356, 358.  
Sunni Islam  
281, 283, 285, 288, 293, 296, 297, 297, 298, 299, 300, 300, 301, 301, 302, 306, 306,  
306, 307, 308, 316, 317, 318, 318, 321, 321, 505, 580, 791, 792, 797, 812, 813, 816,  
817, 819, 819, 830, 832, 1346, 1356, 2326, 2353, 2371, 2379, 2383, 2400; Taliban,  
3828; Syria, 3840; Lebanon, 3845, 3849; Bahrain, 3898, 3898.  
Sunpadh, Sinbad  
292.  
Sun Quan, Chinese leader

[157](#).  
Sun Wu, Chinese philosopher  
[151](#).  
Sun Xingyan, scholar  
[1416](#).  
Sun Zhongshan, Sun-Yat-sen  
[1420](#), [1424](#), [1425](#), [1426](#), [1426](#), [1427](#), [2460](#), [2462](#), [2463](#), [2465](#), [2465](#), [2465](#), [2466](#),  
[2467](#), [2469](#), [2470](#), [2524](#).  
Sunzi  
*See* [Sun Wu, Chinese philosopher](#).  
Superannuation Act, England  
[1156](#).  
superman, Nietzsche's doctrine of  
[1144](#).  
Suppiluliumas I, Hittite king  
[113](#).  
Suppiluliumas II, Hittite king  
[113](#).  
Suppression of Communism Act, South Africa  
[4470](#).  
Supreme Council  
[1784](#), [1817](#).  
Supreme Council of Rulers, United Arab Emirates  
[3897](#).  
Supreme Court  
[941](#); U.S., [1486](#), [1566](#), [1574](#), [1583](#), [1592](#), [1596](#), [1601](#), [1602](#), [1605](#), [1608](#), [1609](#), [1611](#),  
[1614](#), [1616](#), [1618](#), [1694](#), [2188](#), [2194](#), [2201](#), [2206](#), [2206](#), [2210](#), [3395](#), [3396](#), [3398](#),  
[3400](#), [3400](#), [3408](#), [3409](#), [3412](#), [3414](#), [3416](#), [3417](#), [3417](#), [3419](#), [3420](#), [3422](#), [3423](#),  
[3424](#), [3426](#), [3427](#), [3428](#), [3430](#), [3435](#), [3439](#), [3441](#), [3441](#), [3442](#); Iceland, [2060](#); Canada,  
[2232](#), [2232](#), [3456](#), [3460](#), [3462](#); Mexico, [2299](#); Vermont, [3439](#); Chile, [3521](#); Colombia,  
[3582](#); Venezuela, [3604](#); Brazil, [3614](#); Israel, [3861](#); India, [3970](#); Pakistan, [4007](#).  
Supreme Headquarters of the Allied Expeditionary Force, SHAEF  
[2619](#), [2621](#).  
Supreme Kenges, Kazakh parliament  
[3334](#).  
Supreme Labor Council, Belgium  
[1895](#).  
Supreme Macedonian Committee  
[1321](#), [1321](#), [1322](#), [1323](#).  
Supreme Magistracy of Commerce, Italy  
[741](#).

Supreme Magistrature for Trade, Italy  
[740](#).

Supreme National Committee, Kraków  
[2110](#).

Supreme Secret Council, Russia  
[786](#).

Supreme Soviet  
[2076](#), [2077](#), [3261](#), [3316](#).

Supreme War Council  
[1780](#).

Supremo Consiglio di Economia, Italy  
[742](#).

Suramarit, Norodom, king of Cambodia  
[4076](#), [4079](#).

Surashtra, Kathiawar  
[130](#), [131](#), [132](#), [132](#), [325](#), [325](#).

Surat  
[326](#), [832](#), [833](#), [834](#), [835](#).

Sur dynasty  
[831](#).

Surinam  
[2829](#), [2832](#), [3630](#), [3630](#), [3631](#), [3631](#), [3636](#), [3636](#), [3760](#); and Netherlands, [3630](#);  
bauxite, [3630](#), [3631](#), [3633](#).

Surinama  
[913](#).

Surinamese Liberation Army, SLA  
[3632](#), [3634](#), [3636](#).

Surontiko Samin, Javanese leader  
[1414](#).

Suryavarman I, king of Angkor  
[340](#).

Suryavarman II, king of Angkor  
[340](#).

Sus  
[822](#).





## Subject Index

### Page 74

Susa

[86](#), [87](#), [115](#), [120](#), [121](#), [122](#), [122](#), [122](#), [122](#), [122](#), [123](#), [124](#), [206](#), [207](#), [1390](#).

Susamyr Valley

[3341](#).

Susano-

[167](#).

Susenyos, emperor of Ethiopia

[879](#).

Su Shi, Su Dongpo

[371](#), [372](#), [373](#).

suspension bridges

[983](#), [983](#).

Susruta, Indian medical writer

[131](#).

Sussex

[421](#), [515](#).

Süssmilch, Johann P., German demographer

[645](#).

Sustainable Development Commission

[2642](#).

Sutlej River

[325](#), [1394](#).

Sutoku, emperor of Japan

[387](#).


Sutralamkara

[130](#).

Sutras

[129](#).

Sutri

[454](#), [466](#).  
Sutter's Fort, California  
[1579](#).  
Sutton, Walter S., botanist  
[1153](#).  
Suu Kyi, Burmese leader  
[4062](#).  
Suva, Fiji  
[4284](#).  
Suvalki  
[1739](#), [1792](#).  
Suvorov, Alexander, Russian commander  
[782](#), [1011](#), [1011](#).  
Suzdal-Vladimir  
[488](#).  
Suzhou  
[1417](#), [2479](#).  
Suzuki Kantar , Japanese leader  
[2523](#).  
Sveabor, battle of  
[767](#).  
Svealand  
[463](#).  
Svecomen, Finland  
[1254](#).  
Sven I, Forked Beard  
[422](#), [461](#), [461](#).  
Sverdrup, Harald Ulrik, Norwegian explorer  
[997](#).  
Sverdrup, Johan, Norwegian leader  
[1247](#).  
Sverre, king of Norway  
[464](#), [464](#).  
Svetambara sect  
[129](#).  
Sviatopluk, Moravian prince  
[483](#).  
Sviatopolk, brother of Yaroslav I  
[488](#).  
Sviatopolk-Mirsky, Pierre D.  
[1262](#).



[1075](#), [1075](#), [1075](#), [1076](#), [1076](#), [1076](#), [1076](#), [1076](#), [1076](#), [1077](#), [1079](#), [1080](#), [1080](#), [1100](#), [1132](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1247](#), [1248](#), [1248](#), [1248](#), [1248](#), [1249](#), [1250](#), [1707](#), [1719](#), [1837](#), [2036](#), [2037](#), [2041](#), [2043](#), [2048](#), [2048](#), [2048](#), [2049](#), [2049](#), [2051](#), [2051](#), [2052](#), [2055](#), [2084](#), [2684](#), [2721](#), [2735](#), [2752](#), [3041](#), [3051](#), [3053](#), [3056](#), [3062](#), [3062](#), [3062](#), [3062](#), [3065](#), [3065](#), [3065](#), [3065](#), [3065](#), [3066](#), [3066](#), [3068](#), [3069](#), [3069](#), [3069](#), [3087](#); king of as count Palatine of the Rhine, [656](#); and Africa, [874](#), [874](#); and North America, [932](#), [932](#), [932](#); wars with Russia, [1256](#); Great Depression, [2049](#), [2049](#); WWII, [2051](#), [2051](#), [2608](#); administrative reform, [3064](#).

Swedenborg, Emanuel, Swedish religious reformer  
[645](#).

Sweden Cooperative Congress  
[1249](#).

Sweden Employers Federation, SAF  
[1249](#).

Swedish-Danish War  
[703](#).

Swedish East India Company (Ostindiska Kompaniet)  
[762](#).

Swedish Employers Federation, SAF  
[1250](#).

Swedish Temperance Society  
[1076](#).

Swift, Jonathan, writer  
[700](#).

Swineshead, Richard, scholar  
[513](#).

Swing Riots, England  
[1048](#).

Swinton, Ernest  
[1734](#).

Swiss Confederation  
[540](#), [546](#), [584](#), [624](#), [625](#), [625](#), [626](#), [748](#), [1963](#), [1964](#), [1970](#), [2974](#).

Swiss Federal Council  
[2267](#).

Swiss Guard  
[2960](#).

Swiss Horological Electronic Center  
[2704](#).

Swiss Metalworkers  
[1963](#).

Swiss People's Party

2980.

Switzerland

523, 524, 524, 540, 546, 584, 584, 597, 597, 607, 607, 613, 614, 624, 625, 625, 625, 625, 625, 625, 626, 659, 725, 748, 748, 748, 748, 748, 748, 748, 748, 749, 749, 749, 749, 750, 750, 751, 751, 1011, 1032, 1032, 1036, 1070, 1070, 1070, 1070, 1070, 1070, 1081, 1094, 1094, 1094, 1095, 1143, 1226, 1226, 1226, 1227, 1227, 1228, 1228, 1228, 1229, 1229, 1235, 1260, 1262, 1274, 1964, 1968, 1969, 2025, 2064, 2618, 2697, 2704, 2721, 2749, 2882, 2970, 2970, 2970, 2971, 2971, 2971, 2972, 2972, 2973, 2974, 2974, 2979, 2979, 2980, 2980, 2981, 3616, 4065; and North America, 935, 940; revolution of 1846–1848, 1095; WWI, 1771; between Wars, 1963, 1963, 1963, 1964, 1964, 1965, 1965, 1965, 1966, 1966, 1966, 1968, 1969, 1970; neutrality, 1964, 1964, 1970, 1970; consumerism, 2970, 2974; cantonal separatism, 2973. *See* Franco-Swiss relations.

Syagrius, Gallo-Roman general

407.

Syamsu'd-din, Malay scholar

841.

Sybaris

178, 185, 194.

Sydenham, Thomas, physician

641.

Sydney

866, 959, 1487, 1487, 1488, 1488, 1488, 1489, 1490, 1493, 1495, 1495, 1497, 4171, 4301, 4303, 4310, 4313.

Sydney, University of

1491.

Sydney Harbour Bridge

2546.

Sykes, Percy

1751.

Sykes-Picot Agreement

1751, 1752.

Sylhet

3971.

Syllaeum

430.

Sylvain, Franck, Haitian leader

3745, 3745.

Sylvester II, pope

414, 414, 417, 417, 466, 466.

Sylvis, William H., U.S. labor leader

1592.  
symbolic logic  
1147, 1150.  
Syme, David, Australian editor  
1494.  
Symeon I, tsar of Bulgaria  
435, 436, 440, 440, 441, 441, 441, 441, 441.  
Symmachus, Quintus Aurelius, Roman leader  
260, 268, 406.  
Symonenko, Petro, Ukrainian leader  
3385.  
syndicalism  
1145; France, 1195, 1198; Portugal, 1209.  
Syndicalist Labor Federation, Venezuela  
2269.  
Synod of Örebro, Sweden  
628.  
Synod of Whitby  
422.  
Synod of Worms  
455.  
synthetics  
984.  
Syphax, king of Numidia  
231.  
syphilis  
597.  
Syracuse  
110, 178, 184, 184, 188, 190, 191, 193, 193, 194, 194, 196, 197, 197, 198, 199, 199,  
200, 202, 203, 204, 208, 208, 220, 220, 220, 220, 228, 229, 230, 232, 430.  
Syria  
32, 36, 43, 84, 86, 86, 86, 86, 87, 87, 88, 92, 93, 94, 95, 95, 100, 101, 102, 103, 103,  
103, 105, 106, 106, 106, 113, 113, 113, 118, 129, 129, 131, 169, 171, 171, 206, 206,  
209, 209, 209, 213, 213, 214, 215, 215, 216, 216, 218, 218, 228, 239, 240, 240, 240,  
243, 245, 246, 247, 249, 251, 253, 254, 255, 255, 255, 256, 257, 260, 261, 271, 272,  
272, 273, 274, 274, 275, 275, 281, 285, 286, 287, 287, 287, 287, 287, 288, 289, 291,  
291, 296, 296, 296, 296, 297, 299, 299, 299, 299, 301, 302, 303, 305, 307, 307, 317, 317,  
317, 317, 317, 317, 317, 317, 317, 317, 318, 318, 318, 318, 318, 318, 318, 318, 318,  
318, 319, 319, 319, 319, 319, 320, 320, 320, 320, 320, 323, 343, 364, 401, 427, 427, 428,  
428, 429, 430, 430, 432, 437, 438, 473, 498, 501, 505, 505, 792, 792, 795, 799, 801,  
808, 808, 809, 810, 821, 839, 953, 969, 1010, 1225, 1328, 1331, 1332, 1335, 1337,

[1337](#), [1348](#), [1706](#), [1728](#), [2318](#), [2319](#), [2323](#), [2333](#), [2370](#), [2371](#), [2372](#), [2373](#), [2379](#), [2379](#), [2379](#), [2380](#), [2380](#), [2386](#), [2391](#), [2391](#), [2391](#), [2395](#), [2398](#), [2400](#), [2404](#), [2405](#), [2636](#), [2638](#), [2644](#), [2656](#), [2670](#), [2671](#), [2839](#), [3769](#), [3769](#), [3769](#), [3769](#), [3769](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3771](#), [3772](#), [3773](#), [3774](#), [3774](#), [3775](#), [3778](#), [3778](#), [3781](#), [3782](#), [3782](#), [3783](#), [3785](#), [3786](#), [3803](#), [3838](#), [3838](#), [3839](#), [3839](#), [3840](#), [3840](#), [3841](#), [3842](#), [3843](#), [3843](#), [3843](#), [3843](#), [3844](#), [3844](#), [3844](#), [3844](#), [3847](#), [3848](#), [3851](#), [3851](#), [3853](#), [3864](#), [3864](#), [3872](#), [3873](#), [3878](#), [3879](#); occupation by Egypt, [1331](#), [1331](#), [1331](#); emigration to the Americas, [1335](#); and Egypt, [1367](#), [1367](#); WWI, [1751](#), [1752](#), [1753](#), [1780](#), [1788](#); and France, [2370](#), [2370](#), [2371](#), [2371](#), [2372](#), [2373](#), [2374](#), [2376](#), [2376](#), [2376](#), [2376](#), [2376](#), [2377](#), [2383](#), [3838](#), [3838](#); makeup, [2371](#), [3839](#); Great Revolt, [2374](#), [2374](#), [2376](#); between Wars, [2375](#), [2377](#); WWII, [2377](#), [2377](#), [2382](#), [2592](#), [2612](#); law code, [2380](#); independence, [3838](#); and Russia, [3839](#), [3843](#); and U.S., [3843](#), [3843](#). *See* [United Arab Republic \(UAR\)](#).

Syriam

[846](#), [1402](#).

Syrian Desert

[82](#), [317](#), [318](#).

Syrian-Lebanese Customs and Monetary Union

[3839](#).

Syrian-Lebanese treaty

[3851](#).

Syrian Muslim Brotherhood

[2377](#).

Syrian Protestant College

[1337](#).

Syrian Wars

[213](#), [213](#), [213](#), [213](#), [214](#), [214](#), [214](#), [218](#), [218](#), [218](#), [218](#), [218](#), [218](#), [218](#), [218](#), [233](#).

Syria-Palestine

[93](#), [93](#), [93](#), [95](#), [101](#), [103](#), [103](#), [124](#).

Syrmia, invaded by Serbs

[1792](#).

Syse, Jan P., Norwegian leader

[3060](#).

Szabó, Zoltán, intellectual

[2029](#).

Szakasits, Arpád, Hungarian leader

[3143](#), [3145](#).

Szálasi, Ferenc, Hungarian Nazi

[2030](#), [2030](#), [2031](#).

Szapolyai

*See* [Stephen ~Zápolya \(Szapolyai\), prince of Transylvania](#).



Szatmár, Peace of  
[758](#).

Széchenyi, István  
[1074](#), [1087](#).

Szechwan  
[342](#).

Szeged, Szegedin  
[2023](#).

Szekels  
[757](#).

Szeklers  
[492](#), [635](#).

Szigeth  
[616](#).

Szigetvar  
[796](#).

## T

Taaffe, Eduard von  
[1242](#).

Taba  
[1347](#).

Tabal  
[114](#).

Tabaristan  
[291](#), [297](#).

Tabasco  
[570](#), [901](#), [902](#), [3703](#).

Tabinshwehti, ruler in Burma  
[844](#), [844](#), [844](#), [844](#), [844](#), [844](#), [844](#).

Table of Deputies, Hungary  
[1074](#), [1074](#).

Table of Magnates, Hungary  
[1074](#), [1074](#).

Table of Ranks, Russia  
[786](#); in Prussia, [754](#).

Tabligh movement, India  
[2438](#).

Tabone, Vincent, Maltese leader  
[2968](#).

Tabor, religious leader

[544](#).

Tabora, German post in Africa

[1768](#).

Taborites, Bohemian reformers

[544](#), [545](#).

Tabriz

[305](#), [306](#), [307](#), [307](#), [308](#), [308](#), [314](#), [792](#), [794](#), [807](#), [812](#), [812](#), [813](#), [813](#), [977](#), [1352](#), [1352](#).

Tacitus, Roman emperor

[258](#), [258](#), [534](#).

Tacitus, Marcus Claudius

See [Tacitus, Roman emperor](#).

Tacitus, Publius Cornelius, historian

[246](#), [251](#), [402](#), [426](#).

Tacna

[1663](#), [1670](#), [1670](#), [1718](#), [2246](#), [2254](#), [2255](#), [2259](#).

Tacuarembó, battle of

[1647](#).

Tacuba

[570](#).

Tacubaya

[2291](#).

Tadakiyo, Sakai, Japanese official

[860](#).

Tadakuni, Mizuno, Japanese leader

[1437](#).

Tadoussac

[920](#).

Taedong River

[160](#), [160](#), [1430](#).

T'aejo, Korean king

[160](#), [855](#), [855](#), [856](#).

T'aejong

[855](#), [856](#).

Taewon'gun, Korean regent

[1429](#), [1429](#), [1430](#), [1430](#), [1430](#), [1430](#), [1431](#), [1432](#).

Tafari, Ras

See [Haile Selassie I \(Ras Tafari\), emperor of Ethiopia](#).

Taff-Vale case, England

[1162](#), [1163](#).

Taff-Vale Railway Company, England

[1162](#).

Tafilelt

[823](#).

Tafna, treaty of

[1382](#).

Taft, Robert A., U.S. leader

[3395](#).

Taft, William Howard, U.S. president

[1484](#), [1484](#), [1485](#), [1616](#), [1617](#), [1617](#), [1617](#), [1617](#), [1619](#), [1619](#), [1619](#).

Taft-Hartley Act, U.S.

[3391](#), [3393](#), [3405](#).

Taft-Katsura Agreement

[1436](#).

Tagalog peoples

[1481](#).

Erlander, Tage

[3063](#).

Tageia of Thessaly

[182](#).

Taghlib

[297](#).

Tagliacozzo, battle of

[459](#).

Tagliamento River

[1757](#), [1805](#).

Tagore, Debendranath, Indian leader

[1396](#).

Tagore, Rabindranath, poet and writer

[1400](#), [2464](#).

Tagus River

[480](#), [729](#), [1929](#).

Husayn, Taha, scholar

[2357](#), [2357](#), [2365](#).

Taharka, king of Egypt

[87](#), [87](#), [95](#), [99](#).


Tahert

[292](#).

Tahir al-Jaza'iri, scholar

[2371](#).

Tahir ibn al-Husayn, Tahirid leader

[294](#).  
Tahirid dynasty  
[294](#), [295](#).  
Tahiti  
[14](#), [52](#), [52](#), [864](#), [864](#), [865](#), [865](#), [866](#), [866](#), [1476](#), [1476](#), [1476](#), [1476](#), [2883](#).  
Tahmasp I, shah of Iran  
[812](#), [813](#), [813](#), [813](#), [815](#).  
Tahmasp II, shah of Iran  
[817](#).  
Taibei  
[4182](#), [4183](#).  
Taierzhuang, battle of  
[2480](#).  
Ta'if, treaties of  
[286](#), [2415](#).  
Ta'if Conference, Lebanon  
[3850](#), [3852](#).  
Tainoagny, Canadian guide  
[920](#).  
Taih  Code, Japan  
[384](#).  
Taika period  
[279](#).  
Taika Reforms, Japan  
[384](#).  
Taila II, Tailapa  
[328](#).  
Taila III, ruler of India  
[337](#), [337](#).  
Tailhook  
[3430](#), [3432](#), [3434](#).  
Taillandier, Saint-René, French envoy  
[975](#).  
Tailleferre, Germaine, composer  
[1903](#).  
Taino Arawaks  
[570](#).  
Taiping Rebellion  
[2468](#), [2478](#).  
Taiping Tianguo  
[1417](#), [1417](#), [1417](#); rebellion of, [1417](#).

Taira (Heiki) clan

[386](#), [386](#), [387](#), [387](#), [387](#), [387](#), [387](#), [387](#), [388](#), [389](#), [394](#), [394](#).

Taira no Kiyomori, Japanese leader

[387](#), [387](#), [387](#).

Taira no Masakado, Japanese leader

[386](#).

Taira no Shigemori, Japanese leader

[387](#).

Taironas

[570](#).

Tais

[138](#), [340](#), [340](#), [342](#), [342](#), [342](#), [342](#), [342](#), [342](#), [368](#).

Taishō  period, Japan

[1470](#), [1471](#), [2494](#), [2506](#), [2507](#), [2520](#).

Taishō  Yoshihito

See [Yoshihito, emperor of Japan](#).

Taiwan

[39](#), [52](#), [852](#), [852](#), [853](#), [955](#), [1418](#), [1419](#), [1421](#), [1451](#), [1457](#), [1464](#), [2484](#), [2485](#), [2500](#), [2524](#), [2640](#), [2673](#), [2696](#), [2855](#), [3455](#), [4142](#), [4144](#), [4146](#), [4146](#), [4146](#), [4146](#), [4147](#), [4147](#), [4149](#), [4150](#), [4150](#), [4150](#), [4163](#), [4171](#), [4173](#), [4174](#), [4177](#), [4178](#), [4179](#), [4179](#), [4180](#), [4181](#), [4181](#), [4183](#), [4183](#), [4183](#), [4183](#), [4183](#), [4183](#), [4183](#), [4183](#), [4183](#), [4184](#), [4184](#), [4185](#), [4186](#), [4227](#), [4240](#), [4343](#); and U.S., [3395](#), [3400](#). See [Chinese Nationalists](#); [Formosa](#).

Taiyuan

[2479](#).

Taizong, Li Shimin

[367](#), [367](#), [368](#), [368](#), [370](#), [371](#), [371](#), [856](#).

Taizu, Chinese ruler

[371](#), [851](#), [851](#), [852](#).

Tajes, Máximo, Latin American leader

[1667](#).

Tajikistan

[2076](#), [3303](#), [3304](#), [3372](#), [3374](#), [3375](#), [3376](#); sovereignty, [3301](#), [3372](#); independence, [3304](#), [3373](#); Republic of Tajikistan, [3373](#); banning of opposition parties, [3375](#).

Tajiks

[2348](#), [3834](#).

Taj Mahal


[833](#).

Tajuddin Ibrahim Ahmedi, poet

[312](#).

Takahashi Korekiyo, Japanese leader

[2501](#), [2502](#), [2512](#), [2516](#).

Takamori, Saig, Japanese leader  
[1447](#), [1450](#), [1450](#), [1452](#), [1452](#).

Takeshita Noboru, Japanese leader  
[4241](#).

Takla Makan Desert  
[473](#).

Takrit, Iraq  
[3882](#).

Takrur  
[344](#), [352](#).

Taksin, ruler of Siam  
[849](#).

Talal, emir of Transjordan  
[3871](#), [3871](#).

Talas, battle of  
[292](#).

Talas River  
[368](#).

Tal'at Harb, Egyptian financier  
[2353](#), [2353](#).

Talavera  
[1929](#).

Talbot, Benjamin, Pennsylvania constructor of open hearth furnaces  
[956](#).

Talbot, G. F., and concessions in Iran  
[1351](#).

Talbot, William H. F., photographer  
[989](#).

Tale of Genji  
[861](#).

Tale of Sinuhe  
[90](#).

Tale of the Shipwrecked Sailor  
[92](#).

Tale of Wenamun  
[93](#).

Talevera, battle of  
[1028](#).

Talha, companion to Muhammad  
[288](#).

Taliban, Afghanistan

[2697](#), [3784](#), [3784](#), [3785](#), [3828](#), [3834](#), [3835](#), [3835](#), [3836](#), [3836](#), [3836](#), [3837](#), [3837](#).  
Talic, Momir, Bosnia Serb leader  
[3039](#).

Talikota  
[831](#).

Tall al-Hesy  
[1336](#).

Tallard, Camille de, French commander  
[657](#).

Talleyrand, Charles de, French leader  
[1031](#), [1032](#), [1032](#).

Tallien, Jean Lambert, French leader  
[1005](#).

Tallinn  
*See* [Reval](#).

Tallis, Thomas, English composer  
[594](#).

Talmasani, Umar, Egyptian leader  
[3914](#).

Talmud  
[253](#), [450](#), [1072](#).

Taloqan  
[3784](#), [3835](#), [3837](#).

Tamatave  
[1561](#), [1561](#), [1562](#), [1562](#).

Tamayo, José Luis, Ecuadorian leader  
[2264](#), [2264](#).

Tambo, Oliver, South African leader  
[4320](#), [4477](#).

Tambralinga  
[338](#).

Tambroni, Ferdinando, Italian leader  
[2936](#).

Tamerlane  
*See* [Timur-i Lang \(Tamerlane\)](#), [Timurid ruler](#).

Tametsi decree, 1563  
[609](#).

Tamilnad, Tamilnadu  
[326](#), [3957](#), [3981](#), [3984](#), [4037](#).

Tamils  
[133](#), [133](#), [133](#), [326](#), [326](#), [326](#), [326](#), [328](#), [328](#), [338](#), [338](#), [830](#), [840](#), [2432](#), [2443](#), [2636](#),

[2644](#), [2679](#), [3051](#), [3960](#), [3984](#), [4026](#), [4026](#), [4026](#), [4026](#), [4027](#), [4028](#), [4030](#), [4032](#), [4032](#), [4032](#), [4034](#), [4035](#), [4036](#), [4036](#), [4037](#), [4037](#), [4037](#), [4037](#), [4037](#), [4037](#), [4038](#), [4039](#), [4039](#), [4042](#); cinema, [3957](#); and Ceylon university admissions, [4032](#).

Tamil United Liberation Front, TULF  
[4032](#), [4036](#).

Tammuz  
*See* [Dumuzi](#).

Ta Mok, Cambodian leader  
[4091](#).

Tampico, Mexico  
[2292](#).

Tamworth Manifesto  
[1046](#).

Tanaka Baron Giichi, Japanese leader  
[2507](#), [2508](#), [2509](#).

Tanaka Kakuei, Japanese leader  
[4239](#), [4239](#), [4240](#), [4241](#).

Tananarive  
[2627](#).

Tana River  
[1531](#).

Tancred of Hauteville  
[466](#).

Tancred of Lecce, Norman antiking  
[457](#), [471](#), [505](#).

Tanegashima  
[857](#).

Taneomi, Soejima, Japanese leader  
[1450](#).

Taner, Haldun, writer  
[3799](#).

Tang, Chinese ruler  
[138](#).

Tanga, battle of  
[1768](#).

Tanganrog  
[2593](#), [2596](#).

Tanganyika  
[955](#), [1506](#), [1509](#), [1528](#), [1529](#), [1539](#), [1542](#), [1550](#), [2565](#), [2565](#), [2567](#), [2567](#), [2567](#), [4408](#), [4408](#), [4408](#), [4409](#), [4426](#); independence, [4410](#), [4426](#); republic, [4426](#); United Republic of Tanzania, [4426](#). *See* [Tanzania](#).



Tanganyika African Association

[4408](#).

Tanganyika African National Union, TANU

[4408](#), [4426](#), [4426](#), [4426](#).

Tang (T'ang) dynasty

[158](#), [276](#), [279](#), [279](#), [367](#), [367](#), [368](#), [368](#), [369](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [370](#), [371](#), [371](#), [373](#), [373](#), [373](#), [373](#), [373](#), [373](#), [375](#), [377](#), [377](#), [377](#), [377](#), [377](#), [377](#), [378](#), [378](#), [378](#), [379](#), [382](#), [383](#), [383](#), [384](#), [384](#), [384](#), [385](#), [385](#), [397](#), [397](#), [397](#), [576](#), [851](#), [855](#).

Tang Fei, Taiwanese leader

[4186](#).

Tanggu truce

[2474](#), [2513](#).

Tangier

[289](#), [323](#), [323](#), [529](#), [648](#), [822](#), [823](#), [824](#), [824](#), [1129](#), [1376](#), [1376](#), [1376](#), [2418](#), [2422](#), [2711](#), [3920](#); battle of, [529](#), [529](#); convention, [1714](#); Conference, [3927](#).

Tangshan

[4161](#).

Tang Shaoyi, Chinese official

[1425](#).

T'ang T'ai-tsung, Chinese emperor

[324](#).

Tan'gun, legendary founder of Korea

[382](#), [855](#).

Tangut

[371](#).

Tang Xianzu, Chinese playwright

[851](#).

Tang Ying, Chinese potter

[854](#).

Tanis (later Pi-Ramses)

[89](#), [93](#), [93](#), [93](#), [94](#).

Tanit

[108](#).

Tanite dynasty

[93](#).

Tanizaki Jun'ichirō , writer

[2520](#), [4238](#).

Tanjore

[327](#), [328](#), [336](#).

Tanjuvur

[831](#).

Tankebyggarorden, Swedish literary society

[761](#).

Tanlongo, Bernardo, Italian leader

[1221](#).

Tannenberg, Grünwald

[1982](#); battle of, [541](#), [550](#), [555](#), [1739](#), [1792](#).

Tan Sitong, Chinese leader

[1423](#).

Tantric Buddhism

[385](#).

Tantrism

[324](#).

Tanucci, Bernardo, Italian leader

[741](#).

Tanzania

[9](#), [19](#), [45](#), [954](#), [1506](#), [2674](#), [2694](#), [3437](#), [3835](#), [4325](#), [4391](#), [4406](#), [4410](#), [4414](#), [4418](#), [4420](#), [4423](#), [4426](#), [4426](#), [4426](#), [4426](#), [4427](#), [4427](#), [4427](#), [4429](#), [4438](#); United Republic of Tanzania, [4426](#). *See* [Tanganyika](#).

Tanzimat, Ottoman reform program

[1331](#), [1335](#), [1336](#), [1339](#), [1339](#), [1350](#), [1392](#).

Tanzim movement, India

[2438](#).

Tao Qian

*See* [Tao Yuanming, Chinese author](#).

Taormina

[435](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 75

- Tao Yuanming, Chinese author  
[158.](#)
- Tapia, Primo, Mexican leader  
[2296.](#)
- Tapti River  
[333.](#)
- Tara  
[425.](#)
- Taraki, Nur Muhammad, Afghan leader  
[3832](#), [3833](#), [3833.](#)
- Taranaki  
[1502](#), [1502](#), [1502.](#)
- Taranto  
[607](#), [2590.](#)
- Tarantum  
[425.](#)
- Tarapacá  
[1663](#), [1663.](#)
- Tararori, battle of  
[331.](#)
- Taras, Tarentum  
[178](#), [184](#), [190.](#)
- Tarascan Indians, Mexico  
[570](#), [902](#), [2296.](#)
- Tarawa, Kiribati  
[4287.](#)
- Tarde, Gabriel, psychologist  
[1144.](#)
- Tardieu, André Pierre Gabriel Amédée, French leader  
[1817.](#)

Tarentines

[220](#), [220](#), [223](#), [227](#).

Tarentum

[178](#), [184](#), [205](#), [227](#), [229](#), [232](#), [232](#), [235](#), [435](#), [2590](#). *See* [Taranto](#).

Tarhuntassa

[113](#).

Tariff Act

[1575](#).

tariff of abominations

[1574](#), [1575](#).

tariffs

[1000](#), [1053](#), [1062](#), [1064](#), [1065](#), [1066](#), [1066](#), [1067](#), [1071](#), [1072](#), [1072](#), [1195](#), [1237](#), [1247](#), [1486](#), [1494](#), [1497](#), [1497](#), [1573](#), [1575](#), [1576](#), [1586](#), [1601](#), [1602](#), [1607](#), [1617](#), [1628](#), [1634](#), [1635](#), [1638](#), [1700](#), [2227](#), [2640](#), [2640](#); Protective Tariff Acts, [1846](#), [1848](#); Great Britain, [1848](#), [2229](#); Ireland, [1872](#), [1874](#), [1877](#); Netherlands, [1896](#), [1896](#); France, [1909](#); U.S., [2192](#), [2193](#), [2195](#), [2198](#), [2204](#), [3433](#); Canada, [2226](#), [2227](#), [2228](#), [2229](#); Egypt, [2361](#); China, [2470](#), [2471](#); Australia, [2549](#); New Zealand, [2551](#); Kennedy Round, [2640](#), [2664](#); Uruguay Round, [2640](#), [2640](#), [2689](#); Dillon Round, [2640](#), [2659](#); Tokyo Round, [2640](#), [2676](#); EC, [2729](#); NAFTA, [3430](#), [3431](#); Central America, [3468](#); Bolivia, [3548](#).

Tarim River

[368](#).

Tariq (Tarik) ibn Ziyad, Berber leader

[290](#), [419](#), [420](#).

Tarkhunt

[112](#).

Tarleton, Banastre

[951](#).

Tarnopol

[1740](#), [1802](#), [1803](#), [2597](#).

Tarnow, Cracow (Kraków)

[2126](#), [2621](#).

Tarquinius Collatinus, Lucius, Roman consul

[225](#).

Tarquinius Priscus, legendary king of Rome

[224](#).

Tarquinius Superbus, legendary king of Rome

[224](#), [225](#), [225](#).

Tarragona

[477](#), [477](#).

Tarsila do Amaral, artist

[2241](#).

Tarsus  
[262](#), [275](#), [315](#), [437](#).

Tartaglia, Niccolò, scientist  
[637](#), [637](#).

Tartu, Dorpat  
[629](#), [1774](#), [2104](#).

Tartus, Syria  
[3841](#).

Taru  
[112](#).

Tashilunpo  
[853](#).

Tashkent  
[3335](#), [3967](#).

Tasman, Abel Janzoon, Dutch navigator  
[865](#), [1500](#).

Tasmania (Van Diemen's Land)  
[27](#), [865](#), [1487](#), [1488](#), [1488](#), [1489](#), [1489](#), [1491](#), [1497](#), [1497](#), [2547](#).

Tasman Sea  
[4316](#).

Tass  
[3271](#).

Tassilo, duke of Bavaria  
[410](#).

Tata, Jamsetji, Indian industrialist  
[1397](#).

Tata family, steelmakers in India  
[956](#).

Tata Iron and Steel Company  
[1397](#).

Tatarescu, Jorge, Romanian leader  
[2182](#), [2184](#), [3246](#).

Tatars  
[490](#), [490](#), [555](#), [557](#), [557](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [558](#), [568](#), [629](#), [629](#), [629](#),  
[631](#), [1334](#).

Ta Thu Tau, Vietnamese leader  
[2526](#).

Tatum, Edward L., geneticist  
[1731](#).

Taung

[19](#).  
Taunus Railroad  
[1096](#).  
Taurocomon, battle of  
[501](#).  
Tauromenium  
[234](#).  
Taurus Mountains  
[82](#), [112](#), [113](#), [233](#), [305](#).  
Tavoy  
[846](#), [1402](#).  
Tawfiq, khedive of Egypt  
[1372](#), [1372](#), [1372](#), [1372](#), [1372](#), [1373](#).  
Hakim, Tawfiq al-, dramatist  
[3914](#).  
Tawfiq al-Suwaydi, Iraqi leader  
[2400](#).  
Tawfiq Nessim, Egyptian leader  
[2364](#), [2365](#).  
Tawney, Richard H., historian  
[613](#), [1144](#).  
Tawosre, queen of Egypt  
[93](#).  
taxation  
[186](#), [261](#), [755](#), [1846](#); Islamic, [287](#); Seljuks, [301](#); Ilkhanids, [305](#); China, [370](#), [374](#), [382](#);  
Korea, [377](#), [378](#); Japan, [384](#), [384](#); Vietnam, [397](#); Byzantium, [431](#); England, [444](#), [585](#),  
[675](#), [689](#); France, [453](#), [520](#), [521](#), [714](#), [1000](#), [1020](#), [2870](#); Florence, [535](#); England 17th  
century, [589](#), [591](#); France 18th century, [716](#); Spain 18th century, [724](#); Italy, [738](#),  
[1067](#); Lombardy 18th century, [742](#), [742](#), [742](#), [743](#); Tuscany 18th century, [744](#);  
Switzerland 18th century, [750](#); Prussia, [754](#), [1071](#); Sweden 19th century, [765](#);  
Denmark, [771](#); Norway, [772](#); Russia 18th century, [786](#); Ottoman Empire, [805](#); Iran  
18th century, [817](#); India, [836](#), [836](#); China 1500–1800, [851](#); Korea 1500–1800, [855](#),  
[856](#); Africa, [885](#), [1517](#), [1544](#); Americas, [909](#); Great Britain, [1046](#), [1047](#), [1158](#), [1159](#),  
[1163](#), [2776](#); Ireland, [1051](#); Portugal, [1065](#); Germany, [1237](#), [3027](#); Austria, [1238](#),  
[1243](#); Scandinavia, [1247](#); Bulgaria, [1304](#); Egypt, [1366](#), [1368](#); Algeria, [1381](#); Tunisia,  
[1388](#); New Zealand, [1504](#); U.S., [1565](#), [1587](#), [1607](#), [1608](#), [1620](#); income tax, [1901](#);  
Council of Europe, [2746](#); England and Wales, [2795](#); Queen of England, [2797](#);  
environmental, [2824](#); Switzerland, [2971](#), [2971](#); Canada, [3458](#); Ecuador, [3572](#).  
Tax Clerks' Association, England  
[1161](#).  
Taxco

[911](#).  
Taxila  
    *See* [Takshasila](#).  
Taxiles  
    [207](#).  
Tax Reform Act, U.S.  
    [3390](#).  
Takshasila  
    [129](#).  
Taya, Sid'Ahmed, Mauritanian leader  
    [4364](#).  
Taylor, Charles G., Liberian leader  
    [2696](#), [4327](#), [4357](#), [4357](#), [4357](#), [4358](#), [4359](#), [4359](#), [4360](#), [4385](#).  
Taylor, Frederick Winslow, U.S. management expert  
    [985](#), [1608](#), [1734](#).  
Taylor, Maxwell, U.S. leader  
    [4265](#).  
Taylor, Zachary, U.S. president  
    [1578](#), [1579](#), [1580](#).  
Taymur ibn Faysal, ruler of Muscat and Oman  
    [1364](#), [2413](#).  
Tây-son, Vietnamese village  
    [863](#), [863](#).  
Tây-son Rebellion  
    [849](#), [863](#).  
Tayyibiyya Sufism  
    [1382](#).  
Tbilisi  
    [3297](#), [3326](#), [3327](#).  
Tchaikovsky, Peter Ilyich, composer  
    [1260](#).  
Tchogha-Zambil  
    *See* [Dur-Untash](#).  
tea  
    [373](#), [943](#), [1391](#).  
Teachers Training College, Accra  
    [1521](#).  
Teapot Dome oil Scandal  
    [2194](#).  
Te Aute College Students' Association  
    [1504](#).

Tebourba

[1387](#).

Technical Instruction Act, England

[1162](#).

technology

[83](#); prehistoric, [25](#), [38](#); Mesopotamia, [83](#); ancient Egypt, [90](#); East Africa, [97](#); Syria-Palestine, [101](#); Phoenicia, [108](#); Asia Minor, [112](#); ancient Armenia, [117](#); ancient Iran, [121](#); Arabia, [126](#); ancient Greece, [173](#), [176](#), [186](#); the Hellenistic Age, [208](#); ancient Rome, [223](#); the Roman Republic, [229](#); the Roman Empire, [239](#), [246](#). *See* [science and technology](#).

Tecumseh, American Indian leader

[1571](#), [1623](#).

Tefnakhte I, king of Egypt

[94](#), [105](#).

Tegea

[178](#), [179](#), [190](#).

Tegucigalpa

[3697](#).

Tehenu

[93](#).

Tehran

[977](#), [977](#), [1349](#), [1350](#), [1351](#), [1352](#), [1352](#), [1353](#), [1699](#), [1750](#), [2338](#), [2339](#), [2344](#), [2344](#), [2613](#), [2676](#), [3426](#), [3778](#), [3817](#), [3817](#), [3822](#), [3829](#); Conference, [2214](#), [2632](#).

Tehran, University of

[2342](#).

Tehran Radio

[2344](#).

Tehuacán

[40](#), [40](#).

Tehuantepec

[902](#).

Tehuelche

[570](#).

Teima

[88](#), [125](#), [127](#).

Teisheba

[112](#), [117](#).

Teispes, king of Anshan

[123](#).

Tejada, Adalberto

[2296](#).



Tejada Sorzano, José Luis

[2255](#).

Tejero, Antonio, Spanish leader

[2899](#).

Tejpala, Indian leader

[331](#).

Teke

[312](#).

Te Kooti, Maori leader

[1503](#).

Telamon

[231](#).

Tel Aviv

[1346](#), [3859](#), [3861](#), [3864](#).

telegraph

[961](#), [989](#), [990](#), [1119](#), [1334](#), [1350](#), [1389](#), [1393](#), [1418](#), [1494](#), [1576](#), [1639](#).

Telegraph Convention

[1698](#).

Teleki, Pál

[2024](#), [2032](#), [2034](#).

Tel-el-Kebir, battle of

[962](#), [1372](#).

telephone

[961](#), [990](#), [2641](#).

Telepinus, king of Hatti

[113](#).

Telerig, Bulgarian ruler

[440](#).

telescope

[638](#), [641](#), [1258](#).

Telets, Bulgarian ruler

[439](#).

television

[1736](#), [1850](#), [2641](#), [2702](#), [3390](#), [3394](#), [3768](#); U.S., [3405](#), [3414](#); cable and satellite dishes, [3427](#); Canada, [3445](#); Turkey, [3796](#); Iran, [3817](#); Jordan, [3873](#); Iraq, [3879](#); Egypt, [3909](#); China, [4176](#); Australia, [4301](#); Africa, [4325](#).

Telingana River

[333](#), [334](#).

Tell, William, Swiss leader

[546](#).

Tell al-Amarna

*See* [Akhetaten \(later Tell al-Amarna\)](#).

Tell Hariri  
*See* [Mari](#).

Tellini, Enrico, Italian general  
[1822](#).

Tell Mardikh  
*See* [Ebla](#).

Telstar I, communications satellite  
[2703](#), [3407](#).

Telugu  
[130](#), [133](#), [133](#), [328](#), [331](#), [830](#).

Tembu National Church  
[1556](#).

Temesvar  
[795](#), [804](#); Banat of, [805](#), [806](#).

Temperance League, Ireland  
[1168](#).

temperance movement  
[1595](#); Scandinavia, [1076](#); Great Britain, [1155](#), [1163](#); Ireland, [1168](#); in the U.S., [1595](#);  
in Canada, [1632](#). *See* [prohibition](#).

Temple, Paris  
[1003](#), [1005](#), [1013](#).

Temple, William  
[675](#).

Temple Mount  
[290](#), [3869](#).

temple of Artemis  
[186](#).

temple of Athena  
[190](#).

temple of Jupiter Optimus Maximus  
[224](#).

temple of Nanna  
[84](#).

temple of Solomon  
[109](#).

temple of Venus and Roma  
[246](#).

temples  
[62](#), [83](#).

Tempt-Humban-Inshushinak, king of Elam

[122](#).

Temujin

See [Chinggis Khan, Mongol leader](#).

Tenant League, Ireland

[1164](#), [1166](#), [1166](#).

Tenants' Savings and Building Society, HSB

[2049](#).

Tenasserim coast

[137](#), [846](#), [1395](#), [1402](#), [1402](#).

Tenchi, emperor of Japan

[383](#).

Tencin, Claudine Alexandrine Guérin de, writer

[707](#).

Tenda, Italy

[2926](#).

Tendai Buddhism

[385](#).

Tenedos

[175](#), [538](#), [2144](#).

Ten Hours Bill, England

[1049](#).

Tennes of Sidon, rebel

[109](#).

Tennessee

[941](#), [1567](#), [1585](#), [1587](#), [1588](#), [1592](#).

Tennessee River

[1587](#).

Tennessee Valley Authority

[2196](#).

Tennessee Valley Authority Act, U.S.

[2201](#).

Tennis Court Oath

[1001](#).

Tenochtitlán, Mexica capital

[4](#), [53](#), [570](#), [570](#), [901](#), [901](#), [901](#).

Tenos

[200](#).

Tenp  period, Japan

[1437](#).

Tenri sect, Japan

[1438](#).

Tenshin, Okakura, artist  
[1471](#).

Ten Thousand, Arcadian League government  
[202](#).

Tenuatamun, king of Egypt  
[87](#), [95](#), [95](#), [99](#).

Tenure-of-Office Act, U.S.  
[1593](#), [1594](#).

Ten Years' War, Cuba  
[1693](#).

Teos, king of Egypt  
[95](#).

teosinte, type of maize  
[40](#).

Teotihuacán  
[55](#), [55](#), [280](#).

Tepanecas  
[570](#), [570](#).

Teplitz, treaty of  
[1030](#), [2019](#).

Te Rangi Hiroa, Peter Buck  
[1504](#).

Te Rauparaha, Maori leader  
[1500](#).

Terboven, Joseph, German leader  
[2047](#).

Terengganu  
[837](#), [2455](#).

Terentius (Terence) Afer, P., Roman playwright  
[229](#), [416](#).

Teresa, wife of Henry of Burgundy  
[480](#), [480](#).

Teresa de Jesús, Saint  
[604](#).

Teresa of Avila, Saint  
[602](#).

Terillus, tyrant of Himera  
[189](#).

Ternate  
[843](#), [843](#), [843](#), [843](#).

Ter-Petrossian, Levon

3308.

Terra, Gabriel, Uruguayan leader  
2252, 2253, 2253, 2253, 2253, 2253.

Terra Australis Incognita, goal of European explorers  
865, 865, 866.

Terra da Vera Cruz, Brazil  
573.

terrorism, Ireland  
2639, 2669, 2678, 2692, 2700, 2736, 2813, 2965, 3436, 3575, 3859; 1800–1914, 965, 1140; Russia, 1260, 1260, 1260, 1262; Ottoman Empire, 1346; Libya, 2682, 3949; U.S., 2682, 2689, 2689, 2694, 3430, 3433, 3437, 3441, 3949; IRA, 2796, 2798; Ireland, 2811, 2811, 2814; France, 2869, 2874, 2883; Spain, 2893; Italy, 2937, 2939, 2943, 2944; West Germany, 3007; Austria, 3036; Iran, 3433; Canada, 3449, 3455, 3455, 3455, 3455, 3455; Argentina, 3502; Peru, 3557; Colombia, 3575, 3575, 3576, 3584; Venezuela, 3600; Brazil, 3616; Guatemala, 3653; Palestinians, 3779, 3779, 3781; Kurds, 3785; Islamic, 3786; Afghanistan, 3835; Israel, 3859; India, 3977, 3977, 3978, 3984; Sri Lanka, 4036, 4037; Japan, 4248, 4248, 4248.

Tertry  
407.

Tertullian, Christian apologist  
259.

Teruel  
1930, 1931.

Tervel, Bulgarian ruler  
439.

Teschen  
1708, 1817, 1835, 2123; treaty of, 667, 759.

Teshup  
See Teisheba.

Tesla, Nikola, inventor  
982.

Teso  
2565.

Test Act, England  
676, 676, 683, 1051.

Tet, Vietnamese New Year  
4269.

Tete  
888, 1507, 1507.

Tet offensive, Vietnam  
3415, 4270.

Tetricus, Caius Pius Esuvius, Roman official  
[258](#).

Tetuan, Tetuán  
[823](#), [1199](#), [1376](#), [1376](#).

Tetzel, Johann, Dominican friar  
[613](#).

Te Ua Haumene, Maori leader  
[1502](#).

Teusina, treaty of  
[628](#).

Teuta, queen of Illyria  
[230](#), [231](#).

Teutoburg Forest  
[244](#).

Teutonic Knights  
[281](#), [458](#), [458](#), [458](#), [460](#), [460](#), [485](#), [487](#), [489](#), [490](#), [541](#), [544](#), [550](#), [555](#), [555](#), [555](#), [556](#),  
[557](#), [557](#), [557](#), [629](#), [632](#).

Teutons  
[235](#), [235](#), [402](#).

Tewfik Pasha, khedive of Egypt  
[1109](#).

Te Wherowhero, Maori leader  
[1502](#).

Te Whiti, Maori leader  
[1503](#).

Tewodros II, emperor of Ethiopia  
[1522](#), [1522](#), [1522](#), [1522](#), [1522](#).

Texaco, Inc.  
[3435](#), [3562](#), [3568](#).

Texas  
[903](#), [904](#), [904](#), [905](#), [905](#), [954](#), [1573](#), [1579](#), [1580](#), [1585](#), [1588](#), [1594](#), [1687](#), [1687](#), [1690](#),  
[3408](#), [3425](#), [3440](#), [3441](#); independence of, [1576](#), [1687](#); annexation of, [1577](#), [1577](#),  
[1577](#), [1688](#).

Texas, University of  
[2210](#).

Texcoco  
[570](#), [570](#), [901](#).

Texel  
[671](#), [705](#).

textiles  
[443](#), [675](#), [685](#), [688](#), [698](#), [698](#), [711](#), [984](#), [985](#), [1046](#), [1051](#), [1070](#), [1070](#), [1073](#), [1366](#),



[327](#).  
Thanesar  
[324](#), [331](#).  
Thang-long  
[397](#), [398](#), [399](#), [399](#), [863](#).  
Thanin Krivichien, Thai leader  
[4070](#).  
Thanom Kittikachorn, Thai leader  
[4067](#), [4067](#), [4068](#), [4069](#), [4069](#), [4071](#).  
Than Shwe, Burmese leader  
[4061](#), [4061](#).  
Thapsos  
[184](#).  
Thapsus  
[241](#).  
Tharawaddi Min, king of Burma  
[1402](#).  
Tharrawaddy District  
[2448](#).  
Tharros  
[110](#).  
Tharwat Pasha, Egyptian leader  
[2358](#).  
Thasos  
[168](#), [176](#), [191](#), [200](#).  
Thatcher, Margaret, British leader  
[2758](#), [2790](#), [2792](#), [2793](#), [2793](#), [2795](#), [2795](#), [2795](#), [2874](#), [3494](#).  
Thaton, Mon kingdom  
[341](#).  
Theban Cycle  
[173](#).  
Thebes  
[87](#), [89](#), [90](#), [91](#), [92](#), [93](#), [93](#), [93](#), [93](#), [93](#), [93](#), [95](#), [171](#), [171](#), [180](#), [182](#), [189](#), [192](#), [196](#), [199](#), [199](#),  
[200](#), [200](#), [200](#), [201](#), [201](#), [201](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [202](#), [203](#), [204](#), [205](#),  
[205](#), [205](#), [206](#), [502](#), [505](#).  
Theiss River  
[402](#), [491](#), [493](#), [493](#).  
Themistocles, Athenian leader  
[187](#), [188](#), [189](#), [189](#), [189](#), [190](#), [190](#).  
Theobald, archbishop of Canterbury  
[444](#).



theocracy  
[625](#).

Theocritus, Greek poet  
[208](#).

Theodolinda, wife of king Authari  
[408](#).

Theodora, Byzantine empress  
[499](#).

Theodora, mother of Michael III  
[434](#), [434](#).

Theodora, wife of Justinian  
[427](#), [427](#).

Theodora, wife of Orhan  
[309](#).

Theodora, wife of Theophylact  
[465](#).

Theodore, Russian tsar  
[783](#).

Theodore I, Russian tsar  
[630](#), [630](#).

Theodore I  
*See [Neuhof, Theodore von, baron, crowned as Theodore I of Corsica](#).*

Theodore I Lascaris, Nicaean emperor  
[508](#), [508](#), [508](#), [508](#), [508](#), [508](#).

Theodore II, tsar of Russia  
[630](#).

Theodore II Lascaris, Nicaean emperor  
[497](#), [510](#), [510](#).

Theodore Dukas Angelus, ruler of Epirus  
[497](#), [497](#), [509](#), [509](#), [509](#), [509](#), [509](#), [509](#), [510](#).

Theodore of Tarsus, archbishop of Canterbury  
[422](#).

Theodoric I, Visigoth king  
[402](#), [403](#).

Theodoric the Great, Ostrogoth leader and ruler of Rome  
[257](#), [268](#), [269](#), [269](#), [270](#), [406](#), [406](#), [406](#), [406](#), [406](#), [411](#).

Theodoros of Studion, monastic leader  
[433](#).

Theodosius I the Great, Roman emperor  
[264](#), [264](#), [264](#), [264](#), [265](#), [265](#), [267](#), [268](#), [268](#), [401](#), [401](#), [403](#), [403](#).

Theodosius II, Roman emperor in the East

[265](#), [266](#), [266](#), [266](#), [268](#).  
Theodosius III, Byzantine emperor  
[431](#).  
Theodosius, Flavius  
*See* [Theodosius I the Great, Roman emperor](#).  
Theodulf of Orleans, Visigothic poet  
[411](#).  
Theogony  
[176](#).  
Theophano, Byzantine empress  
[437](#).  
Theophano, wife of Otto II  
[417](#), [437](#).  
Theophilus I, Byzantine emperor  
[434](#).  
Theophilus of Antioch, bishop  
[259](#).  
Theophilus the Presbyter  
[459](#).  
Theophylact, Roman leader  
[465](#).  
Theopompus, king of Sparta  
[178](#).  
Theosophist movement, India  
[1398](#), [2432](#).  
Theotokopoulos, Kyriakos  
*See* [El Greco \(Kyriakos Theotokopoulos\), Spanish artist](#).  
Thera  
[168](#), [174](#), [177](#).  
Theramenes, Athenian leader  
[199](#).  
Theravada Buddhism  
[78](#), [339](#), [340](#), [837](#), [847](#).  
Theravadin tradition  
[134](#).  
thermodynamics  
[1040](#), [1147](#), [1147](#), [1152](#).  
Thermopylae  
[168](#), [189](#), [203](#), [204](#), [209](#), [233](#).  
Theron, tyrant of Acragas  
[188](#), [189](#), [190](#).

Thespieae

[200.](#)

Thespians

[189.](#)

Thespis, Greek poet

[176.](#)

Thessalian League

[182.](#)

Thessalonica

[260.](#) [434.](#) [436.](#) [497.](#) [503.](#) [508.](#) [508.](#) [509.](#) [509.](#) [510.](#) [510.](#) [564.](#) [566.](#) [567.](#) [568.](#)

Thessaly

[168.](#) [170.](#) [170.](#) [180.](#) [182.](#) [182.](#) [182.](#) [182.](#) [191.](#) [202.](#) [202.](#) [204.](#) [204.](#) [233.](#) [241.](#) [311.](#) [403.](#) [441.](#) [441.](#) [473.](#) [508.](#) [509.](#) [509.](#) [510.](#) [562.](#) [566.](#) [1110.](#) [1278.](#) [1279.](#) [1279.](#) [1287.](#) [1345.](#) [1758.](#) [1759.](#)

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 76

- Theutberga, wife of Lothair II  
[409](#).
- Thiaumont, taken by Germans  
[1800](#).
- Thibaw, king of Burma  
[1402](#), [1403](#).
- Thibron, Spartan commander  
[199](#).
- Thich Tri Quang, Vietnamese leader  
[4268](#).
- Thiền Buddhism  
[397](#), [398](#).
- Thierry, Augustin, historian  
[1036](#).
- Thierry of Chartres, scholar  
[450](#).
- Thiers, Adolphe, French leader  
[1060](#), [1061](#), [1081](#), [1104](#), [1187](#), [1188](#), [1188](#), [1188](#), [1189](#), [1190](#), [1190](#).
- Thiên-Tri, emperor of Vietnam  
[1473](#).
- Third Cataract  
[98](#).
- Third Force, France  
[2841](#).
- Third International (Comintern)  
[1703](#), [1708](#), [1814](#), [1815](#), [1833](#), [1837](#), [1842](#), [1902](#), [1941](#), [2068](#), [2075](#), [2081](#), [2273](#),  
[2456](#).
- Third Macedonian War  
[211](#).
- Third Messenian War

[191](#).  
Third Party, France  
[1183](#), [1184](#).  
Third Sacred War  
[203](#), [204](#).  
Third Secession  
[227](#).  
Third Syrian War  
[213](#), [213](#).  
Third World  
[2636](#), [2641](#), [2643](#), [2644](#), [2667](#), [2678](#), [3906](#); nonalignment, [2637](#); and neocolonialism, [3963](#).  
Third World Priests movement, Argentina  
[3491](#).  
Thirty-Nine Articles, England  
[588](#).  
Thirty Tyrants  
[199](#).  
Thirty Years' Peace  
[193](#), [195](#).  
Thirty Years' War  
[584](#), [584](#), [584](#), [600](#), [603](#), [603](#), [610](#), [610](#), [617](#), [617](#), [624](#), [626](#), [627](#), [628](#), [634](#), [636](#), [643](#), [644](#), [648](#), [727](#), [748](#), [752](#), [761](#), [776](#); Bohemian period, [617](#); Danish period, [618](#); Swedish period, [620](#); Swedish-French period, [622](#); effects of, [624](#).  
This, Egypt  
[91](#).  
Thököly, Imre  
[757](#).  
Thomas, Byzantine general  
[434](#).  
Thomas, duke of Lancaster  
[512](#), [512](#).  
Thomas, Clarence, U.S. jurist  
[3428](#).  
Thomas, George Henry, Union commander  
[1589](#).  
Thomas, Jacques Léonard Clément, French general  
[1188](#).  
Thomas, James Henry, British leader  
[1847](#).  
Thomas, Sidney G., inventor

[984](#).  
Thomas of Bradwardine, scholar  
[513](#).  
Thomist rationalists  
[446](#).  
Thompson, David, explorer  
[1623](#).  
Thompson, Earl A., automotive pioneer  
[991](#).  
Thompson, John S. D.  
[1635](#), [1636](#).  
Thomson, Charles Poulett, Lord Sydenham  
[1627](#).  
Thomson, Christian Jurgensen, archaeologist  
[14](#).  
Thomson, Elihu, inventor  
[986](#).  
Thomson, Joseph John, physicist  
[1149](#).  
Thomson, Thomas, chaplain in Africa  
[876](#).  
Thomson, William, Lord Kelvin  
[981](#), [1147](#).  
Thomson-Urrutia Treaty, U.S. and Colombia  
[1674](#), [2267](#), [2275](#).  
Thondaman, S., Sri Lankan leader  
[4034](#).  
Thorbecke, Johan, Dutch jurist  
[1174](#), [1174](#).  
Thoreau, Henry David, writer  
[1563](#), [1582](#).  
Thorez, Maurice, French leader  
[1910](#), [2843](#).  
Thorn  
[458](#), [460](#), [550](#), [667](#), [667](#), [780](#), [782](#), [782](#); peace of, [541](#), [550](#), [550](#), [555](#), [556](#).  
Thorn, Gaston, leader of Luxembourg  
[2836](#).  
Thornton, Henry  
[2217](#).  
Thors, Olafur, Icelandic leader  
[3086](#), [3086](#).

Thoth, Egyptian god

[90](#).

Thousand Redshirts, Garibaldi's army

[1212](#).

Thrace

[114](#), [168](#), [173](#), [180](#), [182](#), [187](#), [189](#), [189](#), [190](#), [194](#), [196](#), [196](#), [196](#), [203](#), [204](#), [206](#), [209](#), [209](#), [209](#), [210](#), [213](#), [214](#), [241](#), [245](#), [248](#), [257](#), [261](#), [262](#), [269](#), [309](#), [310](#), [310](#), [403](#), [428](#), [430](#), [430](#), [432](#), [434](#), [440](#), [441](#), [496](#), [496](#), [497](#), [497](#), [501](#), [508](#), [508](#), [562](#), [564](#), [564](#), [565](#), [566](#), [567](#), [568](#), [795](#), [1137](#), [1299](#), [1333](#), [1348](#), [1750](#), [1817](#), [2144](#), [2160](#), [2322](#), [2324](#), [2325](#); WWI, [1743](#), [1743](#), [1788](#).

Thrane, Joseph, journalist

[1247](#), [1247](#), [1247](#).

Thrasea, Roman Stoic philosopher

[251](#).

Thrasylbulus, tyrant of Syracuse

[191](#), [198](#), [199](#), [200](#), [200](#).

Thrasylbulus, tyrant of Acragas

[190](#).

Thrasylbulus

[198](#).

Three Age System

[14](#), [14](#).

Three Emperors, alliance of the

[1235](#), [1243](#).

Three Emperors, battle of the

*See* [battle of Austerlitz](#).

Three Emperors' League

[1104](#), [1104](#), [1105](#), [1109](#), [1110](#), [1114](#).

Three Kingdoms period

[153](#), [156](#), [160](#), [160](#), [377](#), [377](#).

Three Kings, battle of the, Alcazar

[823](#).

Three Mile Island

[2641](#), [2676](#), [3426](#).

Thucles, Chalcidian leader

[184](#), [184](#).

Thucydides, historian

[186](#), [193](#).

Thugs

[332](#).

Thuku, Harry, activist

[2566](#), [2567](#).  
Thule  
[3088](#).  
Thule people  
[33](#).  
Thurgau  
[546](#), [625](#).  
Thurii  
[194](#), [220](#), [227](#).  
Thuringia  
[408](#), [412](#), [415](#), [415](#), [415](#), [455](#), [459](#), [540](#), [620](#), [753](#), [1974](#).  
Thuringian Mark  
[411](#).  
Thurman, J., developer of vacuum cleaner  
[985](#).  
Thurmond, Strom, U.S. leader  
[3392](#).  
Thurn, Matthias von, leader of Prague revolt  
[617](#), [617](#), [617](#), [617](#).  
Thutmose III, king of Egypt  
[98](#).  
Thuwayni ibn Sa'id, ruler of Muscat and Oman  
[1360](#).  
Thyrean plain  
[179](#).  
Tiananmen Square  
[2464](#), [2637](#), [2685](#), [3437](#), [4161](#), [4166](#), [4167](#), [4167](#), [4167](#), [4167](#), [4244](#), [4277](#).  
Tianjin  
[853](#), [1418](#), [1424](#), [1424](#), [1430](#), [2462](#), [2466](#), [2474](#), [2479](#), [2481](#), [2486](#), [4144](#), [4166](#); treaty of, [1417](#), [1419](#), [1449](#); massacre, [1418](#); convention of, [1431](#), [1432](#), [1454](#).  
Tianli sect, millenarian group  
[1415](#).  
Tianshan  
[1418](#), [1425](#).  
Tiantai Buddhism  
[158](#), [382](#).  
Tiasanes of Ptolemy  
[132](#).  
Tiberias  
[797](#), [807](#).  
Tiber Island



[223](#).  
Tiberius, Byzantine emperor  
[428](#).  
Tiberius, Roman emperor  
[242](#), [243](#), [243](#), [243](#), [243](#), [243](#), [243](#), [244](#), [246](#), [246](#), [247](#), [247](#), [247](#), [247](#), [247](#), [247](#), [247](#), [247](#), [274](#).  
Tiberius, brother of Constantine IV  
[430](#).  
Tiberius II, Byzantine emperor  
[428](#).  
Tiberius II, Apsimar  
[431](#).  
Drusus, Tiberius Claudius  
See [Claudius, Roman emperor](#).  
Tiberius Gemellus, grandson of Tiberius  
[247](#).  
Tiber River  
[221](#), [222](#), [222](#), [223](#), [224](#), [225](#).  
Tibesti, Chad  
[4336](#).  
Tibet  
[137](#), [281](#), [324](#), [333](#), [368](#), [368](#), [368](#), [368](#), [371](#), [375](#), [576](#), [852](#), [853](#), [853](#), [971](#), [975](#), [1131](#),  
[1424](#), [1427](#), [3962](#); and China, [4145](#), [4146](#), [4148](#), [4149](#), [4151](#), [4151](#), [4151](#), [4151](#), [4152](#),  
[4155](#), [4172](#).  
Tibetan Autonomous Region  
[4151](#).  
Tibullus, Albius, Roman poet  
[239](#).  
Tibur, state  
[227](#).  
Ticino  
[625](#), [739](#), [1226](#), [1229](#).  
Ticinus River  
[231](#).  
Ticonderoga  
[946](#), [4264](#).  
Tidore  
[843](#), [843](#).  
Tieba Traore, African leader  
[1511](#).  
Tiepolo, leader of rebellion in Venice  
[474](#).

Tiepolo, Giambattista, Italian artist  
[735](#).

Tierra del Fuego  
[570](#).

Tiflis  
[965](#).

Tiglath-Pileser I, king of Assyria and Babylonia  
[86](#), [86](#).

Tiglath-Pileser III, king of Assyria  
[87](#), [105](#), [105](#), [106](#), [109](#), [118](#), [127](#).

Tigranes I, king of Armenia  
[215](#), [216](#), [240](#), [240](#).

Tigranocerta  
[248](#).

Tigre, Ethiopia  
[1522](#), [1522](#), [2564](#), [4394](#), [4396](#), [4397](#).

Tigrean People's Liberation Front, TPLF  
[4396](#).

Tigris-Euphrates Valley  
[62](#), [66](#).

Tigris River  
[36](#), [62](#), [66](#), [82](#), [86](#), [87](#), [87](#), [261](#), [271](#), [272](#), [273](#), [292](#), [436](#), [1331](#), [3775](#), [3882](#).

Tihama  
[2408](#), [2411](#).

Tihuanaco  
[280](#).

Tijaniyya Sufi order  
[829](#), [1375](#), [1381](#), [1382](#), [1387](#), [1510](#).

Tijuana  
[3708](#).

Tikal  
[55](#), [570](#).

Tikhon, patriarch of Russia  
[2081](#).

Tilak, Bal G., Indian leader  
[1398](#), [2432](#), [2432](#), [2432](#), [2434](#).

Til Barsip  
[103](#), [106](#).

Tildy, Zoltan, Hungarian leader  
[3141](#), [3141](#), [3143](#).

Tilly, baron von, Jan Tserkales, military commander

[617](#), [617](#), [618](#), [619](#), [620](#), [620](#), [620](#).

Tilsit, treaties of  
[766](#), [1025](#), [1025](#), [1256](#).

Timbuktu  
[352](#), [356](#), [357](#), [357](#), [357](#), [357](#), [357](#), [870](#), [870](#), [1507](#), [1507](#), [1510](#), [1511](#).

Time of Troubles, Russia  
[628](#), [630](#), [633](#).

Timesitheus, Caius Furius, Roman praetorian prefect  
[257](#).

Timex  
[2797](#).

Timișoara;  
[3254](#), [3255](#), [3256](#).

Timocrates of Rhodes, envoy  
[199](#).

Timok coal basin, Serbia  
[1289](#).

Timok Rebellion, Serbia  
[1288](#).

Timoleon of Corinth, Syracusan leader  
[204](#), [204](#).

Timor  
[840](#), [1412](#), [2627](#), [2644](#).

Timotheus, Athenian leader  
[202](#).

Timurids  
[307](#), [307](#), [307](#), [307](#), [307](#), [308](#), [308](#), [308](#), [320](#).

Timur-i Lang, Tamerlane  
[281](#), [306](#), [307](#), [307](#), [307](#), [310](#), [312](#), [312](#), [320](#), [334](#), [376](#), [568](#), [575](#), [830](#).

Timur Shah, ruler of Afghanistan  
[819](#), [819](#).

Timur-Tash, Mongol leader  
[307](#).

Tinchebray, battle of  
[444](#).

Tin Darwaza, Ahmadabad  
[334](#).

Tingitana  
[248](#).

Tinoco, Federico, Costa Rican leader  
[2286](#), [2286](#).

Tinta  
[913](#).

Tintoretto, Jacopo Robusti  
[607](#).

Tio kingdom  
[885](#).

Tipitaka, Buddhist scriptures  
[844](#).

Tippecanoe, battle of  
[1571](#).

Tipperary, insurrection in  
[1861](#).

Tippu Tip  
[1539](#), [1540](#).

Tipu Sultan, ruler of Mysore  
[836](#), [836](#).

Tiradentes  
*See [Silva Xavier, Joaquim José da, Brazilian leader](#)*.

Tirana, treaties of  
[2138](#), [2139](#), [2140](#), [2142](#), [3203](#), [3203](#), [3205](#).

Tirana, State University of  
[3200](#).

Tirhut  
[324](#).

Tiridates, king of Parthia  
[248](#), [272](#).

Tiridates III, king of Armenia  
[272](#), [272](#).

Tirlement, battle of  
[1789](#).

Tirnovó  
[496](#), [497](#).

Tirpitz, Alfred von, German admiral  
[1123](#), [1237](#), [1741](#), [1762](#).

Tirso de Molina, Spanish playwright  
[604](#).

Tirujnana Sambandhar, Tamil saint  
[326](#).

Tiruvalluvar  
[133](#).

Tiruvannamalai

[337](#).

Tiryns  
[170](#), [171](#), [171](#), [190](#).

Tirzah  
[104](#).

Tiso, Josef, Slovakian leader  
[2020](#), [2021](#), [3122](#).

Tissaphernes  
[199](#), [199](#), [199](#).

Tisza, Stefan  
[1140](#), [1140](#).

Tisza, Kálmán, Hungarian leader  
[1246](#).

Tisza River  
[428](#), [491](#), [493](#).

Titian, Italian artist  
[607](#).

Titicaca Plateau  
[570](#).

Tito, Marshal, Josip Broz  
[2135](#), [2135](#), [2637](#), [2654](#), [2708](#), [2710](#), [2711](#), [2712](#), [2713](#), [2713](#), [2714](#), [2717](#), [2720](#),  
[2723](#), [3093](#), [3126](#), [3128](#), [3147](#), [3164](#), [3164](#), [3166](#), [3166](#), [3166](#), [3167](#), [3167](#), [3167](#),  
[3167](#), [3167](#), [3169](#), [3169](#), [3170](#), [3171](#), [3172](#), [3172](#), [3172](#), [3173](#), [3174](#), [3174](#), [3209](#),  
[3213](#); death, [3174](#).

Titokowaru, Maori leader  
[1503](#).

Titov, Gherman, astronaut  
[2703](#).

Titteri  
[1382](#).

Tittoni, Tommaso, Italian leader  
[1941](#).

Titu Cusi, Inca ruler  
[899](#).

Titu Mir, Bengali leader  
[1395](#).

Titus, Roman emperor  
[246](#), [251](#), [251](#), [251](#), [251](#), [252](#), [252](#).

Titus Aelius Caesar Antoninus  
*See* [Antoninus Pius, Roman emperor](#).

Titus Aurelius Antoninus Pius

*See* [Antoninus Pius, Roman emperor](#).

Titusville  
[981](#).

Tiwanaku  
[59](#).

Tiy, queen of Egypt  
[93](#).

Tizard, Catherine, New Zealand leader  
[4317](#).

Tjeb-neter  
[95](#).

Tjeker  
[93](#).

Tlaxcala  
[901](#), [901](#).

Tlaxcalans  
[570](#).

Tlemcen  
[293](#), [322](#), [323](#), [479](#), [826](#), [1375](#), [1381](#), [1382](#).

Toba, emperor of Japan  
[387](#), [570](#).

tobacco  
[582](#), [931](#), [1695](#); Spain, [868](#); North America, [924](#); Iran, [1351](#); Africa, [1548](#).

Tobacco Control Act, U.S.  
[2202](#).

tobacco industry  
[3436](#), [3437](#).

Tobago  
*See* [Trinidad and Tobago](#).

Tobajara Indians  
[916](#).

Tobin, Brian, Canadian leader  
[3458](#).

Tobolsk  
[2067](#).

Tobruk  
[1393](#), [2550](#), [2612](#), [2612](#), [2613](#), [2614](#).

Tobunku  
[843](#).

Tochari people  
[216](#).

Tocqueville, Alexis de, writer

[1036](#).

Todorov, Petko, writer

[1304](#).

Todorov, Stanko, Bulgarian leader

[3238](#), [3239](#).

Toggenburg

[546](#).

Togliatti, Palmiro, Italian leader

[2927](#).

Togo

[1516](#), [1517](#), [2554](#), [2555](#), [2558](#), [2636](#), [4324](#), [4325](#), [4386](#), [4386](#), [4386](#), [4387](#), [4389](#);  
WWI, [1768](#); independence, [4386](#).

Tg, Heihachiro

[1463](#).

Togoland

[954](#), [955](#). *See* [Togo](#).

Tohu, Maori leader

[1503](#).

To' Janggut, Haji Mat Hassan

[2455](#).

Tojibids of Saragossa

[475](#).

Tju, Nakae, Japanese philosopher

[859](#).

Tokayev, Kasymzhomart, Kazakh leader

[3338](#).

Tokelau Islands

[1477](#), [1478](#).

Tokés, László, Romanian leader

[3254](#).

Tokharians

[368](#).

Toktu, Bulgarian ruler

[440](#).

Tokugawa, Iyesato, Japanese prince

[2501](#).

Tokugawa family

[859](#), [859](#), [861](#).

Tokugawa (Edo) period

[576](#), [856](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [859](#), [860](#), [860](#), [861](#), [861](#), [861](#), [861](#), [861](#), [1447](#),

2510.

Tokyo

858, 859, 1418, 1425, 1447, 1449, 1450, 1452, 1454, 1454, 1463, 1466, 2460, 2480, 2491, 2499, 2503, 2510, 2511, 2516, 2523, 2523, 2625, 2625, 2627, 2631, 2645, 2661, 2682, 4209, 4223, 4235, 4246, 4248, 4248; Imperial Hotel, 2502; summit conference on Malaysia, 4107.

Tokyo Bay

163, 2523, 2523, 2631, 2634.

Tokyo University

1452.

Tolbert, William, Liberian leader

4355, 4355.

Tolbiac

407.

Toledo

418, 419, 419, 475, 476, 479, 479, 601, 602, 604, 1929.

Toledo, Alejandro, Peruvian leader

3566, 3566.

Toledo, Francisco Alvarez de, Spanish colonial administrator

899, 911.

Toledo, synod of

418.

Tolentino

1033.

Tolentino, treaty of

1009.

Toleration Act, England

679.

Tolkappiyam

133.

Tolmides, Athenian general

192.

Tolmino, battle of

1799.

Tolpuddle Martyrs

1048.

Tolsá, Manuel, Spanish artist

912.

Tolstoy, Dmitri

1259.

Tolstoy, Leo, writer



[1258](#).  
Toltecs  
[55](#), [570](#), [570](#).  
Tomaszewski, Janusz  
[3118](#).  
Tombalbaye, François, Chadian leader  
[4336](#).  
tomb paintings  
[93](#).  
Tomislav, king of Croatia  
[494](#).  
Tomoatsu, Godai, Japanese leader  
[1442](#).  
Tomomi, Iwakura  
[1450](#).  
Ton Duc Thong, Vietnamese leader  
[4271](#).  
Tonga  
[52](#), [864](#), [864](#), [865](#), [1476](#), [1476](#), [1476](#), [1477](#), [1477](#), [1478](#), [1478](#), [4287](#), [4287](#).  
Tonga Plateau  
[1546](#).  
Tongguk t'onggam, Comprehensive Mirror of the Eastern Kingdom  
[855](#).  
Tonghak movement, Korea  
[1420](#), [1429](#), [1432](#), [1432](#), [1432](#), [1432](#), [1432](#), [1456](#).  
Tongking  
*See* [Tonkin](#).  
Tongmenghui, Chinese revolutionary group  
[1424](#).  
Tongzhi reign  
[1417](#), [1418](#).  
Tongzhou  
[2476](#).  
Tonkin  
[155](#), [1194](#), [1409](#), [1418](#), [1419](#), [1419](#), [1423](#), [1473](#), [1473](#), [1474](#), [1474](#), [1475](#), [1475](#), [1475](#),  
[2524](#), [2529](#).  
Tonkin Free School  
[2524](#).  
Tonkin Gulf Resolution  
[4264](#), [4272](#).  
Tonsi movement

[2569](#).  
Tonti, Lorenzo, creator of life insurance system  
[711](#).  
Tonton Macoutes, Haiti  
[3745](#), [3748](#).  
toolmaking  
[19](#), [19](#), [19](#), [23](#), [25](#), [25](#), [28](#), [30](#), [36](#).  
tools  
[67](#).  
Topete y Carballo, Juan Bautista, Spanish leader  
[1199](#).  
Topkapi Palace, New Palace  
[314](#), [1334](#).  
Toprakkale  
*See* [Rusahinili](#).  
Toramana, ruler of India  
[324](#).  
Torbay  
[677](#).  
Tordesillas, treaty of  
[572](#), [916](#).  
Torfœus, Thormod, Icelandic writer  
[775](#).  
Torgau  
[664](#), [2621](#).  
Torgyan, Jozsef, Hungarian leader  
[3158](#), [3158](#).  
Toriello, Jorge, Guatemalan leader  
[2278](#).  
Tories, Canada  
[1625](#).  
Tories, England  
[675](#), [1046](#), [1046](#), [1047](#).  
Tornea River  
[1026](#).  
Törngren, Ralph, Finnish leader  
[3074](#), [3074](#).  
Toro, battle of  
[525](#), [529](#).  
Toro, David, Bolivian leader  
[2255](#), [2255](#).

Torone

[182.](#)

Toronto

[1623](#), [1625](#), [1625](#), [1625](#), [1629](#), [2684](#), [3443](#), [3445](#), [3454](#).

Toronto Blue Jays

[3458](#).

Toronto Society of Artists

[1631](#).

Toronto Women's Literary Club

[1632](#).

Torp, Oscar

[3056](#), [3057](#).

Torquay

[2640](#).

Torralba

[22](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 77

- Torre, Miguel de la, Venezuelan leader  
[2259](#).
- Torrejón  
[2904](#).
- Torres, Juan José, Bolivian leader  
[3542](#), [3543](#).
- Torres Strait  
[1494](#).
- Torres Strait Islanders  
[4310](#), [4310](#).
- Torre Tagle, marquis de, colonial administrator  
[1649](#).
- Torrijos Herrera, Omar, Panamanian leader  
[3640](#), [3641](#), [3642](#), [3642](#), [3642](#), [3642](#).
- Torstenson, Lennart, Swedish commander  
[622](#), [622](#), [622](#), [622](#).
- Tortosa  
[477](#).
- Tosa  
[1441](#), [1448](#), [1450](#).
- Tosa school of painting  
[396](#).
- Toshev, Andrey, Bulgarian leader  
[2167](#).
- Toshimichi, kubo, Japanese leader  
[1447](#), [1448](#), [1449](#), [1450](#), [1452](#).
- Tosta, Vicente, Honduran leader  
[2288](#).
- Tostig, earl of Northumbria

[422](#), [422](#), [423](#).  
totalitarianism  
[1814](#), [1829](#).  
Toth, Nicholas, archaeologist  
[19](#).  
Totonac, Mexican Indians  
[901](#).  
Tott, François de  
[809](#).  
Tottleben, Gottlob Heinrich, Russian general  
[664](#).  
Touat  
[1377](#).  
Toul  
[615](#), [624](#), [707](#).  
Toulon  
[1005](#), [1005](#), [1917](#), [2586](#), [2607](#).  
Toulouse  
[403](#), [403](#), [418](#), [450](#), [451](#), [479](#), [511](#), [599](#), [2704](#).  
Toungoo, Burma  
[341](#), [844](#), [844](#), [845](#), [846](#), [4050](#), [4050](#).  
Toungoo dynasty  
[844](#), [846](#).  
Touraine  
[444](#), [445](#), [449](#), [449](#).  
Tourane  
[1473](#).  
Touré, Ahmed Sekou, Guinean leader  
[2636](#), [2644](#), [4324](#), [4346](#), [4346](#), [4347](#), [4347](#), [4347](#), [4347](#), [4347](#).  
Tournai  
[404](#), [407](#), [450](#), [649](#), [713](#).  
Tours  
[407](#), [1902](#), [2877](#); battle of, [419](#); Film Festival, [4320](#).  
Tourville, Anne-Hilarion de, French admiral  
[653](#), [654](#).  
Toussaint L'Ouverture, Pierre Dominique, Haitian leader  
[1696](#), [1696](#), [1696](#).  
Tovio, Herman Toivo ja, Namibian leader  
[4470](#).  
Tower of Babel  
[85](#).

Tower of London

[444](#), [514](#), [515](#), [585](#), [591](#); confinement of the princes, [516](#).

Town, Ithiel, designer of truss bridge

[983](#).

Town and Country Planning Act

[2760](#).

Towner, Horace, U.S. leader

[2309](#).

Townshend, viscount, Charles, British leader

[683](#).

Townshend Acts, England

[942](#).

Towton, battle of

[515](#).

Toynbee, Arnold J., historian

[1815](#).

Toyota

[2640](#).

Toyotomi family

[859](#).

Trabzon

[1328](#).

tractors

[988](#).

trade

[74](#), [84](#), [91](#), [98](#), [103](#), [104](#), [129](#), [129](#), [133](#), [135](#), [135](#), [135](#), [135](#), [135](#), [135](#), [169](#), [171](#), [171](#), [208](#), [223](#), [260](#), [271](#), [460](#), [695](#), [1392](#), [1874](#), [2073](#), [2198](#), [2229](#), [2694](#), [2696](#), [2696](#), [2730](#), [2748](#), [2772](#); prehistoric, [42](#), [42](#), [46](#); Africa, [43](#), [43](#), [43](#), [44](#), [45](#), [45](#), [45](#), [45](#), [343](#), [343](#), [343](#), [343](#), [344](#), [344](#), [344](#), [344](#), [344](#), [344](#), [344](#), [344](#), [345](#), [345](#), [346](#), [346](#), [347](#), [348](#), [350](#), [351](#), [351](#), [351](#), [351](#), [351](#), [352](#), [355](#), [356](#), [358](#), [358](#), [359](#), [360](#), [360](#), [362](#), [362](#), [362](#), [363](#), [363](#), [363](#), [363](#), [364](#), [364](#), [364](#), [366](#), [579](#), [869](#), [869](#), [870](#), [871](#), [873](#), [875](#), [879](#), [880](#), [884](#), [885](#), [885](#), [885](#), [885](#), [886](#), [887](#), [887](#), [887](#), [888](#), [888](#), [889](#), [890](#), [890](#), [892](#), [892](#), [1506](#), [1506](#), [1513](#), [1514](#), [1515](#), [1515](#), [1516](#), [1528](#), [1528](#), [1528](#), [1529](#), [1529](#), [1538](#), [1539](#), [1539](#), [1546](#), [1549](#), [2558](#), [2558](#); Asia, [48](#), [51](#), [52](#); China, [49](#), [373](#), [1415](#), [1416](#), [1416](#), [1422](#), [1424](#); Southeast Asia, [51](#), [329](#), [339](#), [340](#), [1402](#), [1410](#), [4047](#), [4047](#); India, [51](#), [1395](#), [1397](#); Mesoamerica, [54](#); ancient Egypt, [90](#); Syria–Palestine, [101](#); Phoenicia, [108](#); Arabia, [126](#), [286](#); Roman Republic, [229](#); Roman Empire, [239](#); postclassical period, [278](#), [281](#), [281](#), [281](#), [282](#), [282](#); Portugal, [281](#), [337](#), [1064](#); disease, [282](#); Islamic area, [285](#); Fatimids, [317](#); Mamluks, [320](#); Japan, [390](#), [396](#), [1437](#), [1438](#), [1440](#), [1446](#), [1447](#), [1457](#); Europe, [400](#), [400](#), [406](#); Vikings, [426](#); Scandinavia, [426](#), [1076](#), [1247](#); Byzantium, [436](#), [438](#), [438](#); England, [444](#), [444](#), [585](#), [674](#); Venice, [473](#), [473](#), [473](#), [473](#),

[538](#), [538](#); Russia, [488](#), [488](#), [488](#); Germany, [548](#), [548](#), [548](#), [1237](#); 1500–1800, [579](#), [579](#), [581](#), [582](#); Western Hemisphere, [579](#); Netherlands, [596](#), [596](#), [1057](#); Spain, [601](#); Portugal 1500s, [605](#), [643](#); Thirty Years' War, [644](#), [644](#); 17th and 18th centuries, [645](#), [711](#); France 1700s, [717](#), [717](#); Portugal 1600s–1700s, [727](#), [728](#), [730](#); Italy 1600s–1700s, [735](#); Switzerland 1600s–1700s, [748](#); Prussia, [754](#); Sweden 1700s, [762](#); Iceland, [774](#), [774](#), [775](#), [1077](#), [1077](#); Russia 1700s, [786](#); Middle East 1500–1800, [791](#); Iran 1500s–1600s, [813](#), [814](#), [814](#), [815](#), [816](#), [816](#); Morocco, [823](#), [825](#), [1375](#), [1376](#); North Africa, [827](#); India 1500–1800, [830](#); Southeast Asia 1500–1800, [837](#), [837](#), [837](#), [840](#), [840](#), [840](#), [844](#), [847](#), [847](#), [847](#), [847](#); China 1500–1800, [853](#); Korea 1500–1800, [855](#); Japan 1500–1800, [857](#), [859](#), [861](#); Vietnam 1500–1800, [863](#), [863](#); Philippines 1500–1800, [867](#), [867](#), [867](#), [868](#), [868](#); 18th century, [906](#); Americas, [911](#), [911](#), [911](#), [918](#), [918](#); North America, [921](#), [932](#), [939](#), [939](#), [939](#), [993](#); American colonies, [941](#), [942](#), [943](#), [944](#); Great Britain, [953](#), [1047](#), [1047](#), [1051](#), [1158](#), [1181](#), [1394](#); France, [953](#), [1005](#), [1020](#), [1181](#), [1195](#); 1800–1914, [959](#), [961](#), [961](#), [961](#), [977](#), [1026](#), [1100](#), [1100](#); Ireland, [1051](#); Low Countries, [1053](#); Italy, [1066](#); Denmark, [1077](#); Belgium, [1171](#); Sweden, [1247](#), [1248](#); Norway, [1248](#); Greece, [1272](#); Serbia, [1288](#); Romania, [1317](#); Middle East and North Africa, [1327](#); eastern Mediterranean, [1329](#), [1329](#); Ottoman Empire, [1331](#), [1335](#); Egypt, [1366](#), [1366](#), [1372](#); Tunisia, [1386](#), [1387](#); Libya, [1392](#), [1392](#); Burma, [1402](#); Siam, [1405](#); Pacific Islands, [1476](#), [1476](#); Philippines, [1486](#), [1486](#); Australia, [1494](#), [1497](#), [1498](#); New Zealand, [1500](#), [1500](#), [1503](#); U.S., [1565](#), [1569](#), [1570](#), [1571](#), [1599](#), [1604](#); restraint of, [1618](#); Canada, [1628](#), [1629](#); Latin America, [1642](#), [1644](#), [1657](#), [1658](#), [1670](#), [2238](#), [3628](#), [3629](#), [3661](#), [3674](#), [3700](#); protectionism, [1700](#); international institutions after WWII, [1700](#); international, [1720](#); neomercantilism, [1848](#), [1849](#); summit, [2692](#); Common Market, [2700](#); postwar Europe, [2737](#); postwar Great Britain, [2759](#); Europe–South America, [3628](#). *See* [tariffs](#).

trademark laws

[1180](#).

Trades and Labor Congress, Canada

[1635](#), [1639](#), [3446](#).

Trades Disputes Act, Great Britain

[1163](#).

Trades Disputes Act of 1927

[2759](#).

Trades Union Congress, TUC

[1159](#), [1161](#), [1162](#), [1780](#).

Trade Union Act, Egypt

[2368](#).

Trade Union Act, Great Britain

[1160](#), [1846](#).

Trade Union Act, Ireland

[1880](#).

Trade Union Bill, Great Britain  
[2781](#), [2793](#).

Trade Union Congress, Limoges  
[1195](#).

Trade Union Council, Great Britain  
[1844](#).

trade unions  
*See* [labor](#); [labor movements](#); [strikes](#); [unions](#).

Trade Unions Act of 1927, Great Britain  
[1844](#).

Trading-with-the-Enemy Act, U.S.  
[2188](#).

Trafalgar, battle of  
[726](#), [1023](#).

Traianus, Marcus Ulpius  
*See* [Trajan, Roman emperor](#).

Traikutaka dynasty  
[133](#).

Trailokanat, king of Siam  
[847](#).

Trajan, Roman emperor  
[246](#), [246](#), [246](#), [253](#), [253](#), [253](#), [253](#), [253](#).

Trajkovski, Boris, Macedonian leader  
[3197](#).

Trancu-Iasi Law  
[2176](#).

Trần dynasty  
[398](#), [398](#), [399](#), [399](#).

Transalpine Gaul  
[235](#), [248](#).

transatlantic cable  
[989](#).

transatlantic shipping  
[961](#).

Transbaikal-Amur Railway  
[3292](#).

Transcaspian region  
[1259](#).

Transcaucasia  
[427](#), [429](#), [438](#), [489](#), [1258](#), [2066](#), [2069](#); WWI, [1774](#).

Transcaucasian Soviet Socialist Republic





[757](#), [757](#), [757](#), [757](#), [758](#), [758](#), [793](#), [795](#), [798](#), [803](#), [804](#), [805](#), [1073](#), [1238](#), [1318](#), [1779](#), [2023](#), [2023](#), [2174](#), [2174](#), [2635](#), [3142](#), [3246](#), [3254](#); WWI, [1742](#), [1742](#), [1760](#), [1787](#), [1806](#), [1806](#).

Transylvania Company

[941](#).

Transylvania settlement, Kentucky

[941](#).

Trần Thieu Khiem, Vietnamese leader

[4265](#).

Trần Trong Kim, Vietnamese leader

[2529](#).

Trần Van Giau, Vietnamese leader

[2526](#).

Trần Van Huong, Vietnamese leader

[4265](#), [4266](#).

Tran Xuan Bach, Vietnamese leader

[4277](#).

Traore, Diarra, Guinean leader

[4348](#).

Traore, Moussa, Malian leader

[4361](#), [4361](#), [4361](#), [4362](#), [4362](#), [4363](#).

Trappists, Africa

[1543](#), [1547](#).

Trautmanssdorf, Maximilian von, Austrian envoy

[624](#).

Travancore

[836](#).

Travnik

[1335](#).

treaties of Breda

[595](#).

treaties of Brest-Litovsk

[1782](#).

treaties of the Baltic Entente

[2084](#).

treaty of 1221

[507](#).

treaty of 1537

[628](#).

treaty of 1639

[807](#).

treaty of 1746

[1328.](#)

treaty of 1800

[1565.](#)

treaty of 1819

[1567.](#)

treaty of 1818

[1641.](#)

Treaty of Accession to the European Communities

[2733.](#)

Treaty of Annexation, Korea

[2488.](#)

Treaty of Apamea

[233.](#)

Treaty of Federation

[1411.](#)

Treaty of Guarantee

[3808.](#)

Lausanne, Treaty of

[1712.](#)

Treaty of Miletus

[198.](#)

Treaty of Misenum

[242.](#)

Treaty of Naupactus

[232.](#)

Treaty of Neuilly

[2160.](#)

Treaty of Peace

[1774.](#)

Treaty of Principles Governing the Activities of States in the Exploration and Use of Outer Space

[2664, 3281.](#)

Treaty of Tarentum

[242.](#)

Treaty of Trianon

[2024.](#)

treaty outlawing trade in endangered species

[2670.](#)

Trebbia, battle of the

[1011.](#)

Trebizond, Trabzon  
[314](#), [503](#), [508](#), [564](#), [569](#).

Treckkopje, battle of  
[1768](#).

Treitschke, Heinrich von, historian  
[1235](#).

Trejos, José Joaquín, Costa Rican leader  
[3689](#).

Trekboers  
[1506](#).

Trench, battle of the  
[286](#).

trench warfare  
[1738](#).

Trengganu  
[1408](#), [1411](#), [1411](#).

Trengganu, ruler of Malaysia  
[4108](#).

Trent  
[408](#), [609](#), [609](#).

Trentino  
[1219](#), [1746](#), [1746](#), [1746](#), [1756](#), [1757](#), [1757](#), [1771](#), [1778](#), [1785](#), [1804](#).

Trenton, battle of  
[948](#).

Trepani, battle of  
[474](#).

Trepov, Alexander, Russian leader  
[2063](#).

Trésaguet, P. M. J., French inventor  
[647](#).

Treshman, John, antiabortionist  
[2797](#).

Treveri  
[247](#), [251](#).

Trevithick, Richard, inventor  
[981](#), [989](#).

Triad guerrillas  
[1474](#).

Trials for Treason Act, England  
[681](#).

Triangle Shirtwaist fire, New York City

[1618](#).  
Trianon, treaty of  
[1787](#), [1787](#).  
Tribal Courts Law, Transjordan  
[2398](#).  
Tribal Disputes Regulation, Iraq  
[2401](#).  
Tribal National Volunteers, TNV  
[3980](#).  
tribes  
[14](#).  
Tribonian, jurist  
[260](#), [427](#).  
Tribunal del Consulado  
[911](#).  
Tribunal of Constitutional Guaranties  
[1927](#).  
Tribunal of the Holy Office, Italy  
[740](#).  
Tribunate, France  
[1013](#), [1019](#).  
Tribur  
[415](#).  
Trichet, Jean-Claude, financier  
[2754](#).  
Trichinopoly  
[133](#), [326](#), [336](#).  
Tricoupis, Charilaos, Greek leader  
[1304](#).  
Tridentine decrees, reform of Roman Catholic Church  
[609](#), [609](#).  
Tridentum  
*See* [Trent](#).  
Triennial Act, England  
[591](#), [680](#).  
Trier  
[260](#), [401](#), [409](#), [459](#), [523](#), [541](#), [614](#), [653](#), [2619](#), [2621](#).  
Trieste  
[1219](#), [1568](#), [1746](#), [1746](#), [1757](#), [1771](#), [1778](#), [1785](#), [1960](#), [2135](#), [2635](#), [2713](#), [2713](#),  
[2713](#), [2714](#), [2926](#), [2931](#), [2932](#), [3167](#).  
Trimble, David, Irish leader

[2815](#), [2816](#).  
Trincomalee, naval base  
[4027](#).  
Trinh family  
[863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#).  
Trinidad  
[572](#), [895](#), [907](#), [1018](#), [2587](#), [2599](#), [3756](#), [3756](#).  
Trinidad and Tobago  
[1032](#), [2656](#), [3756](#), [3756](#), [3757](#), [3757](#), [3757](#), [3761](#), [3761](#).  
Trinitarians  
[672](#).  
Trinity College, Dublin  
[594](#).  
Trinity College Medical School, Dublin  
[699](#).  
Triparadeisus  
[209](#).  
Tripartite Intervention, in China  
[1421](#), [1423](#), [1457](#).  
Tripartite Pact  
[2519](#), [2520](#), [2624](#).  
Tripartite Treaty of Alliance  
[2345](#).  
Tripartitum, constitution of Hungary  
[635](#).  
Tripitaka, Three Baskets  
[129](#), [134](#), [158](#).  
Triple Alliance  
[649](#), [650](#), [675](#), [704](#), [1111](#), [1114](#), [1117](#), [1117](#), [1118](#), [1120](#), [1123](#), [1126](#), [1126](#), [1131](#),  
[1137](#), [1140](#), [1235](#), [1243](#), [1746](#), [1746](#), [1841](#), [1941](#); Mexica and chiefs of Tacuba and  
Texcoco, [570](#); Argentina, Brazil, Uruguay, [1660](#), [1665](#), [1667](#).  
Tripoli  
[287](#), [318](#), [322](#), [474](#), [505](#), [505](#), [601](#), [806](#), [826](#), [826](#), [826](#), [826](#), [826](#), [827](#), [827](#), [827](#), [827](#),  
[828](#), [829](#), [971](#), [979](#), [1125](#), [1126](#), [1133](#), [1135](#), [1137](#), [1225](#), [1332](#), [1335](#), [1392](#), [1392](#),  
[1392](#), [1392](#), [1392](#), [1392](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#), [1393](#), [1507](#), [1507](#), [1508](#), [2379](#),  
[2405](#), [2615](#), [3948](#); treaties with Tripoli, [828](#); and Italy, [1348](#).  
Tripoli Charter  
[3841](#).  
Tripoli conference  
[3929](#).  
Tripolitania

[322](#), [828](#), [1392](#), [2431](#), [2431](#), [2431](#), [3947](#), [3947](#), [3947](#).  
Tripolitanian Republic  
See [Libya](#).  
Tripolitan War  
[979](#), [1135](#), [1136](#), [1136](#), [1225](#), [1225](#), [1308](#), [1568](#).  
Tripolitsa  
[1272](#).  
Tripura  
[3976](#), [3980](#).  
Tripuri  
[2445](#).  
Tristram, Nuño, explorer  
[281](#).  
Triumvirates, Roman  
[240](#), [241](#), [242](#), [246](#).  
Triumvirs, France  
[1009](#).  
Troas  
[111](#).  
Trochu, Louis Jules, French general  
[1187](#).  
Troezen  
[178](#), [193](#).  
Trojan Cycle  
[173](#).  
Trojan War  
[172](#), [173](#).  
Tromp, Maarten Harpertszoon, Dutch admiral  
[671](#).  
Trondheim, Norway  
[761](#), [2584](#).  
Tropical Oil Company  
[2267](#).  
Troppau  
[1045](#); protocol, [1045](#), [1066](#).  
Trotilon  
[184](#).  
Trotsky, Leon, Bronstein  
[1772](#), [1773](#), [1774](#), [1774](#), [2064](#), [2064](#), [2064](#), [2064](#), [2065](#), [2067](#), [2070](#), [2072](#), [2072](#),  
[2076](#), [2077](#), [2078](#), [2469](#), [2526](#).  
Trovoada, Miguel, leader of São Tomé and Príncipe

[4375](#), [4375](#), [4376](#).  
Troy  
[172](#), [173](#).  
Troy Aphrodite  
[173](#).  
Troyes  
[266](#), [402](#); synod, [507](#); treaty, [515](#), [522](#).  
Truce of God  
[466](#); and feudalism, [449](#).  
Truce of Nice  
[608](#), [615](#).  
Truce of Ulm  
[624](#).  
Trucial Coast  
[1360](#), [1362](#).  
Trucial Oman  
[3897](#).  
Trücklibund, secret Swiss-French agreement  
[749](#).  
Trudeau, Pierre Elliott, Canadian leader  
[3453](#), [3453](#), [3453](#), [3453](#), [3455](#), [3455](#), [3456](#), [3456](#), [3464](#).  
Trueba, Andres Martínez, Uruguayan leader  
[3528](#), [3528](#).  
True Path Party, Turkey  
[3799](#).  
True Pure Land Buddhism  
[395](#), [396](#), [396](#), [857](#).  
Truffaut, François, film director  
[2702](#).  
Trujillo, Rafael Leonidas, Dominican leader  
[902](#), [1649](#), [2261](#), [2314](#), [2314](#), [2314](#), [2314](#), [3735](#), [3735](#), [3735](#), [3735](#), [3736](#).  
Trujillo, Rafael L., Jr., Dominican leader  
[3736](#).  
Trujillo Molina, Hector, Dominican leader  
[3735](#).  
Truk, Micronesia  
[4284](#).  
Truman, Harry S., U.S. president  
[2215](#), [2216](#), [2216](#), [2216](#), [2621](#), [2634](#), [2645](#), [2682](#), [2711](#), [2766](#), [3208](#), [3390](#), [3390](#),  
[3390](#), [3391](#), [3391](#), [3391](#), [3392](#), [3393](#), [3393](#), [3393](#), [3393](#), [3393](#), [3394](#), [3394](#), [3394](#), [3394](#),  
[3395](#), [3395](#), [3730](#), [3854](#), [4141](#), [4194](#), [4195](#), [4195](#).



Truman Doctrine  
[2637](#), [3208](#), [3391](#), [3769](#).

Trung sisters  
[397](#).

Truong Chinh, Vietnamese leader  
[4271](#).

Truong Dinh, Vietnamese leader  
[1473](#).

Trusteeship Council  
[4283](#).

Trustenik  
[1306](#).

Trust Territory of the Pacific Islands, TTPI  
[4283](#).

Truter, Pieter Jan, explorer  
[1507](#).

Truth, Sojourner, U.S. reformer  
[1580](#).

Truth and Reconciliation Commission, South Africa  
[4485](#), [4487](#).

Tsakhiagiyn Elbegdorj, Mongolian leader  
[4187](#).

Tsaldaris, Panyotis, Greek leader  
[2152](#), [2153](#), [2153](#), [2154](#), [2154](#), [3207](#).

Tsankov, Alexander, Bulgarian leader  
[2162](#), [2162](#), [2165](#), [2166](#).

Tsarskoe Selo  
[1258](#), [2067](#).

Tsatsos, K., Greek leader  
[3223](#).

Tschermak, Erich, botanist  
[1153](#).

Tser, battle of the  
[1792](#).

Tsewang Rabdan, Olöt commander  
[852](#), [853](#).

Tshekedi Khama, regent of Bamangwato  
[2572](#).

Tshisekedi, Étienne, Congolese leader  
[4450](#), [4452](#).

Tshombe, Moise, Congolese leader

[4449](#), [4450](#), [4450](#).  
Tsimanatona, founder of Iboina state  
[892](#).  
Tsingtao  
[1768](#).  
Tsiranana, Philibert, Madagascan leader  
[4492](#).  
Tsunayoshi, Tokugawa, Japanese shogun  
[860](#), [860](#).  
Tsushima  
[163](#), [395](#), [395](#), [855](#), [975](#), [1262](#), [1442](#), [1463](#).  
Tswana people  
[1551](#), [1551](#).  
Tu-144  
[2704](#).  
Tuam  
[425](#).  
Tuamotu Islands  
[1476](#), [1477](#).  
Tuareg people  
[357](#), [1511](#), [2555](#), [4362](#).  
Tuat  
[1507](#).  
Tubal  
*See* [Tabal](#).  
Tubman, Harriet, U.S. black leader  
[1576](#).  
Tubman, William, Liberian leader  
[4355](#).  
Tucumán  
[900](#); congress, [1644](#).  
Tudeh Party, Iran  
[2344](#).  
Tudhaliyas II, Hittite king  
[113](#).  
Tudhaliyas III, Hittite king  
[113](#).  
Tudhaliyas IV, Hittite king  
[113](#).  
Tudjman, Franjo, Croatian leader  
[3176](#), [3190](#), [3192](#).

Tudor, Corneliu Vadim, Romanian leader  
[3260](#).

Tudor dynasty  
[515](#), [516](#), [516](#), [577](#), [585](#).

Tu-duc, emperor of Vietnam  
[1473](#), [1473](#), [1474](#), [1474](#), [1474](#), [1474](#), [1474](#).

Tuemman  
*See* [Tempt-Humban-Inshushinak, king of Elam](#).

Tughluk dynasty  
[332](#).

Tughril Beg, Seljuk leader  
[301](#), [301](#).

Tugwell, Rexford G., U.S. leader  
[2310](#).

Tuhfat al-Nafis, Malay history  
[837](#).

Tuileries, Paris  
[1003](#).

Tujue  
[377](#), [378](#).

Tujie people  
[158](#).

Tuka, Voitech, Czech agitator  
[2016](#).

Tukaram, Hindu poet  
[833](#).

Tukhachevski, Michael, Russian commander  
[2077](#).

Tukulti-apal-eler  
*See* [Tiglath-Pileser I, king of Assyria and Babylonia](#).

Tukulti-Ninurta I, king of Assyria  
[86](#).

Tukulti-Ninurta II, king of Assyria  
[87](#).

Tula  
[55](#).

Tulagi  
[2628](#).

Tulip Period, Ottoman Empire  
[806](#), [807](#).

Tull, Jethro, English agriculturist

[647](#).  
Tullius Hostilius, legendary king of Rome  
[224](#).  
Tulsi Das, Hindu poet  
[580](#), [834](#).  
Tului, Mongol leader  
[374](#), [374](#).  
Tulul  
[86](#).  
Tulunid dynasty  
[296](#), [296](#), [317](#).  
Tumbes  
[898](#), [898](#), [898](#).  
Tumultuous Rising Act, Ireland  
[701](#).  
Tungabhadra River  
[327](#), [336](#), [337](#).  
Tungans  
[1418](#).  
Tungasuca  
[913](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 78

Tung Chee-hwa, Hong Kong leader

[4175](#).

Tungusic people

[164](#), [852](#).

Tunis

[322](#), [322](#), [323](#), [323](#), [452](#), [475](#), [479](#), [507](#), [602](#), [603](#), [797](#), [823](#), [826](#), [826](#), [826](#), [826](#), [827](#), [827](#), [827](#), [828](#), [828](#), [1108](#), [1110](#), [1111](#), [1193](#), [1384](#), [1387](#), [1387](#), [1387](#), [1390](#), [1390](#), [1391](#), [1391](#), [2427](#), [2615](#), [3778](#), [3778](#), [3779](#), [3781](#), [3927](#); treaty with Great Britain, [828](#); treaty with the United States, [829](#).

Tunisia

[245](#), [289](#), [293](#), [293](#), [295](#), [321](#), [321](#), [321](#), [321](#), [322](#), [322](#), [322](#), [322](#), [323](#), [323](#), [323](#), [826](#), [826](#), [827](#), [827](#), [828](#), [828](#), [828](#), [954](#), [962](#), [1327](#), [1383](#), [1385](#), [1385](#), [1385](#), [1387](#), [1387](#), [1387](#), [1387](#), [1388](#), [1389](#), [1389](#), [1390](#), [1390](#), [1391](#), [1391](#), [1392](#), [1392](#), [1392](#), [1706](#), [1836](#), [1932](#), [1956](#), [2426](#), [2426](#), [2426](#), [2429](#), [2636](#), [2847](#), [2848](#), [2855](#), [3769](#), [3770](#), [3772](#), [3919](#), [3927](#), [3940](#), [3940](#), [3940](#), [3940](#), [3941](#), [3942](#), [3942](#), [3943](#), [3943](#), [3943](#), [3943](#), [3944](#), [3945](#), [3946](#), [3946](#); economy, [323](#); war with France, [828](#); and France, [1345](#), [2426](#), [2426](#), [2426](#), [2426](#), [2427](#), [2428](#), [3940](#), [3940](#), [3941](#), [3941](#), [3942](#), [3942](#), [3943](#), [3943](#); and Algeria, [1381](#); bankruptcy of, [1390](#); French protectorate in, [1390](#); WWII, [2615](#), [2615](#), [2615](#), [2615](#); independence, [3941](#), [3941](#); Republic, [3942](#).

tunnels

[983](#).

Tuoba people

[158](#), [159](#).

Tuoba Wei dynasty

[158](#), [367](#).

Tuol Sleng, prison


[4091](#).

Túpac Amaru, Inca ruler

[899](#), [913](#).

Tupac Amará, Peruvian revolutionary

[957](#).  
Túpac Amaru II, Latin American rebel  
[913](#).  
Túpac Amaru, Andrés, Latin American rebel  
[913](#).  
Túpac Amaru, Mariano, Latin American rebel  
[913](#).  
Tupac Amaru Revolutionary Movement, MRTA  
[3562](#), [3563](#).  
Túpac Inca, Inca king  
[570](#).  
Túpac Inca Yupanqui, Inca leader  
[570](#).  
Túpac Katari, Latin American rebel  
[913](#).  
Tupamaros, Uruguay  
[3529](#), [3530](#), [3530](#), [3530](#), [3531](#).  
Tupi Indians  
[570](#), [915](#), [915](#), [916](#).  
Tupper, Charles  
[1637](#).  
Turan, Baluchistan  
[272](#).  
Turati, Filippo, journalist  
[1220](#).  
Turbay Ayala, Julio César, Colombian leader  
[3579](#).  
Turco-Greek War  
[1708](#).  
Turenne, vicomte de, Henri de la Tour d'Auvergne, French marshal  
[622](#), [622](#), [622](#), [623](#), [624](#), [649](#), [650](#), [652](#), [652](#), [710](#).  
Turgenev, Ivan, writer  
[1258](#).  
Turghut  
*See* [Draghut, corsair](#).  
Turgot, Robert, French leader  
[645](#), [717](#).  
Turin  
[228](#), [403](#), [408](#), [408](#), [608](#), [608](#), [656](#), [658](#), [738](#), [1215](#), [1941](#), [1944](#), [2944](#); treaty of, [1212](#).  
Turin Canon  
[90](#).

Türke , Alparslan, Turkish leader  
[3794](#), [3799](#).

Turkestan  
[129](#), [155](#), [155](#), [331](#), [853](#), [853](#), [1258](#), [1416](#).

Turkey  
[18](#), [25](#), [36](#), [305](#), [433](#), [584](#), [584](#), [659](#), [758](#), [777](#), [806](#), [955](#), [958](#), [961](#), [979](#), [1338](#), [1341](#),  
[1356](#), [1703](#), [1706](#), [1706](#), [1708](#), [1711](#), [1723](#), [1725](#), [1728](#), [1738](#), [1738](#), [1738](#), [1738](#),  
[1738](#), [1738](#), [1738](#), [1738](#), [1830](#), [1831](#), [1853](#), [2142](#), [2145](#), [2317](#), [2317](#), [2317](#), [2318](#),  
[2319](#), [2321](#), [2321](#), [2321](#), [2322](#), [2322](#), [2322](#), [2323](#), [2325](#), [2325](#), [2325](#), [2325](#), [2327](#),  
[2328](#), [2329](#), [2330](#), [2331](#), [2331](#), [2332](#), [2333](#), [2333](#), [2333](#), [2333](#), [2346](#), [2357](#), [2363](#), [2372](#),  
[2376](#), [2377](#), [2404](#), [2410](#), [2434](#), [2537](#), [2551](#), [2636](#), [2637](#), [2643](#), [2647](#), [2654](#), [2661](#),  
[2698](#), [2700](#), [2710](#), [2711](#), [2711](#), [2714](#), [2718](#), [2724](#), [2741](#), [2745](#), [2754](#), [2756](#), [2997](#),  
[3023](#), [3024](#), [3037](#), [3130](#), [3139](#), [3167](#), [3167](#), [3168](#), [3168](#), [3208](#), [3213](#), [3216](#), [3222](#),  
[3231](#), [3232](#), [3233](#), [3239](#), [3244](#), [3250](#), [3259](#), [3308](#), [3350](#), [3357](#), [3379](#), [3391](#), [3768](#),  
[3769](#), [3770](#), [3771](#), [3782](#), [3785](#), [3786](#), [3787](#), [3787](#), [3790](#), [3790](#), [3790](#), [3791](#), [3792](#),  
[3793](#), [3794](#), [3794](#), [3795](#), [3796](#), [3797](#), [3797](#), [3799](#), [3801](#), [3801](#), [3802](#), [3803](#), [3803](#),  
[3803](#), [3803](#), [3804](#), [3805](#), [3805](#), [3805](#), [3807](#), [3808](#), [3809](#), [3809](#), [3810](#), [3810](#), [3811](#),  
[3811](#), [3812](#), [3812](#), [3843](#), [3885](#); military personnel in Tunisia, [1385](#), [1385](#), [1386](#);  
Republic, [1712](#), [1713](#); WWI, [1742](#), [1743](#), [1743](#), [1746](#), [1760](#), [1769](#), [1780](#), [1782](#), [1783](#),  
[1788](#), [1788](#), [1788](#); and U.S., [2187](#), [3796](#); and France, [2323](#); and Great Britain, [2324](#);  
official beginning, [2325](#); secularization, [2326](#); civil service reforms, [2328](#); population  
makeup, [2329](#), [3790](#); language reform, [2330](#); education, [2330](#); economic planning,  
[2330](#); Five-Year Plan, [2330](#); Law of Municipalities, [2330](#); names, [2332](#); WWII, [2333](#),  
[2610](#), [2612](#), [2616](#), [2632](#); postwar, [2636](#); Cypriots, [2672](#); invasion of Cyprus, [3768](#);  
economic change 1950s to 1990s, [3790](#), [3796](#); depoliticization, [3790](#); army  
intervention, [3792](#), [3796](#), [3797](#); student unrest, [3792](#); opium, [3796](#); and Russia, [3797](#).  
*See* [Greek-Turkish relations](#); [Turkish-Greek relations](#); [Turkish-Iranian relations](#).

Turkhan Pasha, Albanian leader  
[2136](#).

Turki ibn Abdallah, Saudi emir  
[1359](#).

Turki ibn Sa'id, ruler of Muscat and Oman  
[1361](#).

Türk I , Turkey  
[3789](#).

Turkish Cypriots  
[3797](#), [3806](#), [3807](#), [3808](#), [3809](#), [3809](#), [3809](#), [3809](#), [3810](#), [3810](#), [3810](#).

Turkish-Greek relations  
[2322](#), [2330](#).

Turkish Hearth, nationalist society  
[1348](#).

Turkish Historical Society  
[2327](#).

Turkish Homeland Society  
[1348](#).

Turkish-Iranian relations  
[2331](#).

Turkish Islamic Welfare Party  
[3802](#).

Turkish Linguistic Society  
[2330](#).

Turkish Workers Party  
[3789](#), [3796](#).

Turkmanchai, treaty of  
[1258](#), [1349](#).

Turkmenistan  
[955](#), [2071](#), [2076](#), [3303](#), [3304](#), [3304](#), [3377](#), [3379](#), [3836](#); sovereignty, [3301](#), [3377](#).

Turko-Iranian relations  
[2341](#).

Turkomans  
[301](#), [301](#), [301](#), [301](#), [303](#), [305](#), [305](#), [305](#), [306](#), [306](#), [306](#), [306](#), [307](#), [307](#), [307](#), [307](#), [309](#),  
[309](#), [310](#), [312](#), [312](#), [314](#), [314](#), [316](#), [318](#), [318](#), [318](#), [318](#), [793](#), [812](#), [812](#), [813](#), [817](#).

Turks  
[274](#), [275](#), [275](#), [278](#), [281](#), [281](#), [281](#), [285](#), [291](#), [294](#), [295](#), [295](#), [296](#), [297](#), [299](#), [299](#), [300](#),  
[300](#), [301](#), [301](#), [301](#), [301](#), [302](#), [302](#), [305](#), [306](#), [307](#), [308](#), [309](#), [309](#), [309](#), [309](#), [310](#), [310](#),  
[312](#), [313](#), [317](#), [317](#), [319](#), [319](#), [324](#), [325](#), [331](#), [332](#), [332](#), [332](#), [333](#), [334](#), [335](#), [367](#), [368](#),  
[368](#), [368](#), [368](#), [369](#), [374](#), [468](#), [501](#), [501](#), [505](#), [507](#), [522](#), [532](#), [532](#), [532](#), [532](#), [536](#), [538](#),  
[538](#), [538](#), [538](#), [560](#), [560](#), [560](#), [561](#), [562](#), [563](#), [563](#), [563](#), [565](#), [567](#), [568](#), [568](#), [568](#), [568](#),  
[569](#), [569](#), [584](#), [601](#), [602](#), [607](#), [609](#), [609](#), [611](#), [611](#), [613](#), [614](#), [615](#), [615](#), [615](#), [616](#), [616](#),  
[631](#), [632](#), [632](#), [634](#), [635](#), [636](#), [779](#), [826](#), [826](#), [827](#), [1347](#), [1348](#), [1349](#), [1372](#), [1381](#),  
[3765](#); Uighurs, [368](#), [368](#). *See* [Oghuz Turks](#).

Turku  
[1080](#), [1080](#); Peace of, [766](#).

Turku, University of  
[766](#).

Turnbull, Malcolm, adviser  
[4310](#).

Turner, John, Canadian leader  
[3456](#), [3457](#).

Turner, Joseph Mallord William, artist  
[1037](#), [1046](#).

Turner, Nat, rebellion of



[1575](#).  
Turnovo  
[1298](#).  
Turquoise Land  
[91](#).  
Turtukaia  
[1139](#).  
Turush  
*See* [Etruscans](#).  
Tuscany  
[222](#), [408](#), [456](#), [458](#), [466](#), [469](#), [469](#), [470](#), [471](#), [534](#), [534](#), [534](#), [534](#), [534](#), [535](#), [535](#), [536](#),  
[536](#), [537](#), [612](#), [657](#), [660](#), [723](#), [744](#), [744](#), [744](#), [800](#), [1017](#), [1066](#), [1092](#), [1093](#), [1211](#),  
[1211](#), [1212](#).  
Tuscarora Indians  
[940](#), [946](#).  
Tusculum  
[229](#), [465](#), [466](#).  
Tushino  
[630](#).  
Tushpa  
[116](#), [117](#), [118](#), [118](#).  
Tushrata of Mitanni  
[113](#).  
Tushratta, king of Mitanni  
[86](#).  
Tutankhamen, king of Egypt  
[8](#), [93](#), [2354](#).  
Tutankhaten  
*See* [Tutankhamen, king of Egypt](#).  
Tuthmosis I, king of Egypt  
[93](#), [98](#).  
Tuthmosis II, king of Egypt  
[93](#), [93](#).  
Tuthmosis III, king of Egypt  
[86](#), [93](#), [103](#).  
Tutimaios  
*See* [Dudimose I, king of Egypt](#).  
Tutor, Julius, Gallic leader  
[251](#).  
Tutsis  
[362](#), [1506](#), [2644](#), [4409](#), [4410](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4412](#), [4413](#), [4413](#), [4414](#),

[4414](#), [4420](#), [4420](#), [4420](#), [4420](#), [4420](#), [4420](#), [4423](#), [4425](#), [4434](#), [4450](#), [4450](#), [4453](#), [4453](#),  
[4468](#).

Tutu, Desmond, South African leader  
[4485](#).

Tutuila Island  
[1478](#).

Tutush, Seljuk leader  
[318](#).

Tuvalu  
[865](#), [2697](#), [4284](#), [4287](#).

Tuve, M. A., radar researcher  
[1736](#).

Tuz Göl  
*See* [Salt Lake](#).

Tver  
[557](#), [558](#), [631](#); assembly of Russian gentry, [1259](#).

Tvrtko I, king of Serbia and Bosnia  
[563](#), [563](#).

Twain, Mark, writer  
[1600](#).

Tweed River  
[424](#), [449](#), [592](#).

Twelve Apostles  
*See* [Franciscans](#).

Twelve Apostles of Ireland, missionaries  
[425](#).

Twelve Articles, peasants' demands  
[614](#).

Twelve Articles of St. Wenceslas  
[1089](#).

Twelvers, Imami Shi'ites  
[293](#), [297](#), [2335](#).

Twelve Tables  
[223](#), [225](#), [239](#).

Twelve Years' Truce  
[595](#).

Twenty-one Demands, Japan to China  
[2461](#), [2495](#).

Two Sicilies  
[1066](#).

Tydings-McDuffie Act, U.S.

[2534](#).  
Tyler, John, U.S. president  
[1576](#), [1577](#).  
Tyler, Wat, English leader  
[514](#).  
Tylor, Edward  
[3](#).  
Tymff, master of the Polish mint  
[777](#).  
Tyndale, William, translator and printer of the Bible  
[587](#).  
Tyndaridas  
[191](#).  
Tyne  
[253](#).  
Tyne mouth  
[421](#).  
Tyre  
[87](#), [87](#), [88](#), [100](#), [103](#), [104](#), [105](#), [107](#), [108](#), [109](#), [109](#), [109](#), [109](#), [109](#), [109](#), [110](#), [206](#), [206](#), [209](#),  
[473](#), [505](#), [2379](#).  
Tyrol  
[544](#), [657](#), [1009](#), [1026](#), [1026](#), [2000](#), [2012](#). *See* [South Tyrol](#).  
Tyrone, earl of  
*See* [O'Neill, Hugh, earl of Tyrone, leader of Irish rebellion](#).  
Tyrrell, George, Irish theologian  
[1223](#).  
Tyrrhenian plain  
[222](#).  
Tytus, John B., engineer  
[1734](#).  
Tzannetakis, Tzannis, Greek leader  
[3226](#).  
Tzimisces, John  
*See* [John I \(Tzimisces\), Byzantine emperor](#).  
Tzotzil Indians  
[3711](#).

## U

U-2  
[3274](#).

U.9, German U-boat  
[1795](#).

Ualual  
[1952](#).

U Aung San, Burmese leader  
[4048](#), [4048](#), [4048](#), [4059](#).

Uaxactún  
[55](#).

Ubangi River  
[1135](#).

Ubangui-Shari  
[1544](#).

U Ba Swe, Burmese leader  
[4052](#), [4052](#), [4056](#).

Ubayd Allah, Isma'ili leader  
[297](#).

Übermensch, superman concept  
[1235](#).

Ubico, Jorge, Guatemalan leader  
[2278](#), [2278](#), [2278](#), [2279](#).

Uccialli, treaty of  
[1220](#), [1222](#).

Uch  
[331](#).

Uchale Treaty  
[1523](#).

Uda, emperor of Japan  
[386](#).

Udayadityavarman II, king of Angkor  
[340](#).

Udayagiri Hills  
[129](#).




Udayana Buddha  
[130](#).

Udi, Nigeria  
[2558](#).

Udjahorresenet, priest  
[95](#).

Ueno, battle of  
[1447](#).

Ufa, in Russian counterrevolution

[2067](#).  
Uffizi Museum, Florence  
[2947](#).  
Ugain people  
[439](#).  
Ugaki Kazushige, Japanese leader  
[2493](#), [2493](#), [2517](#), [2518](#).  
Uganda  
[362](#), [362](#), [883](#), [1123](#), [1176](#), [1508](#), [1535](#), [1535](#), [1536](#), [1536](#), [1536](#), [1536](#), [1537](#), [2565](#),  
[2566](#), [2567](#), [2567](#), [2567](#), [2697](#), [4320](#), [4320](#), [4325](#), [4326](#), [4327](#), [4344](#), [4360](#), [4408](#),  
[4410](#), [4411](#), [4420](#), [4423](#), [4424](#), [4425](#), [4426](#), [4428](#), [4429](#), [4429](#), [4430](#), [4430](#), [4431](#),  
[4431](#), [4431](#), [4434](#), [4435](#), [4444](#), [4453](#), [4453](#), [4468](#); Bantu and Nilotic, [347](#), [347](#), [362](#),  
[4429](#); independence, [4410](#), [4428](#); republic, [4429](#); Asians, [4429](#); student unrest, [4429](#).  
Uganda Patriotic Movement  
[4429](#).  
Uganda People's Congress  
[4428](#).  
Uganda People's Party  
[4429](#).  
Uganda Railroad  
[1537](#).  
Ugarit  
[83](#), [100](#), [101](#), [103](#), [103](#), [103](#), [113](#), [169](#), [2376](#).  
Ugarteche, Manuel Prado, Peruvian leader  
[2263](#).  
Uhud, battle of  
[286](#).  
Uighurs  
[278](#), [279](#), [279](#), [375](#).  
ija, Korean king  
[377](#).  
ijong, Korean king  
[380](#), [382](#).  
isang, Buddhist teacher  
[378](#).  
Uitlanders, South African nationalists  
[1557](#), [1558](#).  
Ujaama Movement  
[4426](#), [4426](#).  
Ujjain

[129](#), [129](#), [130](#), [130](#), [130](#), [131](#), [132](#), [331](#).  
Ukhahlamba Mountains  
[365](#).  
Ukil people  
[439](#).  
ukiyo-e, school of Japanese painting  
[859](#), [861](#).  
Ukraine  
[26](#), [47](#), [257](#), [281](#), [430](#), [482](#), [489](#), [555](#), [559](#), [667](#), [667](#), [769](#), [776](#), [776](#), [777](#), [777](#), [779](#),  
[780](#), [782](#), [783](#), [783](#), [784](#), [785](#), [803](#), [804](#), [805](#), [1070](#), [1260](#), [1817](#), [2020](#), [2064](#), [2066](#),  
[2067](#), [2069](#), [2073](#), [2076](#), [2080](#), [2080](#), [2113](#), [2113](#), [2117](#), [2122](#), [2593](#), [2597](#), [2641](#),  
[2682](#), [2703](#), [3268](#), [3303](#), [3303](#), [3315](#), [3332](#), [3380](#), [3381](#), [3382](#), [3383](#), [3383](#), [3383](#),  
[3385](#); WWI, [1772](#), [1774](#), [1774](#), [1774](#); People's Republic, [1772](#); independence, [1774](#),  
[3304](#), [3381](#); radiation, [3294](#); People's Movement (Rukh), [3298](#); sovereignty, [3301](#),  
[3380](#); KGB, [3381](#); armed forces, [3381](#); and Russian Federation, [3382](#); ethnic makeup,  
[3383](#).  
Ulamburiash, king of Babylon  
[86](#).  
Ulate Blanco, Otilio, Costa Rican leader  
[3686](#), [3687](#).  
Ulbricht, Walter, (East) German leader  
[2725](#), [2725](#), [3005](#), [3014](#), [3016](#), [3016](#), [3017](#), [3019](#), [3019](#).  
Ulfilas, Gothic bishop  
[403](#).  
Ulianov, Vladimir I.  
*See* [Lenin, Nikolai \(Vladimir I. Ulianov\), Russian leader](#).  
Ulloa, Francisco de, Spanish explorer  
[903](#).  
Ulm, treaty of  
[617](#).  
Ulmanis, Karlis, Latvian leader  
[2096](#), [2100](#), [2101](#).  
Ulozhenie, Russian law code  
[631](#).  
Ulpian, Roman jurist  
[255](#).  
Ulrika Eleanora, queen of Sweden  
[761](#), [762](#), [762](#), [762](#), [763](#).  
Ulster  
[425](#), [425](#), [590](#), [591](#), [1051](#), [1168](#), [1170](#), [1860](#), [1877](#), [2781](#), [2785](#), [2786](#), [2799](#), [2814](#).  
Ulster Unionist Council

[1170](#).  
Ulster Unionists, Ireland  
[2815](#), [2816](#), [2816](#).  
ultramontanism  
[1035](#), [1066](#).  
Ultraquist church  
[621](#).  
ultraroyalists  
[1058](#).  
Ulundi, battle of  
[1555](#).  
Ulus, Bülent, Turkish leader  
[3797](#).  
Umana, Justo, Honduran leader  
[2289](#).  
Umar II, Umayyad caliph  
[290](#).  
Umar al-Suhrawardi, Sufi leader  
[303](#).  
Umar ben Idris, Borno leader  
[871](#).  
Umarian Empire  
[1506](#), [1510](#), [1510](#), [1511](#), [1511](#), [1511](#).  
Umar ibn al-Khattab, second caliph  
[287](#), [288](#).  
Umar Khayyam, poet and scientist  
[302](#).  
Umar Nadhari, Iraqi leader  
[2400](#).  
Umar Tal, African leader  
[1510](#), [1510](#), [1510](#), [1511](#), [1511](#).  
Umayyad dynasty  
[276](#), [279](#), [288](#), [288](#), [289](#), [289](#), [289](#), [289](#), [289](#), [289](#), [289](#), [289](#), [289](#), [289](#), [290](#), [290](#), [290](#), [290](#),  
[290](#), [290](#), [290](#), [291](#), [291](#), [291](#), [291](#), [291](#), [291](#), [291](#), [291](#), [291](#), [292](#), [292](#), [321](#), [321](#), [419](#), [419](#), [419](#),  
[432](#), [475](#); of Córdoba, [419](#); in Spain, [419](#), [419](#).  
Umba River  
[1530](#), [1531](#).  
Umberto I, king of Italy  
[1219](#), [1223](#).  
Umberto II, king of Italy  
[1945](#), [1946](#), [1954](#), [2925](#), [2925](#).

Umbria  
[222](#), [227](#), [237](#), [1211](#), [1212](#).

Umeå Lappmark  
[761](#).

Umkhonto we Sizwe, South African party  
[4477](#), [4477](#).

Umma  
[84](#).

Umma Party, Sudan  
[4390](#), [4390](#), [4404](#).

Umm Diwaykrat, battle of  
[1527](#).

Umor, Bulgarian ruler  
[440](#).

Umyanyembe  
[1529](#).

Unamuno y Jugo, Migúel de, writer  
[1921](#), [1921](#).

Unas, king of Egypt  
[91](#).

Uncle Tom's Cabin, by Harriet Beecher Stowe  
[1582](#).

Unconditional Spanish Party, Puerto Rico  
[1694](#).

Unctad  
[2683](#).

Underground Railroad  
[989](#), [1576](#), [1623](#).

Underwood-Simmons Act, U.S.  
[1486](#).

Underwood Tariff Act, U.S.  
[1620](#).

Undset, Sigrid, writer  
[2044](#).

Unemployment Assistance Act, Ireland  
[1873](#).

Unemployment Insurance Act, Great Britain  
[1843](#).

Unfederated Malay States, UMS  
[1411](#), [1411](#), [1411](#).

Ungaran Island



[837](#).  
Ungjin  
[161](#), [377](#).  
Ungo, Guillermo, Salvadoran leader  
[3666](#), [3667](#), [3668](#).  
Uni, Egyptian general  
[91](#), [103](#).  
União Nacional para a Independência Total de Angola, UNITA  
[4434](#), [4435](#), [4436](#), [4436](#), [4437](#), [4438](#), [4439](#), [4439](#), [4439](#), [4440](#), [4442](#), [4443](#), [4445](#),  
[4450](#), [4450](#), [4465](#), [4476](#), [4477](#).  
Uniate Church  
[633](#), [3223](#), [3381](#).  
Unified Workers Central, CUT  
[3509](#).  
Uniform Land Tax Law, in Korea  
[856](#).  
Unilateral Declaration of Independence, IDI  
[4467](#).  
Union Acts, England  
[953](#), [1622](#), [1628](#).  
Union and Central Pacific Railways  
[1587](#).  
Union Carbide  
[2680](#), [3977](#).  
Union Chargeability Act, England  
[1159](#).  
Unión Cívica, Argentina  
[1660](#).  
Unión Cívica de la Juventud, Argentina  
[1660](#).  
Unión Cívica Radical, Argentina  
[1660](#), [1660](#).  
Union Council, Russia  
[2076](#).  
Union de Défense des Commerçants et Artisans, France  
[2846](#).  
Union Federation of Mine Workers of Bolivia, FSTMB  
[3536](#).  
Union for Liberty, Aragon  
[526](#).  
Union Générale des Travailleurs Tunisiens, UGTT

[3940](#).  
Union Indo-Chinoise  
[1409](#).  
Unionism, Belgian  
[1056](#), [1056](#), [1056](#).  
Unionists, Ireland  
[1170](#), [1170](#), [1839](#), [1877](#).  
Unionists, South Africa  
[1558](#), [2577](#).  
Union Jack, flag of Great Britain  
[683](#).  
Union Marocaine du Travail  
[3919](#).  
Union Nacionalista, Philippines  
[1486](#).  
Union Nationale, Quebec  
[3452](#).  
Union of Albanian Labor Youth  
[3202](#).  
Union of Connecticut and New Haven  
[933](#).  
Union of Democratic Forces, UDF  
[3239](#), [3241](#), [3242](#).  
Union of Democratic Forces, Kirghizstan  
[3243](#), [3344](#).  
Union of Free Poles, Polish society  
[1267](#).  
Union of Independents, Austria  
[3030](#).  
Union of International Associations  
[1700](#).  
Union of Liberation, Russia  
[1262](#).  
Union of Lublin  
[632](#).  
Union of South Africa  
[2339](#), [2433](#), [2578](#). *See* [South Africa](#).  
Union of Soviet Socialist Republics  
*See* [Russia](#).  
Union of the Democratic Center, UCD  
[2901](#).

Union of True Russian Men

[1266](#).

Union of Unions, Russia

[1263](#).

Union of Utrecht

[595](#).

Union of Young Poland, Fascist group

[2123](#).

Union of Zemstvos and Municipalities, Russia

[2062](#), [2064](#).

Union or Death, Black Hand

[1140](#), [1293](#).

Union Pacific–Central Pacific line

[956](#).

Union Pacific Railway

[989](#), [1595](#).

Union Party, Burma

[4054](#).

Union Party, Egypt

[2354](#).

Union Party, U.S.

[1584](#), [1589](#).

Unión Popular Party, Peronist

[3486](#).

Union pour la Démocratie Française, UDF

[2881](#).

Union pour le Progrès National, UPRONA

[4412](#), [4412](#), [4412](#).

Union Progressive Sénégalaise

[4378](#).

unions

[1048](#), [1161](#); 1800–1914, [1142](#); Great Britain, [1155](#), [1155](#), [1159](#), [1159](#), [1159](#), [1160](#), [1161](#), [1161](#), [1162](#), [1162](#), [1163](#), [1163](#); Ireland, [1170](#); Belgium, [1172](#); France, [1182](#), [1183](#), [1193](#), [1195](#), [1198](#), [1198](#); Spain, [1204](#); Germany, [1231](#); Scandinavia, [1247](#), [1248](#), [1248](#), [1249](#); Denmark, [1253](#); Russia, [1262](#); Australia, [1495](#); New Zealand, [1504](#), [1504](#), [1505](#), [1505](#); U.S., [1576](#), [1592](#), [1602](#), [1602](#), [1605](#), [1605](#); Canada, [1639](#). *See* [labor](#); [strikes](#); [labor movements](#).

union sacrée, France

[1901](#).

Unitarians, in England

[588](#).

United Africa Company, UAC  
[1516](#).

United Airlines  
[3435](#).

United Arab Emirates  
[2636](#), [3772](#), [3776](#), [3897](#), [3898](#), [3900](#).

United Arab Republic (UAR)  
[2644](#), [2656](#), [3281](#), [3771](#), [3771](#), [3839](#), [3879](#).

United Army of Central America  
[1680](#).

United Australia Party  
[2545](#), [2548](#).

United Automobile Workers, UAW  
[2187](#), [3392](#), [3434](#).

United Bermuda Party  
[3766](#).

United Brands  
[3694](#).

United Canada  
[1630](#).

United Council for China  
[2480](#).

United Democratic Front, UDF  
[4480](#), [4480](#).

United East India Company  
[932](#).

United Electrical Radio and Machine Workers of America  
[3392](#).

United Farm Workers, UFW  
[3411](#).

United Federation of Workers of Honduras, FUTH  
[3695](#).

United Free Church of Scotland  
[1547](#).

United Front, Ceylon  
[4032](#), [4032](#).

United Fruit Company, UFCO  
[1681](#), [1685](#), [2267](#), [2267](#), [2278](#), [2279](#), [3648](#), [3648](#), [3688](#), [3693](#).

United Gold Coast Convention  
[4320](#), [4324](#).

United Ireland Party, Fine Gael

[1873](#).  
United Irishmen  
[701](#), [701](#).  
United Kingdom  
*See* [Great Britain](#).  
United Kingdom of Portugal, Brazil, and the Algarve  
[917](#).  
United Kingdom of the Serbs, Croats, and Slovenes  
[1779](#).  
United Landtag  
[1072](#).  
United Left, Izquierda Unida  
[2905](#).  
United Malays National Organization, UN  
[4114](#).  
United Methodist Free Church  
[1529](#).  
United Mine Workers of America  
[2210](#).  
United National Congress, Trinidad and Tobago  
[3765](#).  
United National Independence Party, UNIP  
[4465](#), [4465](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 79

#### United National Party, UNP

[4028](#), [4033](#).

#### United Nations

[1699](#), [1699](#), [1700](#), [1701](#), [2186](#), [2273](#), [2633](#), [2633](#), [2633](#), [2636](#), [2636](#), [2636](#), [2636](#), [2636](#), [2636](#), [2637](#), [2638](#), [2640](#), [2641](#), [2641](#), [2643](#), [2646](#), [2647](#), [2648](#), [2648](#), [2650](#), [2650](#), [2651](#), [2652](#), [2655](#), [2656](#), [2657](#), [2658](#), [2658](#), [2658](#), [2665](#), [2667](#), [2667](#), [2668](#), [2677](#), [2680](#), [2682](#), [2683](#), [2684](#), [2690](#), [2693](#), [2696](#), [2716](#), [2718](#), [2725](#), [2750](#), [2807](#), [2808](#), [2839](#), [2874](#), [2914](#), [2914](#), [2957](#), [2970](#), [2974](#), [2989](#), [2990](#), [3019](#), [3034](#), [3039](#), [3132](#), [3169](#), [3178](#), [3190](#), [3208](#), [3267](#), [3268](#), [3268](#), [3296](#), [3398](#), [3435](#), [3461](#), [3477](#), [3505](#), [3691](#), [3718](#), [3947](#), [4040](#), [4042](#), [4116](#), [4122](#), [4187](#), [4198](#), [4226](#), [4231](#), [4245](#), [4275](#), [4287](#), [4287](#), [4319](#), [4325](#); General Assembly, [1699](#); and U.S., [2216](#); events leading up to its formation, [2632](#), [2632](#); WWII, [2632](#), [2632](#); Charter, [2634](#), [2636](#), [2645](#), [2645](#); structure, [2638](#); conflict resolution, [2638](#), [2638](#); mobilization against aggression, [2638](#); peacekeeping and security forces, [2638](#); and terrorism, [2639](#), [3781](#); International Conference on Population, [2643](#), [2680](#); and Suez, [2655](#), [3771](#); International Atomic Energy Commission, [2655](#); and Congo, [2658](#), [4411](#), [4425](#), [4435](#), [4434](#), [4449](#), [4449](#), [4450](#), [4450](#), [4451](#), [4452](#), [4453](#), [4454](#), [4454](#), [4454](#); and Yemen, [2660](#); and Cyprus, [2661](#), [2682](#), [3213](#), [3809](#), [3810](#), [3810](#), [3811](#); Conference on Trade and Development (UNCTAD), [2661](#), [2669](#), [2683](#); and South Africa, [2661](#), [2662](#), [2674](#), [4482](#); and Rhodesia, [2662](#), [2663](#), [2676](#); and India-Pakistan, [2662](#); and Southwest Africa, [2663](#); and Sinai, [2664](#), [3771](#); and Namibia, [2668](#), [4475](#), [4476](#), [4476](#); Conference on the Human Environment, [2669](#); and Palestinians, [2671](#); Conference on the Law of the Sea, [2671](#), [2679](#); and disarmament, [2675](#), [2679](#), [2726](#); and Iran, [2676](#); and Afghanistan, [2677](#), [2697](#), [3785](#), [3834](#), [3836](#), [3836](#), [3837](#), [3837](#); and environment, [2677](#); Decade for Women, [2681](#); Convention on the Prevention and Punishment of the Crime of Genocide, [2682](#); Program of Action for African Economic Recovery and Development, [2682](#); and Iran-Iraq War, [2684](#); and Iraq, [2686](#), [2687](#), [2801](#), [3438](#), [3784](#), [3886](#), [3886](#), [3887](#), [3887](#), [3887](#), [3887](#), [3888](#), [4406](#); and Baltic States, [2687](#); and El Salvador, [2688](#), [3672](#); Conference on Environment and Development, [2688](#); and Somalia, [2688](#), [4390](#), [4400](#), [4400](#), [4401](#), [4402](#); and

Cambodia, [2689](#), [4088](#), [4088](#), [4089](#), [4089](#); International Conference on Population and Development, [2690](#); World Summit on Social Development, [2691](#); Conference of the Parties to the UN framework Convention on Climate Change, [2691](#); fishing pact, [2691](#); World Conference on Women, [2691](#); 50th anniversary, [2691](#); conference on the environment, [2693](#); restructuring, [2693](#); global warming summit, [2693](#); and Angola, [2694](#), [4434](#), [4440](#), [4441](#), [4443](#), [4444](#); and Sierra Leone, [2694](#), [2696](#), [2698](#), [4326](#), [4327](#), [4328](#), [4359](#), [4360](#), [4385](#), [4385](#), [4385](#), [4385](#), [4385](#); and India, [2694](#), [3987](#); and Rwanda, [2694](#), [4410](#), [4421](#), [4423](#), [4423](#), [4424](#); and East Timor, [2697](#), [2697](#), [2921](#), [4138](#), [4138](#); and Africa, [2697](#), [4320](#); and AIDS, [2697](#), [4457](#), [4458](#); and Pacific area, [2697](#); and Pakistan, [2697](#); and Trieste, [2713](#); and Romania, [2731](#); and Korean War, [2763](#), [3394](#), [3394](#), [3394](#); and Abadan, [2764](#); and France, [2852](#); and Spain, [2887](#), [2888](#), [2890](#); and Portugal, [2913](#); and Italy's colonies, [2928](#); and Somaliland, [2929](#); and Poland, [3100](#); and Czechoslovakia, [3129](#); and Hungary, [3147](#), [3147](#), [3147](#); and Serbia-Croatia, [3177](#); and Bosnia, [3178](#), [3178](#), [3178](#), [3184](#), [3185](#), [3185](#), [3186](#); and Kosovo, [3182](#); and Yugoslavia, [3182](#), [3191](#); and Croatia, [3192](#); and Macedonia, [3196](#); Atomic Energy Commission, [3262](#); and former USSR, [3304](#); International Women's Year, [3425](#); and Korea, [3445](#), [3990](#), [4065](#), [4191](#), [4191](#), [4192](#), [4192](#), [4193](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4194](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4195](#), [4196](#), [4196](#), [4196](#), [4197](#), [4198](#), [4198](#), [4198](#), [4198](#), [4199](#), [4199](#), [4200](#), [4215](#), [4218](#), [4299](#); and Latin America, [3466](#); and Colombia, [3593](#); and Panama, [3645](#), [3645](#); and Guatemala, [3656](#), [3657](#); and Cuba, [3717](#); and Haiti, [3752](#), [3752](#), [3753](#), [3753](#), [3754](#); and Palestine, [3769](#), [3769](#), [3854](#), [3855](#); and Middle East, [3771](#), [3771](#), [3774](#), [3778](#); and Zionism, [3775](#); and Kuwait, [3782](#), [3885](#), [3900](#), [4118](#); and Lebanon, [3848](#); and Bahrain, [3897](#); and Spanish Sahara, [3924](#); and Libya, [3948](#); and Kashmir, [3954](#), [3956](#), [3958](#), [3966](#), [3997](#), [3997](#); and East Pakistan, [3971](#); and Burma, [4051](#), [4051](#), [4062](#); and Siam, [4064](#); and Thailand, [4066](#), [4066](#); and Laos, [4094](#), [4094](#); and Malaysia, [4106](#), [4107](#); and Indonesia, [4120](#), [4120](#), [4123](#), [4126](#), [4127](#), [4130](#), [4132](#), [4134](#); and New Guinea, [4125](#); and China, [4144](#), [4146](#), [4147](#), [4160](#), [4183](#), [4184](#); and Tibet, [4145](#), [4151](#); and Taiwan, [4146](#); and Vietnam, [4263](#), [4264](#), [4264](#), [4266](#); and Pacific, [4283](#); and land mines, [4331](#); and Eritrea, [4390](#), [4394](#), [4394](#), [4398](#); and Burundi, [4413](#); and Zaire, [4442](#); and Zimbabwe, [4457](#), [4469](#).

United Nations Conference on Environment and Development, UNCED  
[2642](#).

United Nations Conference on the Human Environment  
[2642](#).

United Nations Conference on the Law of the Sea  
[2656](#).

United Nations Development Program, UNDP  
[2662](#).

United Nations Educational, Scientific, and Cultural Organization, UNESCO  
[2663](#), [2679](#), [4325](#).

United Nations International Criminal Tribunal

[2692](#).

United Nations Monitoring Verification and Inspection Commission, UNMOVIC

[3784](#), [3888](#).

United Nations Organization for Educational and Cultural Reconstruction

[2633](#).

United Nations Relief and Rehabilitation Administration, UNRRA

[2632](#), [2633](#).

United Nations Relief and Works Agency, UNRWA

[3770](#).

United Party, New Zealand

[2551](#).

United Popular Action Movement, MAPU

[3511](#).

United Principalities of Moldavia and Wallachia

[1313](#).

United Progressive Party, UPP

[4465](#).

United Provinces

[595](#); of the Netherlands, [595](#). *See* [Netherlands](#).

United Provinces League, India

[2444](#).

United Provinces of Central America

[1655](#), [1680](#).

United Provinces of the Río de la Plata

[1644](#), [1645](#), [1647](#), [1658](#), [1665](#).

United Republican Party, Ecuador

[3571](#).

United Serbia Youth

[1287](#).

United States

[5](#), [18](#), [579](#), [907](#), [919](#), [953](#), [954](#), [954](#), [955](#), [956](#), [956](#), [956](#), [957](#), [957](#), [958](#), [958](#), [959](#), [961](#), [961](#), [961](#), [961](#), [961](#), [964](#), [965](#), [969](#), [970](#), [974](#), [977](#), [979](#), [981](#), [983](#), [983](#), [983](#), [985](#), [985](#), [986](#), [989](#), [989](#), [989](#), [989](#), [989](#), [990](#), [990](#), [991](#), [997](#), [998](#), [998](#), [998](#), [1001](#), [1015](#), [1021](#), [1033](#), [1034](#), [1035](#), [1038](#), [1041](#), [1052](#), [1062](#), [1086](#), [1095](#), [1112](#), [1129](#), [1146](#), [1155](#), [1168](#), [1335](#), [1339](#), [1417](#), [1420](#), [1480](#), [1506](#), [1563](#), [1563](#), [1563](#), [1572](#), [1589](#), [1590](#), [1593](#), [1604](#), [1610](#), [1615](#), [1623](#), [1629](#), [1643](#), [1698](#), [1699](#), [1699](#), [1700](#), [1700](#), [1700](#), [1701](#), [1702](#), [1702](#), [1703](#), [1703](#), [1704](#), [1705](#), [1706](#), [1706](#), [1706](#), [1706](#), [1707](#), [1709](#), [1710](#), [1710](#), [1711](#), [1713](#), [1713](#), [1713](#), [1715](#), [1716](#), [1717](#), [1718](#), [1719](#), [1719](#), [1720](#), [1721](#), [1721](#), [1721](#), [1722](#), [1725](#), [1729](#), [1736](#), [1736](#), [1737](#), [1738](#), [1738](#), [1738](#), [1855](#), [2020](#), [2064](#), [2067](#), [2186](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2187](#), [2192](#), [2203](#), [2204](#),



2206, 2210, 2210, 2217, 2473, 2488, 2530, 2531, 2559, 2587, 2600, 2603, 2608,  
2622, 2633, 2634, 2634, 2636, 2637, 2638, 2640, 2640, 2640, 2640, 2640, 2641,  
2641, 2641, 2641, 2641, 2641, 2641, 2642, 2642, 2643, 2643, 2644, 2644, 2653,  
2665, 2665, 2666, 2667, 2668, 2670, 2670, 2672, 2672, 2673, 2673, 2674, 2676,  
2677, 2678, 2679, 2679, 2680, 2682, 2682, 2684, 2686, 2690, 2692, 2703, 2703,  
2705, 2707, 2708, 2714, 2718, 2730, 2760, 2765, 2770, 2852, 2855, 2868, 2985,  
3245, 3288, 3390, 3390, 3390, 3390, 3394, 3413, 3435, 3448, 3585, 3606, 3759,  
3769, 3866, 3888, 4029, 4081, 4087, 4209, 4216, 4238, 4241, 4263, 4267, 4297,  
4299, 4315, 4320, 4347; treaty with Morocco, 825; treaty with Tunis, 829; and  
Chinese trade, 853; independence, 949; and France, 949, 949, 1565, 1569, 1570,  
1571, 1912; and England, 949; and Great Britain, 951, 1099, 1569, 1569, 1570, 1571,  
1571, 1571, 1573, 1574, 1576, 1578, 1625, 1628, 1628; and treaty of 1783, 952; post-  
Revolutionary period, 952, 952; 1800–1914, 953; and the Pacific Islands, 970, 1477,  
1477, 1477, 1478, 1478, 1478; and Mexico, 1182, 1621, 1621, 1691, 2195, 2196,  
2196, 2290, 2290, 2291, 2292, 2292, 2293, 2293, 2295, 2296, 2297, 2297, 2299,  
2299, 2299, 2299, 2602, 2603, 3701, 3701, 3702, 3705, 3707, 3709, 3709,  
3711, 3712; purchase of Alaska, 1259; and Middle East, 1339, 2636, 2671, 2671,  
2674, 2675, 2676, 2678, 2684, 2686, 2687, 2689, 2694, 3401, 3401, 3402, 3403,  
3425, 3426, 3428, 3428, 3428, 3432, 3433, 3433, 3435, 3437, 3438, 3769, 3771,  
3771, 3771, 3771, 3773, 3774, 3775, 3776, 3777, 3778, 3779, 3780, 3781, 3781,  
3782, 3783, 3783, 3784, 3784, 3785, 3786, 3796, 3834, 3834, 3834, 3835, 3836,  
3843, 3843, 3845, 3853, 3865, 3866, 3867, 3868, 3868, 3869, 3899, 4118; and Arabia,  
1359; and Barbary Wars, 1381; war with Libya, 1392; and Siam, 1405, 1405; and  
Southeast Asia, 1413, 2450, 2452, 2780, 3398, 3398, 3400, 3409, 3411, 3411, 3413,  
3415, 3424, 3433, 4064, 4064, 4067, 4067, 4067, 4068, 4069, 4069, 4070, 4114; and  
China, 1416, 1417, 1417, 1418, 1418, 1424, 1424, 1424, 1424, 2464, 2466, 2471,  
2478, 2479, 2479, 2480, 2481, 2483, 2637, 2696, 3394, 3395, 3437, 4140, 4140,  
4141, 4142, 4143, 4144, 4146, 4146, 4146, 4147, 4147, 4148, 4149, 4150, 4150,  
4150, 4150, 4151, 4158, 4159, 4160, 4160, 4161, 4162, 4162, 4163, 4163,  
4168, 4168, 4168, 4169, 4169, 4170, 4171, 4172, 4172, 4173, 4173, 4176, 4177,  
4177, 4177, 4178, 4180, 4182, 4182, 4183, 4183, 4183, 4183, 4183, 4183; and Sino-  
Japanese War, 1420; and Boxer Uprising, 1424; and Korea, 1430, 1430, 2488, 2493,  
2493, 2634, 4189, 4190, 4190, 4192, 4193, 4194, 4194, 4194, 4195, 4197, 4198,  
4198, 4199, 4199, 4203, 4203, 4205, 4205, 4205, 4206, 4207, 4208, 4209, 4209,  
4211, 4212, 4216, 4217, 4217, 4218, 4218, 4218, 4218, 4221; and Philippines, 1436,  
1482, 1482, 1482, 1483, 1483, 1484, 1484, 1484, 1484, 1485, 1486, 1486, 2534,  
2534, 2534, 2534, 2534, 2534, 2534, 2534, 2534, 2535, 2536, 2636; and Japan, 1437,  
1437, 1438, 1438, 1438, 1438, 1438, 1438, 1439, 1439, 1440, 1441, 1443, 1444, 1446,  
1466, 1466, 1468, 1469, 1471, 1582, 2194, 2497, 2501, 2503, 2504, 2521, 2624,  
3427, 4224, 4225, 4225, 4226, 4226, 4226, 4226, 4227, 4228, 4229, 4232, 4233,  
4233, 4234, 4236, 4237, 4238, 4241, 4241, 4245, 4245, 4246, 4247, 4247; and

Vietnam, [1473](#), [2670](#), [3409](#), [3968](#), [4100](#), [4253](#), [4255](#), [4256](#), [4256](#), [4261](#), [4264](#), [4264](#), [4264](#), [4264](#), [4265](#), [4265](#), [4265](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4267](#), [4267](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4269](#), [4269](#), [4269](#), [4269](#), [4269](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4271](#), [4271](#), [4271](#), [4271](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4273](#), [4273](#), [4273](#), [4273](#), [4273](#), [4275](#), [4275](#), [4276](#), [4277](#), [4278](#), [4279](#), [4280](#), [4280](#), [4281](#), [4281](#), [4282](#), [4282](#); and Hawaii, [1478](#), [2531](#); and Australia, [1489](#), [2549](#), [4295](#), [4302](#), [4302](#), [4303](#); and Africa, [1514](#), [1540](#), [1544](#), [2559](#), [2559](#), [2562](#), [2673](#), [2682](#), [2688](#), [2694](#), [4320](#), [4326](#), [4336](#), [4336](#), [4343](#), [4344](#), [4356](#), [4358](#), [4365](#), [4373](#), [4391](#), [4396](#), [4400](#), [4400](#), [4400](#), [4400](#), [4401](#), [4402](#), [4403](#), [4406](#), [4410](#), [4410](#), [4414](#), [4418](#), [4421](#), [4427](#), [4430](#), [4436](#), [4437](#), [4434](#), [4449](#), [4450](#), [4450](#), [4467](#), [4476](#), [4478](#), [4480](#); 1789–1877, [1563](#); Senate, [1565](#), [1577](#), [1578](#), [1580](#), [1583](#), [1583](#), [1602](#), [1604](#), [1639](#), [1708](#), [1784](#), [1817](#), [1913](#), [2190](#), [2190](#), [2194](#), [2197](#), [2206](#), [2216](#), [3398](#); War of 1812, [1572](#), [1623](#), [1623](#), [1623](#), [1623](#); westward movement, [1573](#), [1576](#), [1587](#), [1601](#); boundary with Canada, [1574](#), [1576](#), [1578](#), [1623](#), [1625](#); acquisition of Florida, [1574](#); Monroe Doctrine, [1574](#); annexation of Texas, [1577](#), [1688](#); war with Mexico, [1578](#), [1579](#); boundary with Mexico, [1579](#); acquisition of Cuba, [1583](#); Civil War, [1586](#), [1587](#), [1588](#); and Reconstruction, [1591](#), [1594](#), [1596](#); and Indian policies, [1593](#); 1878–1914, [1598](#); and Latin America, [1603](#), [1642](#), [1660](#), [1664](#), [1666](#), [1673](#), [1673](#), [1674](#), [1675](#), [1676](#), [1680](#), [1681](#), [1683](#), [1683](#), [1683](#), [1684](#), [1684](#), [1684](#), [1684](#), [1685](#), [1695](#), [1695](#), [2198](#), [2238](#), [2238](#), [2240](#), [2240](#), [2240](#), [2246](#), [2248](#), [2252](#), [2255](#), [2257](#), [2259](#), [2263](#), [2267](#), [2268](#), [2270](#), [2273](#), [2273](#), [2273](#), [2274](#), [2274](#), [2274](#), [2275](#), [2275](#), [2276](#), [2276](#), [2276](#), [2276](#), [2276](#), [2276](#), [2277](#), [2278](#), [2278](#), [2280](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2283](#), [2284](#), [2285](#), [2285](#), [2285](#), [2285](#), [2285](#), [2286](#), [2286](#), [2286](#), [2287](#), [2288](#), [2288](#), [2288](#), [2289](#), [2294](#), [2603](#), [2674](#), [2678](#), [2680](#), [2681](#), [2698](#), [3425](#), [3428](#), [3428](#), [3433](#), [3433](#), [3436](#), [3465](#), [3466](#), [3467](#), [3467](#), [3469](#), [3469](#), [3471](#), [3474](#), [3474](#), [3475](#), [3475](#), [3481](#), [3487](#), [3511](#), [3511](#), [3512](#), [3513](#), [3513](#), [3520](#), [3523](#), [3528](#), [3530](#), [3531](#), [3536](#), [3538](#), [3538](#), [3538](#), [3543](#), [3547](#), [3552](#), [3552](#), [3552](#), [3554](#), [3559](#), [3568](#), [3577](#), [3580](#), [3583](#), [3588](#), [3593](#), [3598](#), [3606](#), [3607](#), [3612](#), [3613](#), [3648](#), [3648](#), [3649](#), [3649](#), [3651](#), [3651](#), [3652](#), [3653](#), [3654](#), [3654](#), [3655](#), [3657](#), [3660](#), [3662](#), [3664](#), [3664](#), [3667](#), [3667](#), [3668](#), [3668](#), [3668](#), [3669](#), [3669](#), [3671](#), [3671](#), [3673](#), [3675](#), [3676](#), [3676](#), [3677](#), [3677](#), [3678](#), [3679](#), [3679](#), [3680](#), [3680](#), [3681](#), [3682](#), [3683](#), [3686](#), [3686](#), [3688](#), [3689](#), [3689](#), [3689](#), [3689](#), [3689](#), [3689](#), [3693](#), [3694](#), [3695](#), [3696](#), [3697](#); annexation of Hawaii, [1606](#); Spanish-American War, [1609](#), [1609](#), [1609](#), [1693](#); and Cuba, [1611](#), [1693](#), [1693](#), [1693](#), [1693](#), [1693](#), [2301](#), [2301](#), [2302](#), [2303](#), [2303](#), [2303](#), [2304](#), [3406](#), [3407](#), [3407](#), [3432](#), [3434](#), [3476](#), [3478](#), [3714](#), [3715](#), [3715](#), [3715](#), [3715](#), [3716](#), [3716](#), [3716](#), [3716](#), [3716](#), [3717](#), [3717](#), [3717](#), [3718](#), [3718](#), [3718](#), [3718](#), [3720](#), [3724](#), [3725](#), [3725](#), [3726](#), [3726](#), [3727](#), [3728](#); and Alaska boundary, [1613](#); census of 1910, [1617](#); and Nicaragua, [1619](#), [2283](#); and Canada, [1625](#), [1625](#), [1626](#), [1629](#), [1635](#), [1639](#), [1639](#), [3391](#), [3443](#), [3443](#), [3444](#), [3447](#), [3447](#), [3449](#), [3449](#), [3450](#), [3450](#), [3456](#); and fishing rights off Canada, [1641](#); and Panama, [1678](#), [1678](#), [1678](#), [1678](#), [1678](#), [1679](#), [1679](#), [1679](#), [3440](#), [3478](#), [3637](#), [3638](#),

[3639](#), [3639](#), [3639](#), [3640](#), [3640](#), [3641](#), [3642](#), [3642](#), [3642](#), [3642](#), [3643](#), [3644](#), [3644](#), [3645](#), [3645](#), [3646](#), [3646](#), [3646](#); Mexican War, [1688](#), [1689](#), [1689](#), [1690](#), [1690](#); and Puerto Rico, [1694](#), [1694](#), [1694](#), [1694](#), [2308](#), [2308](#), [2308](#), [2309](#), [2309](#), [2309](#), [2309](#), [2309](#), [3729](#), [3729](#), [3729](#), [3729](#), [3730](#), [3730](#), [3731](#), [3731](#), [3731](#), [3732](#), [3732](#), [3732](#), [3732](#), [3732](#), [3733](#), [3733](#), [3733](#), [3734](#); and Dominican Republic, [1695](#), [2313](#), [2313](#), [2314](#), [2314](#), [2314](#), [2314](#), [3735](#), [3735](#), [3736](#), [3736](#), [3737](#), [3738](#), [3739](#), [3740](#), [3740](#), [3741](#), [3741](#), [3742](#), [3742](#), [3742](#); and Haiti, [1697](#), [1697](#), [1697](#), [2315](#), [2315](#), [2316](#), [2316](#), [2316](#), [2316](#), [2316](#), [3432](#), [3745](#), [3746](#), [3748](#), [3748](#), [3749](#), [3753](#), [3753](#), [3753](#), [3754](#); London Naval Conference, [1698](#); Congress, [1721](#), [2201](#), [2208](#); WWI, [1741](#), [1741](#), [1741](#), [1741](#), [1741](#), [1752](#), [1755](#), [1762](#), [1762](#), [1767](#), [1769](#), [1769](#), [1769](#), [1769](#), [1770](#), [1770](#), [1770](#), [1770](#), [1770](#), [1778](#), [1778](#), [1780](#), [1780](#), [1781](#), [1781](#), [1781](#), [1782](#), [1783](#), [1784](#), [1784](#), [1788](#), [1796](#), [1809](#), [1812](#), [1812](#), [1812](#), [1812](#), [2187](#), [2187](#), [2188](#), [2188](#), [2189](#), [2189](#), [2189](#), [2189](#), [2200](#), [2498](#), [2530](#); culture, [1816](#), [1816](#); between Wars, [1817](#), [1817](#), [1819](#), [1822](#), [1823](#), [1833](#), [1853](#), [2191](#), [2192](#), [2193](#), [2194](#), [2197](#), [2198](#), [2206](#), [2208](#), [2208](#); and Netherlands, [1896](#); and Spain, [1932](#), [1933](#); and Italy, [1959](#), [1961](#), [2626](#); and Germany, [1978](#), [1983](#), [2192](#), [2216](#), [2626](#); WWII, [1994](#), [2208](#), [2210](#), [2210](#), [2210](#), [2210](#), [2211](#), [2211](#), [2212](#), [2212](#), [2212](#), [2212](#), [2213](#), [2215](#), [2483](#), [2483](#), [2485](#), [2485](#), [2486](#), [2521](#), [2521](#), [2521](#), [2521](#), [2522](#), [2523](#), [2523](#), [2523](#), [2531](#), [2531](#), [2625](#), [2632](#), [2632](#), [2632](#), [2641](#), [2758](#); and Czechoslovakia, [2021](#); and Denmark, [2038](#), [2311](#); and Greenland, [2041](#); and Finland, [2058](#); and Iceland, [2060](#); and Russia, [2073](#), [2080](#), [2637](#), [2637](#), [2689](#), [2691](#), [2705](#), [3304](#), [3366](#), [3379](#), [3383](#), [3403](#), [3433](#), [3435](#), [3439](#), [4088](#), [4151](#), [4189](#), [4191](#), [4197](#), [4264](#); and Baltic region, [2088](#); and Balkan Peninsula, [2136](#), [2172](#), [2710](#); migration, [2188](#); and Colombia, [2192](#); and Austria, [2192](#); Great Depression, [2197](#), [2201](#), [2201](#), [2201](#), [2201](#); and Far East, [2200](#); New Deal, [2202](#); attack by Japan, [2211](#); declaration of war on Japan, [2211](#); declaration of war by Germany and Italy, [2211](#); atomic bomb, [2216](#); and Chile, [2245](#); and Virgin Islands, [2311](#), [2311](#), [2311](#); and Iran, [2337](#), [2344](#), [3821](#), [3825](#), [3827](#); and Israel, [2393](#), [3774](#); and India, [2435](#), [2694](#), [3957](#), [3960](#), [3964](#), [3964](#), [3966](#), [3966](#), [3987](#); and Phillipines, [2534](#), [4289](#), [4289](#), [4290](#), [4290](#), [4292](#), [4292](#), [4292](#), [4293](#), [4293](#), [4293](#), [4293](#); WWII in Africa, [2586](#), [2607](#); WWII in Europe, [2587](#), [2587](#), [2588](#), [2593](#), [2596](#), [2596](#), [2617](#), [2617](#), [2617](#), [2617](#), [2618](#), [2619](#), [2619](#), [2619](#), [2619](#), [2620](#), [2620](#), [2621](#); WWII hemisphere defense, [2598](#), [2598](#), [2599](#), [2599](#), [2599](#), [2599](#), [2599](#), [2599](#), [2599](#), [2599](#), [2600](#), [2600](#), [2600](#), [2600](#), [2600](#), [2601](#), [2601](#), [2601](#), [2601](#), [2602](#), [2602](#), [2603](#), [2603](#); WWII merchant tonnage, [2604](#), [2604](#), [2608](#); WWII naval warfare, [2604](#), [2605](#), [2605](#), [2606](#), [2606](#), [2606](#), [2606](#), [2608](#), [2609](#); WWII in Pacific, [2606](#), [2626](#), [2628](#), [2628](#), [2629](#), [2630](#), [2630](#), [2630](#), [2630](#), [2630](#), [2630](#), [2631](#), [2631](#), [2631](#), [2631](#), [2631](#); WWII in Africa and Middle East, [2614](#), [2615](#), [2615](#), [2615](#), [2615](#); WWII losses, [2621](#), [2631](#); WWII in Germany, [2621](#), [2621](#), [2621](#), [2621](#), [2621](#); WWII end, [2621](#); WWII in Asia, [2623](#), [2624](#), [2624](#), [2625](#), [2625](#), [2625](#), [2625](#), [2625](#), [2626](#), [2626](#), [2627](#), [2627](#), [2627](#), [2631](#), [2631](#), [2631](#), [2631](#); WWII cost, [2626](#); WWII settlement with Japan, [2634](#); WWII settlement, [2635](#); and Pacific area, [2636](#), [3396](#); cold war, [2637](#), [2637](#), [2637](#), [2637](#).

[2637](#), [2637](#), [2638](#), [2644](#), [2647](#), [2651](#), [2651](#), [2653](#), [2654](#), [2654](#), [2655](#), [2655](#), [2658](#), [2658](#), [2659](#), [2660](#), [2664](#), [2666](#), [2666](#), [2669](#), [2671](#), [2677](#), [2679](#), [2683](#), [2684](#), [2688](#), [2703](#), [2712](#), [2713](#), [2715](#), [2719](#), [2723](#), [2725](#), [2990](#), [2995](#), [2996](#), [2996](#), [2998](#), [2998](#), [2999](#), [3084](#), [3084](#), [3085](#), [3088](#), [3266](#), [3269](#), [3273](#), [3273](#), [3274](#), [3274](#), [3274](#), [3276](#), [3284](#), [3289](#), [3289](#), [3291](#), [3292](#), [3299](#), [3390](#), [3390](#), [3391](#), [3391](#), [3392](#), [3393](#), [3393](#), [3394](#), [3401](#), [3401](#), [3401](#), [3404](#), [3404](#), [3406](#), [3406](#), [3406](#), [3407](#), [3408](#), [3408](#), [3408](#), [3409](#), [3409](#), [3414](#), [3414](#); and global economy, [2640](#), [2640](#), [2640](#), [2640](#), [2669](#); postwar, [2641](#), [2645](#), [2645](#), [2651](#); Americanization, [2641](#); immigration, [2643](#); antiwar, [2644](#); and Eastern Europe, [2677](#), [2700](#), [3100](#); and New Zealand, [2681](#), [4314](#), [4316](#), [4317](#), [4317](#); and United Nations, [2693](#); and Central America, [2696](#), [2697](#); and Afghanistan, [2697](#); and Western Europe, [2700](#); and Europe, [2706](#), [2706](#), [2710](#), [2710](#), [2710](#), [2711](#), [2711](#), [2713](#), [2713](#), [2714](#), [2714](#), [2718](#), [2720](#), [2721](#), [2722](#), [2724](#), [2725](#), [2728](#), [2731](#), [2752](#), [2757](#), [2758](#), [2844](#), [2850](#), [2857](#), [2866](#), [2888](#), [2890](#), [2890](#), [2891](#), [2892](#), [2893](#), [2903](#), [2903](#), [2904](#), [2913](#), [2914](#), [2914](#), [2927](#), [2945](#), [2950](#), [2959](#), [2962](#), [2982](#), [2983](#), [2983](#), [2983](#), [2984](#), [2985](#), [2985](#), [2990](#), [2996](#), [3005](#), [3025](#), [3030](#), [3040](#), [3044](#), [3062](#), [3091](#), [3097](#), [3113](#), [3143](#), [3152](#), [3152](#), [3167](#), [3167](#), [3172](#), [3197](#), [3208](#), [3209](#), [3213](#), [3218](#), [3219](#), [3220](#), [3231](#), [3237](#), [3238](#), [3249](#), [3250](#), [3250](#), [3252](#), [3350](#), [3370](#), [3391](#), [3392](#), [3395](#), [3398](#), [3401](#), [3417](#), [3432](#), [3439](#); and NATO, [2709](#); Korean War, [2763](#); and Ireland, [2807](#), [2815](#); and Yugoslavia, [3180](#), [3181](#), [3182](#), [3184](#), [3185](#), [3185](#), [3186](#), [3186](#), [3187](#); and Romania, [3255](#); post-Vietnam economy and society, [3390](#), [3390](#); post-cold war economy and society, [3390](#); post-WWII economy and society, [3390](#), [3390](#), [3390](#); unification of the armed services, [3391](#); housing, [3394](#), [3420](#); and Asia, [3395](#), [3395](#), [3395](#), [3396](#), [3398](#), [3400](#), [3418](#), [3423](#), [3426](#), [3433](#), [3433](#), [3436](#); and Western Hemisphere, [3398](#); student unrest, [3410](#), [3415](#), [3416](#), [3417](#), [3419](#), [3420](#), [3420](#); economy 1970s, [3419](#); Post Office, [3420](#); Postal Service, [3420](#); economic recession, [3425](#), [3427](#); and Iranian hostage crisis, [3426](#); makeup, [3427](#), [3427](#); savings and loan crisis, [3428](#); society in 1980s and 1990s, [3428](#); makeup in 1990, [3428](#); and North America, [3430](#), [3431](#), [3458](#); budget surplus, [3437](#); and Bolivia, [3540](#), [3541](#), [3547](#); and Brazil, [3616](#); invasion of Panama, [3645](#); and Guatemala, [3654](#); and Grenada, [3762](#), [3764](#); and Jamaica, [3763](#); post-WWII, [3768](#); and Palestine, [3854](#); and Iraq, [3885](#), [3885](#), [3886](#), [3887](#), [3887](#), [3887](#), [3887](#); and Egypt, [3908](#); and Libya, [3947](#), [3947](#), [3948](#), [3948](#), [3948](#); and Pakistan, [3992](#), [3999](#), [4014](#), [4014](#); and Ceylon, [4026](#); and Cambodia, [4080](#), [4081](#), [4081](#), [4081](#), [4082](#), [4084](#), [4085](#), [4086](#), [4086](#), [4272](#), [4272](#), [4272](#), [4275](#); and Laos, [4094](#), [4096](#), [4097](#), [4098](#), [4099](#), [4099](#), [4099](#), [4101](#), [4102](#), [4273](#); and Pacific, [4283](#), [4283](#), [4283](#), [4283](#), [4283](#), [4283](#), [4283](#), [4284](#); and Liberia, [4356](#); and Sudan, [4406](#); and Angola, [4439](#). *See* [African Americans](#); [Anglo-American relations](#); [Asian Americans](#); [Canadian-American relations](#); [Franco-American relations](#); [Hispanic Americans](#); [Japanese Americans](#); [Korean War](#); [Supreme Court](#); [cold war](#); [nuclear power](#).

United States Armed Forces  
[1961](#).

United States Army Mathematical Research Center  
[3420](#).

United States Army Military Government in Korea, USAMGIK  
[4189](#), [4190](#), [4192](#).

United States Exploring Expedition  
[1043](#).

United States Geological Survey  
[1599](#).

United States Holocaust Memorial Museum  
[3430](#).

United States–Japanese Mutual Security Pact  
[4226](#), [4227](#), [4233](#), [4233](#), [4234](#).

United States Steel Corporation  
[1609](#), [1615](#), [2187](#), [2191](#), [2206](#).

United Thai People's Party  
[4068](#).

United Workers' Party, Dominica  
[3765](#).

United Workers' Party, Hungary  
[3143](#).

Unitel Communications, Toronto  
[3458](#).

Unity, space station module  
[2705](#).

Unity Party, Russia  
[3370](#), [3371](#).

UNIVAC, computer  
[2641](#).

Universal Declaration of Human Rights  
[2648](#).

Universal Negro Improvement Association  
[1706](#), [2187](#).

Universal Postal Union  
[959](#), [1698](#).

Université St. Joseph, Beirut  
[1340](#).

universities  
[1071](#).

University College, Ethiopia  
[4390](#).

University College, Oxford

[446](#).  
University Legion, Austria  
[1089](#).  
University Mission to Central Africa, UMCA  
[1546](#), [1547](#).  
Unkovsky, Alexis, Russian leader  
[1259](#).  
Unlawful Societies Act, England  
[1051](#).  
Unstrut River  
[416](#).  
Untash-napir-risha, king of Elam  
[122](#).  
Unterwalden  
[540](#), [546](#), [546](#), [625](#), [625](#), [1070](#).  
Untouchables  
[3953](#), [3956](#), [3960](#), [3968](#), [3977](#), [3977](#), [3977](#).  
U Nu, Burmese leader  
[4052](#), [4052](#), [4053](#), [4053](#), [4054](#), [4054](#), [4055](#), [4056](#), [4057](#), [4057](#).  
Uny  incident, Korea  
[1430](#).  
Upanishads  
[68](#), [129](#), [129](#).  
Upolu Island  
[1478](#).  
Upper Burma  
[845](#), [1403](#).  
Upper Canada  
[1622](#), [1623](#), [1623](#), [1625](#), [1625](#), [1625](#), [1627](#), [1628](#); rebellion, [1625](#), [1625](#). *See* [Canada](#).  
Upper Egypt  
[84](#), [89](#), [90](#), [91](#), [91](#), [91](#), [92](#), [92](#), [92](#), [93](#), [93](#), [809](#), [1366](#), [1373](#).  
Upper Guinea  
*See* [Guinea](#).  
Upper Huallaga Valley  
[3559](#).  
Upper India Muslim Defence Association  
[1398](#).  
Upper Lusatia  
[544](#), [544](#).  
Upper Mesopotamia  
[82](#), [83](#), [84](#), [84](#), [86](#), [86](#), [88](#), [106](#).

Upper Nile  
[1119](#).

Upper Palatinate  
[624](#), [759](#).

Upper Peru  
[909](#), [911](#), [1644](#), [1644](#), [1644](#), [1644](#), [1649](#), [1649](#). *See* [Bolivia](#).

Upper Rhine, division of Holy Roman Empire  
[613](#), [620](#).

Upper Saxony  
[613](#).

Upper Silesia  
[1708](#), [1784](#), [1817](#), [1974](#), [2114](#), [2116](#), [3099](#). *See* [Silesia](#).

Upper Valais  
[625](#).

Upper Volta  
[2555](#), [4325](#), [4325](#), [4330](#); independence, [4330](#). *See* [Burkina Faso](#).

Uppsala  
[463](#).

Uppsala, University of  
[554](#).

Uqaylid dynasty  
[297](#), [300](#).

Ur  
[84](#), [84](#), [84](#), [84](#), [85](#), [122](#).

Ur III  
[102](#), [122](#).

Urabi Revolution, Egypt  
[1372](#), [1372](#), [1372](#).

Uruga  
[1438](#).

Ural-Altaic peoples  
[430](#).

Ural Mountains  
[488](#), [558](#), [629](#), [789](#), [2072](#), [2877](#).

Uranus  
[1040](#).

Urartu  
[86](#), [87](#), [87](#), [87](#), [87](#), [106](#), [116](#), [117](#), [118](#), [118](#), [118](#), [119](#), [123](#).

Urban II, pope  
[468](#), [468](#), [505](#).

Urban III, pope

[456](#).  
Urban IV, pope  
[459](#).  
Urban VI, pope  
[530](#), [530](#).  
Urban VIII, pope  
[610](#).  
Urban Areas Act, South Africa  
[2578](#).  
urbanization  
[458](#), [460](#), [469](#), [472](#); France, [449](#), [449](#), [452](#); 1500–1800, [579](#); Poland 1600s–1700s, [776](#); India 1500–1800, [830](#); 1800–1914, [956](#), [956](#), [1047](#), [1142](#); England, [1049](#); Low Countries, [1057](#); Italy, [1066](#); Austria, [1073](#); Libya, [1392](#); U.S., [1563](#), [1598](#), [1617](#), [2187](#); Canada, [2222](#); Southeast Asia, [2448](#); Africa, [2554](#), [2554](#).  
Urban Revolution, prehistoric  
[35](#).  
Urbicus, Quintus Lollius, legate of Britain  
[253](#).  
Urbina, José María, Latin American leader  
[1671](#).  
Urbino  
[610](#).  
Urbog  
[1077](#).  
Urdiñola, Francisco de, Spanish explorer  
[903](#).  
Urga  
[852](#).  
Urgel  
[479](#).  
Urgen White Guard  
[2487](#).  
Urhiteshup, Hittite king  
[113](#).  
Uri  
[540](#), [546](#), [546](#), [546](#), [546](#), [625](#), [625](#), [1070](#).  
Uriarte, Higinio, Latin American leader  
[1666](#).  
Uribe y Uribe, Rafael, Latin American leader  
[1674](#).  
Uriburu, José, Argentine leader



[2242](#).  
Uriburu, José E., Latin American leader  
[1660](#).  
Urmia  
[118](#).  
Ur-nammu, king of Ur  
[84](#).  
Urnfield  
[46](#).  
Urosh I, king of Serbia  
[495](#).  
Urquiza, Justo José de, Latin American leader  
[1659](#), [1659](#), [1659](#), [1659](#).  
Urriolagoita, Mametro, Bolivian leader  
[3537](#).  
Urrutia, Manuel, Cuban leader  
[3715](#), [3715](#).  
Ursin, N. R. af, Finnish leader  
[1254](#), [1254](#).  
Ursulines, religious order  
[609](#).  
Uruguay  
[907](#), [1647](#), [1659](#), [1660](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1665](#), [1666](#), [1667](#), [1667](#), [1677](#), [1677](#),  
[1706](#), [1738](#), [2252](#), [2252](#), [2698](#), [3467](#), [3474](#), [3475](#), [3475](#), [3477](#), [3520](#), [3528](#), [3534](#),  
[3535](#), [3549](#), [3613](#); before WWI, [2252](#); WWI, [2252](#); Great Depression, [2252](#); between  
Wars, [2252](#), [2253](#); and U.S., [3528](#), [3530](#), [3531](#); nine-man federal council of  
government, [3528](#); 12-year dictatorship, [3531](#).  
Uruguay River  
[906](#).  
Uru-inim-gina of Lagash  
[84](#).  
Uruk  
[83](#), [84](#), [84](#), [84](#), [84](#), [84](#), [85](#), [85](#), [102](#).  
Urumchi  
[1418](#).  
Urundi, German East Africa  
[1882](#).  
Ur-zababa, king of Kish  
[84](#).  
U.S  
[3568](#).

U Saw, Burmese leader

[4048](#).

Üskub, Skoplje

[1797](#).

Uspenski Cathedral, Moscow

[558](#).

Ussuri River

[1259](#), [3283](#).

Usuli Shi'ism

[817](#).

Usuman dan Fodio, Islamic leader in Africa

[580](#), [869](#), [1510](#), [1510](#), [1510](#), [1510](#), [1510](#).

usury

[450](#).

Usuthu people

[1552](#).

UTA, airline

[3948](#).

Utah

[1563](#), [1580](#), [1603](#), [1607](#).

Utamaro, Kitagawa, artist

[1437](#).

Utayba tribesmen

[3889](#).

U Thant, UN official

[2658](#), [2662](#), [4106](#), [4107](#), [4264](#), [4266](#), [4270](#).

Uthman Bey, ruler of Tunisia

[1385](#).

Uthman ibn Affan, third caliph

[288](#), [288](#), [288](#), [288](#), [288](#).

Utica

[110](#), [241](#).

utilitarianism

[1035](#).

utopian socialism

[1035](#), [1035](#).

Utraquist Church, Protestant

[542](#), [617](#), [618](#).

Utrecht

[412](#), [595](#), [595](#), [650](#), [659](#), [1701](#); union of, [595](#); congress at, [659](#); treaty of, [659](#), [659](#), [683](#), [714](#), [714](#), [715](#), [720](#), [738](#), [740](#), [745](#), [906](#), [911](#), [939](#), [939](#).

Uttar Pradesh

[3968](#), [3970](#), [3977](#), [3977](#), [3982](#), [3984](#).

Utu-hegal of Uruk

[83](#), [84](#).

Utu, Shamash

[83](#).

Uusikaupunki, treaty of, Nystadt

[766](#).

Uxmal

[570](#).

Uylenburgh, Saskia van, wife of Rembrandt

[596](#).

Uzbekistan

[955](#), [2071](#), [2076](#), [3297](#), [3300](#), [3301](#), [3303](#), [3304](#), [3335](#), [3343](#), [3380](#), [3386](#), [3388](#), [3389](#), [3784](#), [3835](#); sovereignty, [3301](#), [3386](#); independence, [3304](#), [3387](#).

Uzbekistan Human Rights Association

[3389](#).

Uzbeks

[308](#), [812](#), [813](#), [813](#), [813](#), [817](#), [3300](#), [3834](#).

## V

Vaal River

[1551](#), [1552](#), [1552](#).

Vaca de Castro, Cristóbal, Spanish colonial administrator

[898](#).

Vacaroiu, Nicolae, Romanian leader

[3257](#).

vaccination

[1068](#), [1153](#), [1155](#).

Vaccination Act, England

[1155](#).

Vadukkodai resolution

[4032](#).

Vagnorius, Gediminas, Lithuanian leader

[3355](#), [3357](#).

Vahan, Armenian leader

[273](#), [273](#).

Vahi, Tiit, Estonian leader

[3321](#), [3323](#).

Vaibhashika

[131](#).  
Vaida-Voevod, Alexander, Romanian leader  
[2180](#), [2180](#), [2182](#).  
Vaillant, Édouard, French official  
[1188](#).  
Vairochana  
[324](#).  
Vaisali  
[129](#).  
Vaishnavas  
[129](#), [133](#), [325](#), [326](#), [326](#), [340](#).  
Vajpayee, Atal Bihari, Indian leader  
[3987](#), [3988](#), [3988](#), [3988](#).  
Vakatakas  
[133](#), [133](#).  
Vakpatiraja, poet  
[324](#).  
Valabhi  
[129](#), [325](#).  
Valais  
[521](#), [1070](#).  
Val Antigorio  
[546](#).  
Valcárcel, Luis E., Peruvian leader  
[2260](#).  
Valdés Leal, Juan de, Spanish artist  
[604](#).  
Valdez  
[3425](#).  
Valdivia, Pedro de, Spanish explorer  
[899](#), [899](#), [899](#), [899](#).  
Valence  
[737](#).  
Valencia  
[476](#), [479](#), [525](#), [525](#), [526](#), [601](#), [720](#), [720](#), [1028](#), [1029](#), [1202](#), [1920](#), [1929](#), [1930](#), [1930](#),  
[1932](#), [2894](#), [2899](#), [2899](#), [2899](#).  
Valencia, University of  
[479](#).  
Valenciennes  
[653](#), [1005](#), [1813](#).  
Valens, Roman emperor

[251](#), [264](#), [264](#), [268](#), [403](#), [403](#).  
Valentic, Nikica, Croatian leader  
[3191](#).  
Valentina Tereshkova, astronaut  
[2660](#).  
Valentinian I, Roman emperor in the West  
[264](#), [264](#), [264](#), [268](#).  
Valentinian II, Roman emperor in the West  
[264](#), [264](#), [264](#), [264](#), [268](#).  
Valentinian III, Roman emperor in the West  
[264](#), [266](#), [267](#), [267](#), [269](#), [401](#), [402](#), [404](#), [404](#).  
Valerian, Roman emperor  
[257](#), [268](#), [272](#).  
Valerio-Horatian laws  
[225](#).  
Valerius, Lucius, Roman consul  
[225](#).  
Valerius Corvus, Marcus, Roman commander  
[226](#).  
Valerius Maximus, Lucius, Roman author  
[246](#).  
Valla, Lorenzo, humanist  
[532](#), [533](#), [533](#).  
Valladolid  
[572](#), [602](#), [902](#).  
Vallegrande  
[3550](#).  
Vallejo, Demetrio, Mexican leader  
[3702](#).  
Valle Riestra, Javier, Peruvian leader  
[3564](#).  
Valley Forge  
[949](#).  
Valley of Mexico  
[4](#), [40](#), [55](#), [55](#).  
Vallumbrosans, religious order  
[466](#).  
Valmiki, Sanskrit author  
[129](#).  
Valmy, battle of  
[1003](#), [1003](#).

Valois dynasty  
[533](#), [597](#), [597](#), [598](#), [599](#), [607](#).

Valona  
[566](#), [1746](#), [1746](#), [2136](#).

Valparaíso  
[906](#), [1668](#).

Valtelline Pass  
[603](#), [626](#), [749](#).

Vamsas  
[129](#).

Van, province  
[794](#), [1749](#), [1750](#).

Van Allen radiation belts  
[2655](#).

Van Buren, Martin, U.S. president  
[1576](#), [1576](#), [1579](#).

Vance, Cyrus, U.S. diplomat  
[3677](#).

Vance-Owen peace plan, Bosnia  
[3184](#).

Vancouver, British Columbia  
[1401](#), [1639](#), [1640](#), [2679](#), [2683](#), [2692](#), [3443](#), [3454](#), [4047](#); discovery of gold in, [1630](#).

Vancouver, George, explorer  
[866](#), [1623](#).

Vancouver Island  
[904](#), [1623](#).

Vancy, vice president of Liberia  
[2559](#).

Vandals  
[257](#), [260](#), [265](#), [265](#), [265](#), [265](#), [266](#), [266](#), [266](#), [269](#), [269](#), [403](#), [403](#), [403](#), [404](#), [404](#), [404](#), [404](#),  
[404](#), [404](#), [404](#), [427](#).

Vandamme, Dominique, French general  
[1030](#).

Vanderbilt, Cornelius, U.S. financier  
[1683](#), [1683](#), [1683](#).

van der Linden, Cort, Dutch leader  
[1176](#).

van der Rohe, Ludwig Mies, architect  
[1733](#), [2702](#).

Van Diemen's Land  
*See* [Tasmania \(Van Diemen's Land\)](#).

Van Diemen's Land Company  
[1488](#).

Vandor, Augusto, Argentine leader  
[3486](#), [3487](#).

Van Dyck, Anthony, Dutch artist  
[596](#).

van Eyck, Hubert, artist  
[524](#), [596](#).

van Eyck, Jan, artist  
[524](#), [525](#), [584](#), [596](#).

van Gogh, Vincent, artist  
[1146](#).

Vanikoro  
[866](#).

Vân-Ky, monk  
[397](#).

Van Lang kingdom, Vietnam  
[397](#).

Van Leyden, Lucas, Dutch artist  
[596](#).

Van Rensslaer, Killiaen, Dutch colonizer  
[932](#).

van Rey, Michel, Surinamese leader  
[3631](#).

van than, Korean society  
[1473](#).

van't Hoff, Jacobus H., chemist  
[1149](#), [1152](#).

Vanuatu  
[864](#), [864](#), [4283](#), [4285](#), [4287](#), [4288](#).

Vanzetti, Bartolomeo, U.S. activist  
[2197](#).

Varaguna I, ruler of India  
[327](#).

Varaguna II, ruler of India  
[327](#), [327](#), [328](#).

Varahran I  
*See* [Bahram \(Varahran\) I, king of Persia](#).

Varahran II  
*See* [Bahram \(Varahran\) II, king of Persia](#).

Varangians, Russians

[434](#), [488](#), [488](#).  
Varas, Antonio, Latin American leader  
[1662](#), [1663](#).  
Vardar River  
[500](#), [562](#), [564](#); battle of the, [1759](#), [1797](#), [1808](#).  
Varela, Felipe, Latin American leader  
[1660](#).  
Varenes  
[1002](#).  
Vargas, Getúlio, Brazilian leader  
[2271](#), [2271](#), [2271](#), [2272](#), [2272](#), [2272](#), [2273](#), [2273](#), [2273](#), [2273](#), [2273](#), [2602](#), [3607](#), [3607](#), [3610](#),  
[3610](#), [3610](#), [3611](#).  
Vargas, José María, Latin American leader  
[1675](#).  
Vargas Llosa, Mario, Peruvian leader  
[3559](#).  
Vargas Zapata y Luján, Diego, Spanish conquistador  
[904](#).  
Varlik Vergisi Tax  
[2333](#).  
Varna  
[568](#), [1303](#), [1304](#); battle of, [313](#), [555](#), [561](#).  
Varro, Caius Terentius, Roman consul  
[231](#).  
Varro, Marcus Terentius, Roman scholar  
[239](#).  
Varronian dating  
[221](#).  
Varttikas  
[129](#).  
Vartovyan, Agop, theater director  
[1337](#).  
Varuna  
[86](#), [121](#), [129](#).  
Varus, Publius Quintilius, Roman legate  
[244](#), [247](#).  
Vasa, Gustavus Ericksson, later Gustavus I  
[627](#), [627](#), [628](#).  
Vasa dynasty  
[577](#), [628](#).  
Vasari, Giorgio, scholar



[511](#), [607](#).  
Vasconcelos, José, Mexican educator  
[2259](#).  
Vasena, Adalbert Krieger, Argentine leader  
[3488](#).  
Vasile, Radu, Romanian leader  
[3259](#).  
Vasishka, king of India  
[130](#).  
Vásquez, Horacio, Dominican leader  
[2314](#), [2314](#).  
Vassilievsky, A. M., Russian leader  
[3264](#).  
Vassiliou, Georgios, Cypriot leader  
[3811](#).  
Vasubandhu, Buddhist philosopher  
[131](#), [370](#).  
Vasudeva, king of India  
[130](#).  
Vasushka, king of India  
[130](#).  
Vasvár  
[757](#), [803](#).  
Vatapi  
[326](#), [326](#).  
Vatatzes, John, Nicaean emperor  
[497](#), [497](#), [502](#).  
Vatican  
[724](#), [807](#), [1219](#), [1950](#), [2008](#), [2667](#), [2712](#), [2953](#), [2953](#), [2955](#), [2955](#), [2958](#), [2959](#), [2960](#),  
[2962](#), [2962](#), [2962](#), [2963](#), [2966](#), [3124](#), [3132](#), [3152](#), [3223](#), [3239](#), [3280](#), [3296](#), [3299](#),  
[3417](#); Library, [532](#), [609](#), [808](#); Palace, [609](#), [735](#); and Poland, [1268](#).  
Vatican Councils  
[1218](#).  
Vatican II  
[2644](#), [2659](#), [2701](#).  
Vatsaraja, ruler of India  
[325](#), [327](#).  
Vatsyayana Mallanaga  
[130](#).  
Vattagamani  
[134](#).

Vaucelles, Truce of  
[615](#).

Vauchamps, battle of  
[1031](#).

Vaud  
[625](#), [625](#), [748](#), [749](#), [749](#), [750](#).

vaudeville  
[1607](#).

Vaudois  
[671](#), [750](#).

Vaugoin, Karl, Austrian leader  
[2004](#), [2004](#).

Vay, Nicholas  
[1087](#).

Vazimba  
[366](#).

Vázquez, Domingo, Latin American leader  
[1686](#).

Vázquez de Ayllón, Lucas, Spanish explorer  
[905](#).

Vedanta  
[327](#), [1701](#).

Vedas  
[68](#), [129](#), [129](#), [131](#).

V-E Day  
[2621](#).

Veden Wismar  
[624](#).

Vedic Indians  
[121](#).

Vega, Felix Lope de, Spanish writer  
[604](#).

Vegas, Russian space vehicle  
[2641](#).

Vegilharxhi, Naum, Albanian leader  
[1325](#).



## Subject Index

### Page 80

Vei

[223](#), [225](#), [226](#).

Veintimilla, Ignacio, Latin American leader

[1671](#).

Velarde, Ramón López, poet

[2241](#).

Velasco, Luis de, Spanish colonial administrator

[905](#).

Velasco Alvarado, Juan, Peruvian leader

[3553](#), [3554](#), [3554](#), [3555](#), [3555](#).

Velasco Ibarra, José, Ecuadorian leader

[3567](#), [3567](#), [3567](#), [3568](#).

Velásquez, Diego Rodríguez de Silva y, Spanish artist

[604](#), [901](#).

Velásquez, Elizabeth, Salvadoran leader

[3670](#).

Velázquez, Diego, Spanish conquistador

[895](#), [901](#).

Velchova Rising, Bulgaria

[1298](#).

Vélez

[1672](#).

Velikiye Luki

[2596](#).

Veltchev, Damyan, Bulgarian leader

[2168](#).

Venaissin

[470](#), [1032](#), [1033](#).

Vendée

[1005](#).

Vendôme, duke of, César de Bourbon, French commander

[659](#), [659](#), [738](#).

Venedi

*See* [Slavs](#).

Veneti

[228](#).

Venetia

[222](#), [228](#), [403](#), [408](#), [410](#), [412](#), [1009](#), [1009](#), [1009](#), [1066](#), [1066](#), [1073](#), [1102](#), [1102](#), [1211](#), [1211](#), [1216](#).

Venetiaan, Ronald, Surinamese leader

[3635](#), [3636](#).

Venetic

[222](#).

Venezia Giulia

[2635](#), [2925](#).

Venezuela

[897](#), [897](#), [908](#), [909](#), [909](#), [911](#), [911](#), [974](#), [1650](#), [1650](#), [1650](#), [1650](#), [1651](#), [1671](#), [1672](#), [1675](#), [1675](#), [2241](#), [2267](#), [2269](#), [3475](#), [3594](#), [3594](#), [3600](#), [3604](#), [3605](#), [3606](#), [3606](#), [3676](#), [3719](#), [3727](#), [3760](#), [3771](#); independence of, [1650](#), [1651](#); republic of, [1650](#); oil industry, [2269](#), [2269](#); WWI, [2269](#), [2269](#); oil boom, [3596](#); and U.S., [3598](#), [3606](#).

Vengi

[133](#), [326](#), [326](#), [327](#), [327](#), [328](#), [328](#), [336](#).

Venice

[260](#), [281](#), [308](#), [312](#), [312](#), [313](#), [313](#), [314](#), [315](#), [402](#), [408](#), [431](#), [433](#), [438](#), [456](#), [460](#), [466](#), [472](#), [473](#), [492](#), [492](#), [498](#), [500](#), [501](#), [501](#), [502](#), [502](#), [505](#), [505](#), [507](#), [508](#), [508](#), [509](#), [510](#), [511](#), [528](#), [531](#), [532](#), [532](#), [532](#), [535](#), [535](#), [535](#), [536](#), [536](#), [537](#), [537](#), [537](#), [538](#), [560](#), [560](#), [562](#), [563](#), [564](#), [564](#), [565](#), [566](#), [567](#), [567](#), [568](#), [568](#), [568](#), [584](#), [597](#), [597](#), [601](#), [603](#), [605](#), [607](#), [607](#), [607](#), [607](#), [607](#), [607](#), [610](#), [611](#), [611](#), [611](#), [611](#), [611](#), [611](#), [612](#), [613](#), [614](#), [625](#), [625](#), [735](#), [735](#), [745](#), [745](#), [745](#), [745](#), [793](#), [796](#), [797](#), [797](#), [801](#), [801](#), [801](#), [802](#), [803](#), [804](#), [804](#), [805](#), [806](#), [813](#), [1092](#), [1093](#), [1093](#), [1093](#), [2683](#); peace of, [469](#); and Genoa, [473](#); uprising in, [474](#); war with Byzantine Empire, [502](#); treaty of, [505](#); wars with Ottoman Empire, [538](#), [538](#), [538](#).

Venizelists, Greece

[2144](#), [2147](#), [2152](#), [2153](#), [2154](#), [2155](#).

Venizelos, Eleutherios, Greek leader

[1136](#), [1280](#), [1280](#), [1283](#), [1743](#), [1743](#), [1743](#), [1743](#), [1743](#), [1758](#), [1758](#), [1758](#), [1759](#), [1784](#), [2144](#), [2144](#), [2145](#), [2148](#), [2151](#), [2152](#), [2153](#), [2154](#), [3211](#).

Venner, Thomas, English rebel

[674](#).

Ventris, Michael

[169](#).

Venus

[640](#), [866](#).

Ver, Fabian, Philippine leader

[4292](#).

Veracruz, earlier Vera Cruz

[574](#), [901](#), [901](#), [911](#), [923](#), [1578](#), [1621](#), [1689](#), [2292](#), [2295](#), [2296](#).

Verbiest, Ferdinand, French missionary

[854](#).

Verböczy, Stephen, Hungarian leader

[635](#).

Vercellae

[236](#).

Vercelli

[537](#).

Vercingetorix, Gallic leader

[240](#).

Verdandi, student society

[1248](#).

Verdun

[411](#), [615](#), [624](#), [685](#), [707](#), [1003](#), [1003](#), [1738](#), [1738](#), [1754](#), [1755](#), [1757](#), [1789](#), [1789](#), [1790](#), [1800](#), [1802](#), [2585](#); treaty of, [411](#), [413](#); battles of, [1754](#), [1754](#), [1754](#), [1766](#), [1800](#), [1801](#).

Vereeniging, treaty of

[973](#), [1558](#).

Vergennes, count of, Charles Gravier, French leader

[951](#).

Vergil, Publius Vergilius Maro

[239](#).

Vergina

[182](#).

Vergniaud, Pierre, French leader

[1003](#).

Vermandois

[413](#), [450](#).

Vermeer, Jan, Dutch artist

[596](#).

Vermont

[1567](#), [1630](#), [2206](#), [3441](#).

Verneuil, battle of

[522](#).

Verona

[257](#), [262](#), [265](#), [403](#), [411](#), [416](#), [537](#), [537](#), [538](#), [538](#), [607](#), [607](#), [1960](#); diet of, [466](#);  
congress of, [1045](#), [1045](#).

Veronese, Paolo, Italian artist  
[607](#).

Véronne, Maria, women's rights activist  
[1914](#).

Verrazano, Giovanni de, Italian explorer  
[920](#).

Verres, Caius, governor of Sicily  
[238](#).

Verri, Gabriele, Italian jurist  
[744](#).

Verrocchio, Andrea del, artist  
[536](#).

Versailles  
[662](#), [662](#), [707](#), [711](#), [713](#), [728](#), [759](#), [907](#), [1001](#), [1001](#), [1003](#), [1188](#), [1234](#), [1698](#), [1698](#),  
[1698](#), [1708](#), [1708](#), [1724](#), [1724](#), [1784](#), [1784](#), [1784](#), [1784](#), [1817](#), [1821](#), [1832](#), [1882](#),  
[1902](#), [1964](#), [1973](#), [1973](#), [1982](#), [1986](#), [1989](#), [1990](#), [2039](#), [2097](#), [2114](#), [2190](#), [2358](#),  
[2464](#), [2554](#), [2632](#); peace conference at, [1698](#), [2489](#), [2499](#).

Versinicia, battle of  
[440](#).

Verulamium  
[421](#).

Verus, Lucius Aurelius, Roman emperor  
[253](#), [254](#), [254](#), [254](#), [254](#).

Verus, Marcus Annius, son of Marcus Aurelius  
[253](#).

Vervins, treaty of  
[599](#), [603](#).

Vesalius, Andreas, Belgian anatomist  
[637](#).

Vesey, Denmark, U.S. black leader  
[1574](#).

Vesle River  
[1812](#).

Vespasian, Roman emperor  
[246](#), [246](#), [249](#), [251](#), [251](#), [251](#), [251](#), [251](#), [251](#), [251](#).

Vespucci, Amerigo, explorer  
[573](#), [573](#).

Vestal Virgins  
[268](#).

Vestini

[222](#).

Vestre Party

[2041](#).

veterans

[1604](#).

Veysel, Ali ik, Turkish minstrel

[3796](#).

Via Appia

[223](#).

Via Aurelia

[229](#).

Via Flaminia

[229](#), [231](#).

Via Sacra

[260](#).

Viazma

[2593](#), [2596](#).

Vibhasha

[131](#).

Viborg

[1774](#), [2053](#).

Viborg Manifesto, and Russia

[1264](#).

Vicenza

[537](#), [538](#), [538](#), [607](#).

Vichy, French WWII government at

[1901](#), [1916](#), [1916](#), [1917](#), [2234](#), [2521](#), [2526](#), [2527](#), [2556](#), [2557](#), [2586](#), [2586](#), [2590](#), [2592](#), [2612](#), [2614](#), [2624](#), [2839](#); and Germany, [1917](#), [1917](#), [1917](#), [1917](#), [1917](#); and Syria, [2377](#), [2377](#), [2382](#), [2382](#); and Southeast Asia, [2454](#), [2454](#).

Vickers, Harry, automotive pioneer

[991](#).

Vicksburg, battle of

[1587](#), [1588](#), [1588](#), [1588](#).

Vico, Giambattista, Italian scientist

[645](#), [735](#).

Victor II, pope

[467](#).

Victor III, pope

[468](#).

Victor IV, antipope



[469](#).  
Victor Amadeus, duke of Savoy  
[600](#).  
Victor Amadeus I, king of Savoy  
[612](#).  
Victor Amadeus II, king of Sardinia  
[738](#), [738](#), [738](#), [738](#), [739](#), [739](#).  
Victor Amadeus III, duke of Savoy  
[1009](#).  
Victor Amadeus III, king of Sardinia  
[739](#).  
Victor Emmanuel I, king of Piedmont and later of Italy  
[1066](#), [1067](#).  
Victor Emmanuel II, king of Sardinia-Piedmont and later of Italy  
[1093](#), [1104](#), [1202](#), [1210](#), [1211](#), [1211](#), [1213](#), [1219](#).  
Victor Emmanuel III, king of Italy  
[1223](#), [1838](#), [2142](#), [2165](#), [2208](#), [2925](#), [2926](#).  
Victoria, Australia  
[1489](#), [1490](#), [1490](#), [1492](#), [1492](#), [1492](#), [1494](#), [1494](#), [1495](#), [1495](#), [1496](#), [1497](#), [1497](#),  
[4309](#).  
Victoria, Cameroon  
[1539](#).  
Victoria, queen of England  
[1046](#), [1049](#), [1050](#), [1155](#), [1396](#), [1503](#), [1539](#), [1558](#); as empress of India, [1162](#), [1397](#).  
Victoria, Guadalupe, Mexican leader  
[1687](#), [1687](#).  
Victoria Falls, Africa  
[1508](#).  
Victorianism  
[1050](#), [1142](#).  
Victoria Nyanza  
[1508](#), [1509](#).  
Vicuña Aguirre, Pedro Félix, Latin American leader  
[1662](#).  
Vidal, Francisco A., Latin American leader  
[1667](#).  
Vidaurre, José Antonio, Latin American leader  
[1662](#).  
Videla, Gabriel González, Chilean leader  
[3508](#).  
Videla, Jorge Rafael, Argentine leader

[3492](#), [3493](#), [3496](#).  
Vidin  
[810](#), [1299](#), [1329](#).  
Vieche, Novgorod  
[488](#).  
Vieira, Antônio, Brazilian scholar  
[918](#).  
Vieira, João Bernardo, Guinea-Bissau leader  
[4327](#), [4351](#), [4351](#), [4351](#), [4351](#), [4351](#), [4352](#), [4379](#).  
Vienna  
[254](#), [374](#), [542](#), [561](#), [617](#), [617](#), [622](#), [635](#), [662](#), [757](#), [757](#), [757](#), [779](#), [779](#), [793](#), [804](#), [985](#),  
[1026](#), [1073](#), [1073](#), [1087](#), [1087](#), [1087](#), [1087](#), [1088](#), [1089](#), [1089](#), [1089](#), [1090](#), [1090](#),  
[1090](#), [1090](#), [1092](#), [1104](#), [1133](#), [1140](#), [1238](#), [1284](#), [1284](#), [1746](#), [1771](#), [1771](#),  
[1779](#), [1817](#), [1835](#), [1998](#), [1999](#), [2003](#), [2003](#), [2006](#), [2007](#), [2008](#), [2008](#), [2011](#), [2011](#),  
[2012](#), [2012](#), [2018](#), [2023](#), [2591](#), [2676](#), [2745](#), [3028](#), [3030](#), [3031](#), [3031](#), [3035](#), [3038](#),  
[3039](#), [3040](#), [3185](#), [3289](#), [3406](#), [3779](#); Ottoman siege of, [575](#); treaty of 1864, [1100](#);  
treaty of 1866, [1216](#); treaty of 1809, [1267](#); treaty of 1818, [1410](#); conference, [1833](#).  
Vienna, Congress of  
[734](#), [1032](#), [1032](#), [1033](#), [1066](#), [1070](#), [1071](#), [1233](#), [1257](#), [1267](#).  
Vienna, University of  
[758](#).  
Vienna–Istanbul Railway  
[1346](#).  
Vienna system  
[1087](#).  
Vienna-to-Constantinople Railroad  
[1289](#), [1304](#).  
Vienne  
[264](#), [405](#), [453](#).  
Vientiane  
[342](#), [845](#), [1409](#), [1409](#), [4094](#), [4098](#), [4103](#).  
Vieques, island  
[3734](#).  
Viera, Feliciano, Uruguayan leader  
[2252](#).  
Viêt Cong (NLF)  
[2670](#), [3411](#), [3415](#), [3424](#), [4084](#), [4085](#), [4259](#), [4262](#), [4262](#), [4263](#), [4263](#), [4264](#), [4264](#),  
[4264](#), [4265](#), [4266](#), [4266](#), [4266](#), [4266](#), [4268](#), [4269](#), [4270](#), [4270](#), [4270](#), [4270](#), [4271](#),  
[4271](#), [4271](#), [4272](#), [4273](#), [4273](#), [4273](#).  
Viète, François (Vieta), French mathematician  
[638](#).

Việt Minh

[2528](#), [2636](#), [4093](#), [4093](#), [4253](#), [4253](#), [4254](#), [4254](#), [4255](#), [4255](#), [4257](#).

Vietnam

[51](#), [51](#), [136](#), [138](#), [153](#), [153](#), [155](#), [279](#), [281](#), [281](#), [397](#), [397](#), [397](#), [397](#), [397](#), [397](#), [397](#), [397](#), [397](#), [398](#), [398](#), [398](#), [398](#), [398](#), [398](#), [399](#), [399](#), [399](#), [399](#), [399](#), [399](#), [399](#), [399](#), [474](#), [837](#), [849](#), [849](#), [849](#), [849](#), [850](#), [853](#), [856](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [863](#), [1409](#), [1419](#), [1473](#), [1473](#), [2455](#), [2489](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2524](#), [2525](#), [2525](#), [2526](#), [2526](#), [2527](#), [2528](#), [2529](#), [2637](#), [2640](#), [2644](#), [2644](#), [2653](#), [2665](#), [2667](#), [2676](#), [2778](#), [2847](#), [2857](#), [3390](#), [4047](#), [4047](#), [4069](#), [4084](#), [4086](#), [4086](#), [4087](#), [4087](#), [4087](#), [4087](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4088](#), [4100](#), [4101](#), [4101](#), [4101](#), [4102](#), [4102](#), [4102](#), [4253](#), [4255](#), [4256](#), [4256](#), [4257](#), [4268](#), [4269](#), [4273](#), [4275](#), [4275](#), [4275](#), [4276](#), [4277](#), [4277](#), [4278](#), [4279](#), [4281](#), [4291](#); WWII, [2454](#); and Japan, [2459](#); Great Depression, [2525](#); Vietnam War, [2637](#); peace agreement, [2670](#); and U.S., [3409](#), [3409](#), [3411](#), [3411](#), [3433](#), [4100](#), [4253](#), [4255](#), [4256](#), [4256](#), [4261](#), [4264](#), [4264](#), [4264](#), [4264](#), [4264](#), [4264](#), [4265](#), [4265](#), [4265](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4266](#), [4267](#), [4267](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4268](#), [4269](#), [4269](#), [4269](#), [4269](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4270](#), [4271](#), [4271](#), [4271](#), [4271](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4272](#), [4273](#), [4273](#), [4273](#), [4273](#), [4273](#), [4275](#), [4275](#), [4276](#), [4277](#), [4278](#), [4279](#), [4280](#), [4280](#), [4281](#), [4281](#), [4282](#), [4282](#); and China, [4163](#), [4253](#), [4253](#), [4255](#), [4257](#), [4268](#), [4269](#), [4275](#), [4275](#), [4275](#), [4276](#), [4277](#), [4278](#); and South Korea, [4205](#); Democratic Republic of Vietnam, [4253](#), [4256](#); and France, [4253](#), [4254](#), [4254](#), [4254](#), [4255](#), [4255](#), [4255](#), [4256](#), [4256](#), [4256](#), [4257](#), [4280](#); Republic of Cochin China, [4254](#); and Russia, [4255](#), [4266](#), [4266](#), [4267](#), [4269](#), [4269](#), [4275](#), [4275](#); Vietnamization, [4271](#); Socialist Republic, [4274](#); Chinese, [4275](#), [4275](#); economic changes in 1980s and 1990s, [4276](#), [4276](#), [4276](#), [4276](#), [4276](#), [4280](#); makeup, [4277](#); MIAs, [4281](#). *See* [North Vietnam](#); [South Vietnam](#).

Việt Nam Duy Tân Hoi, party

[2524](#).

Vietnamese National Liberation Front

*See* [Việt Công \(NLF\)](#).

Vietnamese Revolutionary Youth League

[2524](#).

Vietnamese Workers' Party

[4255](#), [4261](#).

Việt Nam Quang Phục Hoi, party

[2524](#).

Việt Nam Quốc Dân Đảng, party

[2525](#).

Vietnam War

[2779](#), [2780](#), [3062](#), [3390](#), [3390](#), [3400](#), [3409](#), [3411](#), [3413](#), [3415](#), [3420](#), [4047](#), [4067](#), [4067](#), [4093](#), [4098](#), [4205](#), [4208](#), [4259](#), [4269](#), [4278](#), [4302](#), [4302](#), [4303](#), [4303](#), [4305](#),

[4306](#), [4316](#); antiwar, [3413](#), [3413](#), [3413](#), [3414](#), [3414](#), [3414](#), [3415](#), [3416](#), [3417](#), [3417](#), [3418](#), [3419](#), [3419](#), [3419](#), [3419](#), [3419](#), [3420](#), [3422](#), [3425](#); Thailand, [3418](#); Laos, [3418](#); Cambodia, [3419](#), [3419](#), [3420](#); My Lai, [3422](#); cease-fire agreement, [3424](#); cost of war, [4273](#).

Viipuri  
[2583](#).

Vijayabahu I, Ceylonese ruler  
[341](#).

Vijayaditya III  
[327](#).

Vijayanagar  
[332](#), [333](#), [333](#), [337](#).

Vijayanagara Empire  
[331](#), [337](#), [830](#), [830](#), [830](#), [831](#), [833](#).

Vike-Frieberga, Vaira, Latvia  
[3350](#).

Vikings  
[412](#), [412](#), [422](#), [422](#), [422](#), [422](#), [426](#), [426](#), [426](#), [488](#), [769](#).

Vikramaditya, ruler of India  
[326](#).

Vikramaditya II, ruler of India  
[326](#), [327](#).

Vikramaditya VI, ruler of India  
[336](#), [336](#).

Vilcabamba  
[898](#), [899](#), [899](#), [899](#).

Villa, Francisco (Pancho), Mexican leader  
[1621](#), [2290](#), [2292](#), [2292](#), [2292](#), [2292](#), [2293](#), [2294](#), [2296](#), [2297](#).

Villafañe, Ángel, Spanish colonial administrator  
[905](#).

Villafavila, treaty of  
[601](#).

Villafranca  
[1211](#).

Villain, Raoul, assassin  
[1901](#).

Villalar, battle of  
[602](#).

Villa-Lobos, Heitor, composer  
[2241](#).

Villalobos, Ruy de, Spanish explorer

[867](#).  
Villani, Giovanni, historian  
[534](#).  
Villanueva, José Cabino, Bolivian leader  
[2255](#).  
Villa Occidental  
[1666](#).  
Villarroel, Gualberto, Bolivian leader  
[2257](#), [3536](#).  
Villa Viciosa  
[659](#).  
Villazón, Eleodoro, Latin American leader  
[1669](#).  
Villeda Morales, Ramón, Honduran leader  
[3694](#), [3694](#).  
Villegagnon, Nicolás Durand de, French colonizer  
[914](#).  
Villehardouin, Geoffroy I, prince of Achaea  
[508](#).  
Villehardouin, Geoffroy II, prince of Achaea  
[508](#).  
Villehardouin, Geoffrey de, historian  
[452](#).  
Villehardouin, Guillaume, prince of Achaea  
[508](#), [564](#).  
Villehardouins  
[564](#).  
Villeneuve-Bargemont, French reformer  
[1061](#).  
Villermé, Louis, French reformer  
[1061](#).  
Villeroy, duke of, François, French commander  
[655](#), [658](#).  
Villiger, Kaspar, Swiss leader  
[2978](#).  
Villmergen Wars  
[748](#), [749](#), [749](#).  
Villon, François, poet  
[524](#).  
Vilna  
[557](#), [1029](#), [1708](#), [1794](#), [1817](#), [2085](#), [2086](#), [2086](#), [2087](#), [2087](#), [2114](#), [2125](#), [2593](#);

confederation of, [633](#); dispute, [1817](#); diet, [1817](#); ghetto, [2084](#); plebiscite, [2088](#), [2117](#).

Vilnius  
[3300](#), [3353](#), [3354](#), [3354](#).

Vima Kadphises of Bactria  
[130](#).

Vimala Saha, Indian leader  
[331](#).

Vimeiro, battle of  
[1027](#).

Viminacium  
[428](#).

Vimy Ridge  
[1801](#).

Vinaroz  
[1931](#).

Vincennes, battle of  
[950](#).

Vincent, Stenio, Haitian leader  
[2316](#), [2316](#), [2316](#).

Vincent Ferrer, St.  
[525](#).

Vincent of Beauvais, scholar  
[452](#).

Vincenzo II, Gonzaga  
[612](#).

Vindex, Caius Julius, Roman legate  
[249](#).

Vindhyas  
[130](#), [132](#), [133](#).

Vindobona, Vienna  
[254](#).

Vinekh, Bulgarian ruler  
[439](#).

Vinland  
[281](#), [571](#).

Vio, Tommaso de, cardinal of Gaëta  
[613](#).

Viola, Roberto, Argentine leader  
[3493](#), [3493](#).

Viraballala III, ruler of India  
[337](#), [337](#).

Virarajendra, Chola, ruler of India

336.

Virchow, Rudolph, pathologist

1151.

Virginia

905, 924, 925, 926, 929, 932, 937, 937, 937, 937, 937, 937, 939, 940, 940, 941, 944, 947, 950, 951, 952, 1585, 1586, 1588, 1594, 1809; early settlements, 588, 924, 924, 924, 924; in the Civil War, 1587, 1587.

Virginia Company

924.

Virginia Convention, on independence

947.

Virgin Islands

954, 997, 2311, 2600; and U.S., 2208; Great Depression, 2311, 2312.

Viriathus, Lusitanian leader

233.

Virpazar

1297.

Virupaksha

326.

Visayan Islands

724, 867, 867.

Vischer, Peter, two German artists

616.

Visconti, Bernabò, lord of Milan

537, 537.

Visconti, Filippo Maria, duke of Milan

533, 535, 535, 537, 537, 538.

Visconti, Galeazzo II, lord of Milan

537, 537.

Visconti, Gian Galeazzo, duke of Milan

537, 537.

Visconti, Gian Maria, ruler of Milan

537, 537.

Visconti, Giovanni

534.

Visconti, Matteo I, ruler of Milan

474, 537.

Visconti, Otto, archbishop of Milan

537.

Visconti, Stefano, lord of Milan





[1029](#).  
Vittorio Veneto, battle of  
[1778](#).  
Vivaldi, Antonio, Italian composer  
[735](#).  
Vivaldo, Ugolino, explorer  
[281](#).  
Vivekananda, Bengali swami  
[1398](#), [1701](#).  
Vives, Luis, Spanish philosopher  
[604](#).  
Viviani, René Raphaël, French leader  
[1140](#).  
Vizagapatam  
[326](#).  
Vizcaíno, Sebastián, Spanish explorer  
[904](#).  
Vlad, Iulian, Romanian leader  
[3256](#).  
Vladimir I, the Saint  
[438](#), [488](#), [488](#).  
Vladimirescu, Tudor, Wallachia leader  
[1311](#).  
Vladimir Monomakh, prince of Kiev  
[488](#).  
Vladimir principality  
[489](#), [489](#), [489](#), [490](#).  
Vladislav I, Ladislav  
[486](#).  
Vladislav II, Ladislav  
[484](#).  
Vladislav IV, Lokietek  
[555](#).  
Vladislav VI, king of Poland and Hungary  
[555](#), [556](#), [560](#), [561](#).  
Vladislavich, Sava, Russian envoy to China  
[853](#).  
Vladislav Laskonogi, son of Mieszko III  
[487](#).  
Vladivostok  
[956](#), [1259](#), [1418](#), [1422](#), [2067](#), [2498](#), [2498](#), [2596](#).

Vlora, Ismail Kemal, Albanian leader  
[1326](#), [1326](#), [1326](#).

Vlore  
[3200](#).

Vodun  
[3465](#).

Voeslau, treaty of  
[1287](#).

Vogel, Julius  
[1503](#).

Vogelweide, Walther von der, poet  
[459](#).

Voinovich, Vladimir, writer  
[3301](#).

Voitech, George, Bulgarian leader  
[496](#).

Voitinsky, Grigorii, Coummunist agent  
[2465](#).

Vojvodina  
[3177](#), [3178](#).

Voldemaras, Augustinas, Lithuanian leader  
[2085](#), [2090](#), [2090](#).

Volga River  
[278](#), [291](#), [488](#), [488](#), [489](#), [629](#), [784](#), [961](#), [2067](#), [2595](#).

Volhynia  
[555](#).

Volksgeist, soul of the people  
[1035](#).

Volksraad, Indonesia  
[2456](#), [2456](#), [2456](#), [2456](#).

Volksunie, Belgium  
[2822](#).

Volkswagen  
[3024](#).

Volkswehr, Austria  
[1998](#).

Volmar, Isaak, Austrian envoy  
[624](#).

Vologesus III, king of Parthia  
[254](#).

Volosin, Augustin, Carpatho-Ukraine leader

[2032](#).  
Volsci  
[222](#), [225](#).  
Volstead Act, National Prohibition Act  
[2190](#).  
Volta, Alessandro, scientist  
[735](#), [981](#).  
voltaic battery  
[1041](#).  
Voltaic pile, forerunner of modern battery  
[981](#).  
Voltaire, French writer  
[645](#), [749](#), [789](#).  
Volta River  
[870](#), [870](#), [873](#), [2555](#).  
Volturno, battle of  
[1212](#).  
Volunteers in Service to America, VISTA  
[3410](#).  
Volunteers, Irish  
*See* [National Volunteer Convention](#).  
Volynia  
[488](#), [489](#).  
Vo Nguyễn Giap, Vietnamese leader  
[2528](#), [2529](#), [4256](#), [4271](#), [4277](#).  
Vonones, Iranian ruler  
[130](#).  
Voortrekkers  
[1551](#), [1551](#), [1552](#).  
Vorarlberg, Switzerland  
[1964](#).  
Vorkuta  
[3315](#).  
Voronezh  
[2595](#).  
Voroshilov, K. Y., Russian leader  
[3274](#).  
Vorovsky, Vaslav, Russian diplomat  
[1966](#).  
Vorparlament, Prussia  
[1096](#).

Vossem, Peace of  
[652](#).  
Vostok I, Russian space vehicle  
[2703](#), [3275](#).  
voting rights  
*See* [suffrage](#).  
Voting Rights Act, U.S.  
[3411](#), [3420](#).  
Vouillé  
[407](#), [418](#).  
Vouli, Greek parliament  
[3211](#).  
Voyager space program  
[2641](#).  
Vranitzky, Franz, Austrian leader  
[3037](#), [3039](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---

## Subject Index

### Page 81

Vranje

[1288.](#)

Vratislav II, king of Bohemia

[484.](#)

Vukan, brother of Stephen Nemanya II

[494.](#)

vulcanized rubber

[983.](#)

Vulcan Pass

[1806.](#)

Vulgate Bible

[268](#), [401](#), [609.](#)

Vyborg

[2597.](#)

Vytautas, Witold

[555](#), [557.](#)

## W

Waals, Johannes van der, physicist

[1148.](#)

Wabash, St. Louis and Pacific Railroad v. Illinois, U.S. Supreme Court decision

[1596.](#)

Wace, poet

[444.](#)

Wachock, Kraków

[443.](#)

Wadai

[871.](#)

Wadd

[126](#).  
Waddington, William Henry, French envoy  
[1108](#).  
Wade, Abdoulaye, Senegalese leader  
[4328](#), [4381](#).  
Wadelai  
[1525](#).  
Wadi al-Makhazin  
[823](#).  
Wadi Dhana  
[128](#).  
Wadi Hadramaut  
[128](#).  
Wadi Hammamat  
[89](#), [90](#), [92](#).  
Wadsworth, William, Connecticut colonist  
[934](#).  
Waes  
[653](#).  
Wafd, Egypt  
[1706](#), [2351](#), [2352](#), [2353](#), [2354](#), [2354](#), [2355](#), [2355](#), [2356](#), [2358](#), [2359](#), [2360](#), [2361](#),  
[2361](#), [2364](#), [2366](#), [2366](#), [2367](#), [2367](#), [2368](#), [2368](#), [2368](#), [2369](#), [3903](#), [3904](#).  
Wafdist Women's Central Committee  
[2353](#).  
Wages and Hours Law, U.S.  
[2207](#).  
Wagner, Richard, composer  
[1235](#).  
Wagner-Connery Labor Relations Act, U.S.  
[2203](#).  
Wagner Labor Relations Act, U.S.  
[2206](#).  
Wagner-Steagall Act, U.S.  
[2206](#).  
Wagram, battle of  
[1026](#).  
Wahhabis  
[320](#), [791](#), [810](#), [820](#), [820](#), [820](#), [821](#), [821](#), [1358](#), [1358](#), [1358](#), [1358](#), [1358](#), [1364](#), [1366](#),  
[2413](#).  
Wahid, Abdurrahman, Gus Durj  
[4138](#), [4139](#), [4139](#), [4139](#).

Waiblingers  
[455](#), [456](#), [456](#), [457](#). *See* [Hohenstaufen dynasty](#).

Waikato  
[1502](#), [1503](#).


Wairau, massacre of  
[1502](#).

Waitangi, treaty of  
[1476](#), [1501](#), [1502](#), [1503](#), [4316](#), [4317](#).

Waitangi Tribunal, New Zealand  
[4317](#).

Waitara  
[1502](#), [1502](#).

Wajed, Hasina  
[4023](#).

Wakatsuki Reijir , Japanese leader  
[2506](#), [2507](#), [2511](#), [2511](#).

Wakefield, Edward Gibbon, colonial leader  
[1489](#).

Wake Island  
[2626](#), [3394](#).

Walata  
[357](#).

Wald, Lillian D., U.S. reformer  
[1603](#).

Waldeck-Rousseau, René, French leader  
[1195](#), [1196](#).

Waldemar, king of Sweden  
[463](#), [463](#), [463](#).

Waldemar, prince of Denmark  
[1302](#).

Waldemar I, the Great  
[461](#), [486](#).

Waldemar II, the Conqueror  
[456](#), [461](#), [489](#).

Waldemar IV, king of Denmark  
[548](#), [548](#), [551](#), [551](#), [551](#), [551](#), [551](#), [551](#), [552](#).

Waldensians  
[450](#), [544](#), [738](#).

Waldheim, Kurt, Austrian leader  
[3037](#).

Waldmann, Hans, Swiss leader

[547](#).  
Waldo, Peter, religious leader  
[450](#).  
Waldseemüller, Martin, geographer  
[573](#).  
Wales  
[248](#), [251](#), [421](#), [422](#), [425](#), [444](#), [444](#), [446](#), [512](#), [590](#), [785](#), [1042](#), [1043](#), [1046](#), [1049](#), [1155](#),  
[1157](#), [1159](#), [1165](#), [2644](#), [2754](#), [2775](#), [2777](#), [2802](#), [2802](#).  
Walesa, Lech, Polish leader  
[2679](#), [3100](#), [3104](#), [3105](#), [3105](#), [3109](#), [3110](#), [3111](#), [3112](#), [3112](#), [3112](#), [3113](#), [3113](#),  
[3113](#), [3115](#), [3116](#), [3116](#), [3117](#).  
Wali Allah al-Dihlawi, shah and religious reformer  
[580](#).  
Walker, David, U.S. black leader  
[1575](#).  
Walker, William, Latin American leader  
[1680](#), [1683](#), [1683](#), [1683](#), [1683](#), [1683](#), [1685](#), [1686](#).  
Wallace, Alfred R., naturalist  
[1151](#).  
Wallace, George C., U.S. leader  
[3411](#), [3411](#), [3416](#).  
Wallace, Henry A., U.S. leader  
[2209](#), [2485](#), [3390](#).  
Wallace-Johnson, I. T. A., activist  
[2559](#).  
Wallachia  
[311](#), [312](#), [313](#), [439](#), [441](#), [560](#), [563](#), [798](#), [806](#), [806](#), [807](#), [808](#), [809](#), [810](#), [811](#), [1272](#),  
[1311](#), [1311](#), [1313](#), [1313](#), [1334](#), [1335](#), [1806](#); revolution in, [1311](#); and Ottoman Empire,  
[1333](#).  
Wallenius, Kurt, Finnish leader  
[2056](#), [2056](#).  
Wallenstein, Albert (Albrecht) von, Danish commander  
[618](#), [618](#), [619](#), [619](#), [619](#), [619](#), [620](#), [620](#), [620](#), [620](#), [620](#), [620](#).  
Wallia, Visigoth leader  
[265](#), [403](#), [403](#).  
Wallis, John, mathematician  
[639](#).  
Wallis, Samuel, English navigator  
[865](#).  
Wall of Antoninus  
[255](#).



Wallon, Henri A., French leader  
[1191](#), [1191](#).

Wallonia  
[1056](#), [2644](#), [2822](#), [2823](#). *See* [Belgium](#).

Walloon Guards  
[720](#).

Walloons, Belgium  
[1882](#), [1887](#), [2822](#). *See* [Belgium](#).

Walo, papal legate  
[486](#).

Walpole, Hugh Seymour  
[1839](#).

Walpole, Robert  
[686](#), [686](#).

Walsh, Thomas J., U.S. leader  
[2194](#).

Walsingham, Francis  
[588](#).

Walsingham, Thomas, chronicler  
[513](#).

Walter, Hubert, archbishop of Canterbury  
[444](#).

Walter of Brienne, duke of Athens  
[534](#).

Walter the Penniless, Crusader  
[505](#).

Waltham  
[1572](#).

Walton, Izaak, English writer  
[594](#).

Walvis Bay  
[1554](#).

Wampanoags  
[933](#).

Wan, prince, Thai leader  
[2718](#).

Wanbaoshan  
[2472](#).

Wang Anshi, Chinese leader  
[371](#), [371](#), [372](#), [373](#), [398](#).

Wangara

[355](#).  
Wangarawa  
[355](#).  
Wang Bi, Chinese scholar  
[158](#).  
Wang Ching-wei, Chinese leader  
[2624](#).  
Wang Chong, Chinese philosopher  
[156](#).  
Wang dynasty  
[155](#).  
Wang Fuzhi, Chinese scholar  
[854](#).  
Wang Guowei, scholar  
[2478](#).  
Wang Hsüan-tse, ambassador  
[324](#).  
Wang Jingwei, Chinese leader  
[2465](#), [2469](#), [2482](#), [2520](#).  
Wang Juntao, dissident  
[4169](#).  
Wang Kemin, Japanese puppet ruler of China  
[2480](#).  
Wang K<sup>!</sup>n, T'aejo  
[379](#), [379](#), [379](#), [379](#).  
Wang Mang, Chinese emperor  
[155](#), [155](#), [156](#), [160](#), [397](#).  
Wang Ming, Chen Shaoyu  
[2481](#).  
Wang Mingsheng, Chinese scholar  
[854](#).  
Wang Wei, poet  
[370](#), [370](#).  
Wangxia, treaty of  
[1416](#).  
Wang Xianqian, Chinese scholar  
[1425](#).  
Wang Xizhi, Chinese calligrapher  
[158](#).  
Wangyan Aguda, Jurchen leader  
[372](#).

Yangming, Wang, Chinese philosopher  
[580](#), [851](#), [856](#).

Wang Yinglin, encyclopedist  
[373](#).

Wanke, Daouda Malam, Niger leader  
[4365](#).

Wanli dynasty  
[851](#).

Wannsee Conference  
[1993](#).

Wa people  
[161](#), [161](#), [161](#), [377](#), [1404](#).

Warangal  
[332](#), [332](#), [333](#), [333](#), [337](#), [337](#).

Warbeck, Percy, Flemish imposter to the British throne  
[585](#).

War Chariot invasions  
[67](#).

War Committee, later Dardanelles Committee  
[1839](#).

Ward, Frederick Townsend, American adventurer  
[1417](#).

Ward, Joseph, New Zealand leader  
[2551](#).

War Finance Commission, U.S.  
[2189](#).

Wargala  
[292](#).

War Hawks, U.S.  
[1571](#).

War Industries Board, U.S.  
[2187](#), [2188](#).

War Industry Committee, Russia  
[2062](#).

War Labor Board, U.S.  
[2212](#).

War Measures Act, Canada  
[3455](#), [3455](#).

Warm Springs  
[2216](#).

Warner, Seth, American commander

[946](#).  
Warner, Susan, writer  
[1582](#).  
Warnier Law, France  
[1383](#).  
War of 1812  
[1563](#), [1572](#), [1623](#), [1623](#), [1624](#).  
War of American Independence  
*See* [American Revolution](#).  
War of Attrition  
[3773](#).  
War of Berenice  
[213](#).  
War of Chioggia, Venice and Genoa  
[538](#).  
War of Demetrius  
[210](#).  
War of Devolution  
[649](#), [712](#), [718](#), [752](#).  
War of Independence  
*See* [American Revolution](#).  
War of Jenkins' Ear  
[660](#), [687](#), [939](#).  
War of Kalmar  
[627](#).  
War of the Austrian Succession  
[578](#), [660](#), [687](#), [724](#), [739](#), [745](#), [758](#), [787](#), [834](#), [939](#), [941](#).  
War of the Bavarian Succession  
[667](#), [759](#).  
War of the Cabanos  
[1677](#).  
War of the Catholic Cantons, Switzerland  
[625](#).  
War of the Emboabas  
[916](#).  
War of the Farrapos  
[1677](#).  
War of the First Coalition  
[1003](#), [1009](#), [1009](#).  
War of the League of Augsburg  
[653](#), [704](#), [713](#), [752](#), [939](#).

War of the Mantuan Succession  
[612](#).

War of the Mascates  
[916](#).

War of the Oranges  
[731](#).

War of the Pacific, in Latin America  
[1663](#), [1668](#), [1669](#), [1670](#).

War of the Polish Succession  
[660](#), [723](#), [745](#), [780](#), [787](#).

War of the Reform, Mexico  
[1691](#).

War of the Second Coalition  
[790](#), [1011](#).

War of the Seven Reductions  
[906](#).

War of the Spanish Succession  
[575](#), [578](#), [657](#), [682](#), [704](#), [714](#), [720](#), [728](#), [738](#), [740](#), [753](#), [906](#), [939](#).

War of the Third Coalition  
[726](#), [1023](#), [1256](#).

War of the Thousand Days, civil war in Colombia  
[1673](#).

War of the Three Henrys  
[599](#).

War of the Triple Alliance  
[1677](#).

War on Poverty  
[3410](#).

War Production Board, U.S.  
[2212](#), [2212](#).

Warren, William R., Newfoundland leader  
[2235](#), [2235](#).

Warren Commission, U.S.  
[3410](#).

War Revenue Act, U.S.  
[2188](#).

Warri  
[875](#), [878](#).

Warring States period, Japan  
[396](#).

Warsaw

[667](#), [776](#), [777](#), [777](#), [782](#), [782](#), [1025](#), [1029](#), [1268](#), [1268](#), [1739](#), [1792](#), [1794](#), [1817](#), [1821](#), [1838](#), [2110](#), [2113](#), [2124](#), [2126](#), [2126](#), [2180](#), [2582](#), [2621](#), [2709](#), [2731](#), [2757](#), [2996](#), [3005](#), [3006](#), [3095](#), [3096](#), [3103](#), [3104](#), [3106](#), [3119](#), [3128](#), [4150](#), [4159](#); duchy of, [1026](#), [1032](#), [1267](#), [1267](#); battle of, [1739](#), [1792](#); Ghetto, [3116](#).

Warsaw, University of  
[1267](#), [1267](#).

Warsaw Ghetto Uprising  
[2125](#).

Warsaw Pact  
[2687](#), [2716](#), [2717](#), [2719](#), [2725](#), [2727](#), [2728](#), [2729](#), [2729](#), [2729](#), [2730](#), [2731](#), [2731](#), [2734](#), [2736](#), [2741](#), [2745](#), [2748](#), [2748](#), [2749](#), [2752](#), [3016](#), [3101](#), [3102](#), [3111](#), [3131](#), [3147](#), [3151](#), [3152](#), [3156](#), [3202](#), [3238](#), [3250](#), [3250](#), [3276](#), [3281](#), [3282](#), [3300](#);  
renunciation of Brezhnev Doctrine, [2747](#); dissolution, [2749](#); end, [3303](#).

Warsaw Society of the Friends of Science  
[1267](#).

Warsaw Treaty Organization  
[3113](#).

Wars of Liberation  
[1030](#).

Wars of Succession  
[213](#), [218](#).

Wars of the Diadochi  
[209](#).

Wars of the Roses  
[515](#), [515](#), [516](#), [548](#).

Wars with Rome  
[273](#), [273](#), [273](#), [274](#), [274](#), [274](#), [275](#).

Wartburg Festival, Germany  
[1071](#), [1073](#).

Warthe River  
[486](#).

Wartime Elections Act, Canada  
[2219](#).

Warwick, earl of, Edward Plantagenet  
[585](#).

Warwick, earl of, Richard Neville  
[515](#), [515](#).

Warwick, 2nd earl, Robert Rich, English colonizer  
[928](#).

Washington, U.S. state  
[33](#), [1603](#), [1607](#), [1741](#), [1762](#), [1781](#), [2187](#), [2222](#), [2224](#), [2226](#), [2231](#), [2238](#), [2240](#), [2240](#),

[2274](#), [2276](#), [2316](#), [2485](#), [2600](#), [3432](#).  
Washington, Booker T., U.S. black leader  
[1608](#).  
Washington, D.C.  
[33](#), [1418](#), [1566](#), [1586](#), [1587](#), [1594](#), [1603](#), [1607](#), [1741](#), [1762](#), [1781](#), [2187](#), [2222](#), [2224](#),  
[2226](#), [2231](#), [2238](#), [2240](#), [2240](#), [2274](#), [2276](#), [2316](#), [2485](#), [2534](#), [2534](#), [2549](#), [2600](#),  
[2624](#), [2625](#), [2632](#), [2632](#), [2649](#), [2670](#), [2671](#), [2683](#), [2697](#), [2708](#), [2710](#), [2715](#), [2731](#),  
[2766](#), [2768](#), [2770](#), [2844](#), [2995](#), [3250](#), [3396](#), [3404](#), [3411](#), [3415](#), [3418](#), [3419](#), [3430](#),  
[3432](#), [3434](#), [3448](#), [3514](#), [3715](#), [3784](#), [3785](#), [3844](#), [3862](#), [3864](#), [3865](#), [3869](#), [3875](#),  
[3967](#), [3998](#), [4183](#), [4223](#), [4233](#), [4241](#), [4261](#); in War of 1812, [1572](#); convention of 1861,  
[1584](#); Pan-American conferences, [1603](#); Washington conferences, [1698](#), [1710](#), [2192](#),  
[2501](#), [2502](#); treaty of, [1719](#); March on, [3390](#), [3408](#); peace march, [3414](#); Poor People's  
March, [3415](#); march for gay rights, [3430](#).  
Washington, George, U.S. president  
[939](#), [940](#), [952](#), [1564](#), [1565](#), [1565](#), [1565](#), [1565](#), [1565](#); in the American Revolution, [946](#),  
[947](#), [948](#), [948](#), [948](#), [948](#), [948](#), [948](#), [949](#), [949](#), [950](#), [951](#).  
Washoe Mountains  
[1594](#).  
Washukanni, Mitanni capital  
[86](#), [93](#), [113](#).  
Wasil ibn Ata, religious scholar  
[290](#).  
Wasit  
[292](#).  
Wasmosy, Juan Carlos, Paraguayan leader  
[3525](#), [3525](#), [3525](#), [3526](#).  
Wasp, U.S. ship  
[1572](#).  
Wassaw people  
[876](#).  
Watanabe Kazan, scholar  
[1438](#).  
Watauga settlement, eastern Tennessee  
[941](#).  
Watchmakers' Association  
[1963](#).  
Watchtower (Kitawala) movement, Nyasaland  
[1548](#), [2568](#), [2572](#).  
Waterford  
[425](#), [426](#), [1864](#).  
Watergate

[3423](#).  
Waterloo, battle of  
[1033](#).  
Water-Power Act, U.S.  
[2191](#).  
Water Quality Act, U.S.  
[3411](#).  
Watertown  
[926](#), [1608](#).  
water turbine  
[981](#).  
Watson, Charles, British officer  
[835](#).  
Watson, James D., geneticist  
[2703](#).  
Watson, John C., Australian leader  
[1497](#), [1497](#).  
Watson-Watt, Robert A., radar researcher  
[1736](#).  
Watt, James, inventor  
[647](#), [981](#), [1034](#).  
Wattasid dynasty  
[323](#), [323](#), [822](#), [822](#), [822](#), [822](#), [822](#), [823](#).  
Watts, Los Angeles  
[3411](#).  
Wattwil  
[749](#).  
Wauchope, Arthur  
[2390](#).  
Wave Hill, Australia  
[4303](#).  
Wavell, 1st earl, Archibald, British commander  
[2447](#), [2612](#).  
Wazed, Hasina  
[4025](#).  
Wazzani Berbers  
[1375](#).  
Wealth of Nations, by Adam Smith  
[689](#).  
Wealth-Tax Act, U.S.  
[2205](#).



Wearmouth  
[421](#).

Weathermen, underground movement  
[3420](#).

Weaver, James B., U.S. leader  
[1605](#), [1605](#).

Webb-Kenyon Act, U.S.  
[2203](#).

Webb-Pomerene Act, U.S.  
[2189](#).

Weber, Max, economist-sociologist  
[613](#), [1143](#), [1144](#), [1237](#).

Webster, Daniel, U.S. leader  
[1575](#), [1580](#).

Webster, Noah, U.S. lexicographer  
[1569](#).

Webster, Ronald, Anguillan leader  
[3761](#).

Webster-Ashburton Treaty  
[1576](#).

Wedel, Betho von  
[1746](#).

Wedemeyer, Albert, U.S. leader  
[2485](#).

Wedgewood, Josiah, English potter  
[647](#).

Wedmore, peace of  
[422](#).

Wegener, Alfred, geologist  
[1731](#).

Wehnelt, Artur, pioneer in cathodes  
[1736](#).

Wehrmacht  
[2596](#).

Wei dynasty  
[139](#), [140](#), [146](#), [153](#), [156](#), [156](#), [157](#), [157](#), [160](#), [160](#).

Weierstrass, Karl, mathematician  
[1147](#).

Weihaiwei, British leasehold in China  
[969](#), [1420](#), [1423](#), [2465](#), [2471](#).

Wei Jingsheng, Chinese leader

[4162](#), [4171](#).  
Weilopolski, Alexander  
[1268](#).  
Weimar  
[1973](#), [1973](#).  
Weimar Constitution  
[2987](#).  
Wei River  
[138](#).  
Weismann, August, biologist  
[1153](#).  
Weitling, Wilhelm, utopian socialist  
[1035](#).  
Weizmann, Chaim, Israeli leader  
[3858](#), [3866](#).  
Weizmann Institute of Science  
[2391](#).  
Weizsäcker, Carl von, astrophysicist  
[1730](#).  
Weizsäcker, Richard von, German leader  
[2751](#), [3008](#).  
Welfare Party, Turkey  
[3799](#), [3803](#).  
welfare state  
[2700](#), [2700](#).  
Welfs  
[455](#), [456](#), [456](#), [456](#), [457](#), [457](#), [457](#), [458](#), [459](#), [468](#).  
Welland Canal  
[1625](#).  
Welle River  
[1509](#), [1509](#), [1544](#).  
Welles, Sumner, U.S. diplomat  
[2288](#).  
Wellesley College  
[2469](#).  
Wellington, New Zealand  
[1501](#), [1503](#), [4284](#).  
Wellington, Arthur Wellesley, duke of  
[1027](#), [1028](#), [1028](#), [1029](#), [1029](#), [1031](#), [1032](#), [1033](#), [1046](#), [1489](#); mission to St.  
Petersburg, [1275](#).  
Wells, Clyde, Canadian leader

[3456](#).  
Wells, H. G., writer  
[1839](#).  
Welsbach gas mantle, devised by C. A. Welsbach  
[981](#).  
Welsers, family of German bankers  
[897](#), [897](#), [897](#).  
Welwitsch, Friedrich, botanist  
[1539](#).  
Wen, Chinese king  
[138](#), [138](#).  
Wenceslaus, St., Vaclav  
[483](#).  
Wenceslas (Vaclav) I, king of Bohemia  
[484](#), [484](#), [487](#).  
Wenceslas (Vaclav) II, king of Bohemia  
[485](#), [485](#), [540](#).  
Wenceslas (Vaclav) III, king of Bohemia and Hungary  
[485](#), [485](#), [544](#), [560](#).  
Wenceslas (Vaclav) IV, king of Bohemia and Holy Roman emperor  
[537](#), [541](#), [544](#).  
Wenceslas Square, Prague  
[3133](#).  
Wenden, battle of  
[629](#).  
Wendi, Chinese emperor  
[154](#), [159](#), [377](#).  
Wends  
[411](#), [415](#), [416](#), [416](#), [456](#), [461](#), [461](#), [483](#), [548](#).  
Wentworth, William C., Australian leader  
[1488](#), [1488](#), [1488](#), [1490](#), [1495](#).  
Wen Yiduo, poet  
[4141](#).  
Wenzong, Chinese emperor  
[1417](#).  
Wereloe, treaty of  
[764](#).  
Wergeland, Henrik, Norwegian leader  
[1247](#).  
Werner, Abraham, scientist  
[1041](#).

Werner, Pierre, leader of Luxembourg

[2836](#), [2836](#), [2836](#).

Werth, Johann von, German general

[621](#), [622](#).

Wertheimer, Max, psychologist

[1145](#).

Wesel

[652](#).

Weser River

[415](#).

Weshwesh

[93](#).

Wesley, John, religious reformer

[687](#).

Wesleyans

[1476](#); in Africa, [878](#), [1514](#), [1550](#).

Wessex

[421](#), [422](#), [422](#), [422](#), [422](#), [422](#).

Wessin y Wessin, Elias, Dominican leader

[3739](#), [3739](#).

West, U.S.

[1268](#), [1571](#), [1574](#), [1574](#), [1575](#), [1576](#), [1576](#), [1581](#), [1587](#), [1593](#), [1598](#), [1598](#), [1612](#),  
[1780](#), [4101](#); 1500–1800, [575](#), [579](#); 1800–1914, [953](#), [953](#), [957](#), [961](#), [961](#), [961](#), [961](#),  
[961](#); U.S., [983](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 82

#### West Africa

[38](#), [38](#), [44](#), [44](#), [44](#), [108](#), [110](#), [281](#), [343](#), [343](#), [343](#), [344](#), [344](#), [344](#), [344](#), [344](#), [345](#), [345](#), [345](#), [351](#), [351](#), [352](#), [353](#), [356](#), [357](#), [358](#), [358](#), [359](#), [363](#), [580](#), [822](#), [869](#), [869](#), [869](#), [869](#), [871](#), [871](#), [871](#), [873](#), [873](#), [875](#), [953](#), [954](#), [963](#), [1506](#), [1506](#), [1510](#), [1510](#), [1511](#), [1511](#), [1511](#), [1513](#), [1513](#), [1513](#), [1514](#), [1515](#), [1516](#), [1517](#), [2554](#), [2554](#), [2555](#), [2555](#), [2556](#), [2558](#), [2558](#), [2558](#), [2559](#), [2560](#), [2614](#), [4320](#), [4320](#), [4320](#), [4320](#), [4321](#), [4321](#), [4324](#), [4357](#), [4362](#), [4381](#); WWI, [2554](#); WWII, [2611](#); economic and social change, [4325](#); drought, [4325](#).

#### West African Highlife

[4320](#).

#### West African Youth League

[2559](#).

#### West Bank

[2664](#), [2694](#), [3437](#), [3769](#), [3769](#), [3769](#), [3769](#), [3769](#), [3771](#), [3777](#), [3784](#), [3860](#), [3861](#), [3861](#), [3862](#), [3863](#), [3864](#), [3864](#), [3865](#), [3865](#), [3867](#), [3868](#), [3871](#), [3871](#), [3874](#).

#### West Bengal

[3968](#), [3971](#), [3980](#), [3981](#). *See* [Bengal](#).

#### West Berlin

[2719](#), [2729](#), [2731](#), [2731](#), [2731](#), [2731](#), [3001](#).

#### West Central Africa

[348](#), [363](#), [363](#), [869](#), [885](#), [886](#), [886](#), [2568](#), [4432](#).

#### West Coast, U.S.

[33](#).

#### West Colony, Greenland

[571](#).

#### West Edmonton Mall

[3456](#).

#### Western Australia

[1487](#), [1489](#), [1489](#), [1489](#), [1490](#), [1490](#), [1494](#), [1496](#), [1497](#), [1497](#).

#### Western Baray, temple lake

[340](#).  
Western Bug River  
[482](#).  
Western campaigns, Civil War  
[1587](#), [1587](#), [1588](#), [1588](#).  
Western Church  
[80](#).  
Western Desert  
[206](#).  
Westerners, Korean faction  
[856](#), [856](#).  
Westerners, school of Russian thought  
[1258](#).  
Western Europe  
[281](#), [400](#), [443](#), [575](#), [580](#), [580](#), [584](#), [953](#), [961](#), [1034](#), [1142](#), [1142](#), [1146](#), [1698](#), [1706](#),  
[1814](#), [2637](#), [2640](#), [2643](#), [2644](#), [2670](#), [2703](#), [2709](#), [2711](#), [2714](#), [2758](#), [3012](#), [3249](#),  
[3857](#); postclassical, [276](#), [400](#); 1300–1500, [511](#); 1500–1800, [579](#); between Wars, [1814](#);  
WWII, [1814](#); cost of WWII, [2700](#); economic recovery, [2700](#); postwar cooperation,  
[2700](#); welfare state, [2700](#); post-WWII society, [2700](#), [2700](#); post-WWII economy,  
[2700](#); post-Communist Russia, [2700](#).  
Western European Union, WEU  
[2714](#), [2740](#), [2742](#), [2746](#), [2750](#), [2750](#), [2751](#), [2880](#).  
Western Federation of Miners  
[1615](#).  
Western Han dynasty  
*See* [Former Han dynasty](#).  
Western Hemisphere  
[65](#), [276](#), [280](#), [280](#), [281](#), [284](#), [575](#), [575](#), [579](#), [579](#), [579](#), [581](#), [582](#), [583](#), [631](#), [954](#), [956](#),  
[957](#), [1699](#), [2240](#), [2694](#), [3520](#), [3691](#); WWII, [2598](#), [2599](#), [2599](#), [2599](#), [2601](#), [2601](#),  
[2603](#), [2624](#); free trade, [3475](#), [3477](#).  
westernization  
[1707](#), [1707](#); Russia, [784](#), [785](#), [785](#); the Middle East and North Africa, [1327](#); Egypt,  
[1367](#); Siam, [1408](#); China, [1417](#).  
Western Jin dynasty  
*See* [Jin dynasty](#).  
Western New Guinea  
[2636](#).  
Western Pacific High Commission  
[1477](#).  
Westernport  
[1488](#).

Western Powers

[4098](#).

Western Samoa

[2530](#), [2636](#), [4283](#), [4285](#), [4316](#). *See* [Samoa](#).

Western Satraps, dynasty

[132](#).

Western Wall, Jerusalem

[2389](#), [2389](#).

Western Wei dynasty

[158](#), [158](#), [367](#).

Western Zhou dynasty

[138](#), [138](#), [138](#), [138](#), [138](#), [138](#), [138](#).

West European Air Defense Command

[2721](#).

West Florida

[940](#).

West Francia

[411](#).

West Franks

[413](#), [413](#), [416](#).

West Friesland

[595](#).

West German-Soviet Treaty

[3006](#).

West Germany (Federal Republic of Germany)

[2637](#), [2640](#), [2641](#), [2653](#), [2665](#), [2668](#), [2669](#), [2673](#), [2700](#), [2700](#), [2703](#), [2708](#), [2709](#),  
[2709](#), [2709](#), [2709](#), [2710](#), [2710](#), [2710](#), [2710](#), [2711](#), [2711](#), [2711](#), [2712](#), [2712](#), [2714](#),  
[2714](#), [2714](#), [2714](#), [2715](#), [2716](#), [2716](#), [2718](#), [2718](#), [2720](#), [2724](#), [2725](#), [2728](#), [2729](#),  
[2731](#), [2731](#), [2735](#), [2740](#), [2742](#), [2748](#), [2832](#), [2854](#), [2876](#), [2893](#), [2982](#), [2986](#), [2987](#),  
[2987](#), [2987](#), [2987](#), [2987](#), [2987](#), [2988](#), [2989](#), [2990](#), [2990](#), [2991](#), [2992](#), [2992](#), [2992](#),  
[2993](#), [2994](#), [2994](#), [2996](#), [2997](#), [2998](#), [2999](#), [3000](#), [3000](#), [3000](#), [3001](#), [3002](#), [3004](#),  
[3005](#), [3005](#), [3005](#), [3006](#), [3006](#), [3007](#), [3007](#), [3007](#), [3008](#), [3010](#), [3010](#), [3011](#), [3011](#),  
[3012](#), [3012](#), [3015](#), [3015](#), [3015](#), [3015](#), [3015](#), [3016](#), [3016](#), [3017](#), [3017](#), [3017](#), [3017](#),  
[3019](#), [3019](#), [3019](#), [3019](#), [3019](#), [3019](#), [3019](#), [3020](#), [3020](#), [3020](#), [3021](#), [3021](#), [3021](#),  
[3022](#), [3076](#), [3099](#), [3100](#), [3131](#), [3132](#), [3152](#), [3239](#), [3250](#), [3252](#), [3269](#), [3616](#), [3653](#),  
[3859](#); postwar economy, [2988](#); and Turkey, [3793](#).

West Goths

[264](#).

West India

[761](#).

West India Company

[932](#).  
West Indies  
[588](#), [666](#), [758](#), [866](#), [939](#), [940](#), [941](#), [952](#), [1565](#), [1795](#), [2301](#), [2586](#), [2700](#), [2780](#), [3714](#),  
[3757](#).  
West Indies Federation  
[3756](#), [3757](#), [3757](#).  
Westinghouse Company  
[1736](#), [2191](#).  
West Irian, New Guinea  
[2638](#).  
West Kalimantan  
[837](#).  
Westminster  
[512](#), [516](#), [591](#), [591](#); treaty of, [662](#), [675](#).  
Westminster Abbey, London  
[513](#), [2760](#).  
Westmoreland, William, U.S. commander  
[4269](#), [4270](#), [4270](#).  
West Pakistan  
[3971](#), [3990](#), [4001](#), [4002](#), [4003](#), [4016](#), [4016](#).  
West Papua  
[4139](#).  
Westphalia  
[455](#), [460](#), [548](#), [613](#), [624](#), [1032](#); treaties of, [596](#), [604](#), [626](#), [628](#), [644](#), [648](#), [707](#), [718](#),  
[736](#), [748](#), [759](#), [761](#).  
West Point  
[951](#).  
West Pomerania  
[624](#).  
West Prussia  
[550](#).  
Westray coal mine disaster  
[3458](#).  
West Virginia  
[1588](#).  
Westwall defenses, World War II  
[2619](#).  
Wethersfield  
[928](#), [933](#).  
Wettins  
[459](#), [541](#).



Wettstein, John Rudolf, burgomaster of Basel  
[626](#).

Wetzlar  
[613](#).

Wexford  
[693](#).

Weygand, Maxime, French commander  
[1817](#), [2372](#), [2585](#).

Weymouth, George, English explorer  
[924](#).

Weyprecht, Carl, Austrian explorer  
[996](#).

whaling  
[1437](#), [1489](#), [1500](#), [1539](#).

Wharton, Edith, writer  
[2191](#).

Wheat Board Act, Canada  
[2231](#).

Wheatstone, Charles, developer of telegraph  
[989](#).

wheel  
[83](#).

Wheeler, S. S., developer of electric fan  
[986](#).

Whigs, England  
[675](#), [676](#), [683](#), [1046](#), [1047](#), [1155](#), [1157](#).

Whigs, U.S.  
[1576](#), [1576](#), [1577](#), [1579](#), [1582](#).

Whinfield, J. R., developer of terylene (dacron)  
[984](#).

Whiskey Rebellion, U.S.  
[1565](#), [1595](#).

White, John, English colonizer  
[924](#), [926](#).

White, Maunsel, efficiency engineer  
[985](#).

White, Tim, physical anthropologist  
[19](#).

White Australia movement  
[1497](#), [1498](#).

White Fathers

[1516](#), [1535](#).  
Whitehall  
[594](#).  
Whitehead, Alfred North, mathematician and philosopher  
[1150](#).  
Whitehead, Robert, inventor of self-propelled torpedo  
[985](#).  
White House  
[3423](#), [4211](#).  
White Huns  
[130](#), [324](#).  
White Lake, New York  
[3417](#).  
Whitelaw, William, Irish leader  
[2785](#), [2786](#).  
White Lotus Society, China  
[578](#), [1415](#), [1415](#).  
White Mountain, battle of the  
[617](#), [634](#).  
White Nile  
[96](#), [1508](#), [1524](#), [1527](#).  
White Papers  
[2388](#), [2389](#), [2393](#), [2393](#); British, [2449](#); Northern Ireland, [2786](#); Malaysia, [4113](#); U.S.  
and China, [4144](#).  
White Russia  
[482](#), [632](#), [667](#), [1268](#).  
White Russians  
[2067](#), [2067](#), [2067](#), [2067](#).  
White Sea  
[629](#), [2593](#).  
White Terror, France  
[1008](#).  
Whitewater Development Corporation  
[3432](#), [3441](#).  
Whitlam, Edward Gough, Australian leader  
[4306](#), [4308](#).  
Whitman, Walt, writer  
[1563](#), [1582](#).  
Whitney, Eli, inventor  
[985](#), [1034](#), [1565](#).  
Whittle, Frank, airplane engineer

[1732](#), [1736](#).  
Whitworth, Joseph, developer of standard screw gauge  
[985](#).  
Whydah  
[875](#), [875](#).  
Wiclif, John, religious leader  
[513](#), [513](#), [514](#), [530](#), [544](#), [544](#), [613](#).  
Widukind of Corvey, historian  
[416](#).  
Wiener, Norbert, scientist  
[2703](#).  
Wieselgren, Peter, Swedish temperance leader  
[1076](#).  
Wiesner, Friedrich von  
[1140](#).  
Wijdenbosch, Jules, Surinamese leader  
[3636](#), [3636](#).  
Wilberforce, William, English abolitionist  
[1047](#).  
Wilde, Oscar, writer  
[1142](#).  
Wilderness, battle of the  
[1589](#).  
Wilderness Preservation Act, U.S.  
[3410](#).  
Wilhelmina, queen of the Netherlands  
[1174](#), [1174](#), [1176](#), [1894](#), [1898](#), [1899](#), [2826](#), [2827](#), [2830](#).  
Wilhelmshöhe  
[1185](#).  
Wilhelm von Wied, king of Albania  
[1326](#).  
Wilkes, Charles, U.S. explorer  
[1043](#), [1476](#).  
Wilkes, John, British reformer  
[688](#).  
Wilkins, George Hubert  
[998](#).  
Willaert, Adrian, Dutch composer  
[596](#).  
Willamette River  
[1578](#).

Willca, Pablo Zárate, Aymara leader

[1669](#).

William I, German emperor and king of Prussia

[955](#), [1100](#), [1104](#), [1104](#), [1232](#), [1232](#), [1232](#), [1232](#), [1234](#), [1234](#), [1235](#).

William I, the Conqueror

[413](#), [422](#), [422](#), [423](#), [444](#), [444](#), [444](#), [444](#), [444](#), [447](#), [449](#), [449](#), [449](#), [449](#), [466](#), [467](#), [467](#), [468](#), [670](#).

William I, king of Sicily

[468](#), [468](#), [471](#).

William I (the Silent) of Nassau, Dutch leader

[595](#).

William I, king of the Netherlands

[1053](#), [1054](#), [1055](#), [1056](#), [1057](#), [1057](#).

William II, duke of Württemberg and king of Lithuania

[1774](#).

William II, Kaiser Wilhelm

[970](#), [1116](#), [1120](#), [1121](#), [1124](#), [1129](#), [1132](#), [1134](#), [1141](#), [1235](#), [1346](#), [1740](#), [1762](#), [1781](#), [1782](#), [1782](#), [1784](#), [1817](#), [1895](#), [1971](#), [1971](#), [1971](#), [1980](#).

William II, Rufus

[444](#), [447](#).

William II, king of Sicily

[456](#), [471](#), [471](#).

William II, king of the Netherlands

[1057](#), [1174](#), [1438](#).

William II, stadholder of Holland

[703](#), [703](#), [704](#).

William III, king of England

[653](#), [654](#), [655](#), [656](#), [668](#), [678](#), [678](#), [680](#), [680](#), [681](#), [695](#), [696](#), [697](#), [736](#).

William III, king of the Netherlands

[1174](#).

William III, stadholder of Holland

[704](#), [704](#), [704](#), [705](#).

William IV, king of England

[1046](#), [1047](#), [1072](#).

William IV, stadholder of Holland

[704](#), [705](#), [705](#).

William V, stadholder of Holland

[705](#), [705](#), [705](#).

William X, king of Aquitaine

[449](#).

William and Mary, joint rulers of England

[668](#), [678](#), [678](#), [678](#).  
William of Apulia, ruler of Sicily  
[471](#).  
William of Holland, king of Germany  
[459](#).  
William of Lorris  
[452](#).  
William of Occam, philosopher  
[446](#), [540](#).  
William of Orange, later William III of England  
[595](#), [595](#), [595](#), [595](#), [650](#), [653](#), [676](#), [677](#), [677](#), [677](#), [1053](#).  
William of Rubruck, French diplomat  
[374](#).  
William of Urach, duke, king of Lithuania  
[2085](#).  
William of Wykeham, bishop of Winchester  
[513](#), [513](#).  
Williams, Alberto, composer  
[2241](#).  
Williams, Claudio, Uruguayan leader  
[2252](#).  
Williams, Eric, Trinidadian leader  
[3757](#).  
Williams, John, missionary  
[1476](#).  
Williams, Roger, English colonist  
[928](#), [928](#).  
Williams, Ruth, wife of Ngwato chief  
[4455](#).  
Williamsburg  
[951](#).  
William the Lion, king of Scotland  
[447](#).  
William the Pious, duke of Aquitaine  
[466](#).  
Willibord, missionary  
[426](#).  
Willigis, archbishop of Mainz  
[417](#).  
Williman, Claudio, Latin American leader  
[1667](#).

Willingdon, Lord, Freeman Freeman-Thomas, British leader  
[2224](#), [2441](#).

Willkie, Wendell L., U.S. leader  
[2209](#).

Willoch, Kaare, Norwegian leader  
[3060](#).

Will of the People, Russian society  
[1260](#).

Willoughby, Hugh  
[993](#).

Wills, William J., explorer  
[1493](#).

Wilmot Proviso, U.S.  
[1578](#), [1579](#).

Wilmut, Ian, geneticist  
[2693](#).

Wilno University  
[1267](#).

Wilson, Alan, biochemist  
[19](#), [24](#).

Wilson, Augusta Evans, writer  
[1582](#).

Wilson, Charles E., U.S. leader  
[3394](#), [3399](#).

Wilson, Daniel, son-in-law of Grévy of France  
[1194](#).

Wilson, Harold, British leader  
[2725](#), [2727](#), [2728](#), [2728](#), [2758](#), [2774](#), [2775](#), [2781](#), [2787](#), [2789](#), [3411](#), [4269](#).

Wilson, Henry  
[1780](#).

Wilson, Henry Lane, U.S. diplomat  
[2290](#), [2291](#).

Wilson, Woodrow, U.S. president  
[1619](#), [1619](#), [1620](#), [1620](#), [1621](#), [1621](#), [1702](#), [1703](#), [1706](#), [1741](#), [1769](#), [1769](#), [1769](#),  
[1769](#), [1769](#), [1770](#), [1778](#), [1778](#), [1780](#), [1781](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#),  
[1788](#), [1817](#), [1941](#), [1941](#), [2189](#), [2189](#), [2190](#), [2190](#), [2190](#), [2190](#), [2191](#), [2464](#), [2489](#), [2554](#),  
[4320](#).

Wilson-Gorman Tariff Act, U.S.  
[1607](#).

Wiman, Korean leader  
[160](#).

Wimereux  
[1023](#).

Winchelsea, Robert de, archbishop of Canterbury  
[446](#), [446](#), [446](#).

Winchester  
[444](#).

Winchester, Oliver Fisher, inventor of repeating rifle  
[985](#).

Winchester College, England  
[513](#).

Windau, battle of  
[1794](#).

Windhoek, Namibia  
[1768](#), [4470](#), [4475](#).

Windischgrätz, Alfred zu  
[1088](#), [1089](#), [1090](#).

Windsor, Ontario  
[593](#), [928](#), [933](#), [1629](#); treaties, [528](#), [1124](#).

Windward Islands  
[3756](#).

Wineland  
[571](#), [571](#), [571](#).

Wingate, Reginald  
[2352](#).

Winnipeg General Strike  
[2221](#).

Winrich, grand master of the Teutonic Knights  
[460](#).

Winstanley, Gerrard, leader of the Levelers  
[668](#).

Winster Constitution  
[3806](#).

Winter, James  
[1641](#).

Winter Palace, St. Petersburg  
[1260](#), [2065](#).

Winthrop, John, governor of Massachusetts Bay Colony  
[926](#).

Wiranto, Indonesian leader  
[4139](#).

Wiremu Kingi, Maori leader

[1502](#).  
Wiremu Tamihana, Maori leader  
[1502](#), [1502](#).  
Wisby  
[548](#), [548](#), [548](#), [548](#).  
Wisconsin  
[1596](#), [1613](#).  
Wisconsin, University of  
[3420](#).  
Wisconsin glaciation  
[28](#).  
Wisconsin River  
[921](#).  
Wismar  
[548](#).  
Wissembourgh, battle of  
[1185](#).  
Wissmann, Hermann von, explorer  
[1509](#).  
witchcraft  
[584](#), [686](#), [686](#), [687](#), [910](#), [933](#), [934](#); Switzerland, [748](#); Iceland, [774](#); Poland, [780](#), [781](#).  
Witos, Vincent, Polish leader  
[2119](#), [2119](#), [2120](#).  
Witt, Jamil Mahuad, Ecuadorian leader  
[2698](#).  
Witte, Sergei, Russian leader  
[1261](#), [1263](#), [1263](#), [1263](#), [1263](#), [1263](#), [1264](#).  
Wittelsbach dynasty  
[459](#), [522](#), [540](#), [616](#).  
Wittenberg  
[613](#), [613](#), [614](#).  
Wittgenstein, Ludwig, philosopher  
[1815](#).  
Witt-Schlumberger, Marguerite de, French reformer  
[1198](#).  
Wittstock, battle of  
[622](#).  
Witu  
[1530](#).  
Witwatersrand  
[1556](#).




Witwatersrand Chamber of Mines  
[1556](#).

Witwatersrand Native Labour Association  
[1548](#).

Witwatersrand Tailors' Association  
[2578](#).

Witwatersrand University  
[2577](#).

Wladyslaw IV, Vasa  
[630](#), [633](#), [633](#), [633](#).

W nhyo, Buddhist teacher  
[378](#).

Wohlenschwil, battle of  
[748](#).

Wöhler, Friedrich, chemist  
[1043](#).

Wojciechowski, Stanislas, Polish leader  
[2117](#), [2119](#).

Wojtowicz, Grzegorz, Polish banker  
[3113](#).

Wolf, Henry Drummond  
[1162](#).

Wolfe, James, British commander  
[940](#).

Wollaston, William, scientist  
[1038](#), [1733](#).

Wollo  
[4394](#), [4395](#).

Wollstonecraft, Mary, English writer  
[645](#).

Wolof  
[358](#), [358](#).

Wolseley, Garnet  
[1516](#), [1630](#).

Wolsey, Thomas, English prelate  
[586](#), [586](#), [586](#).

Woman Franchise Bill, Canada  
[2220](#).

Woman's Peace Party  
[2187](#).

woman suffrage

1162, 1163, 1163; in France, 1198; in Scandinavia, 1250; in Australia, 1497, 1497; in New Zealand, 1504, 1504; in the U.S., 1592, 1592, 1594, 1604; in Canada, 1632.

women

90, 563, 1839, 1854, 2191, 2270, 2320, 2643, 2649, 2691, 4145, 4190; Islam, 293, 293, 295, 299, 302; India, 324, 331, 337, 2435, 3950, 3972, 3978, 3985; Africa, 351, 351, 362, 1506, 2554, 2554, 2556, 2559, 2567, 2568, 2572, 2577, 4320, 4410; foot binding, 370; Japan, 383, 385, 386, 395, 396, 1450, 2517, 2520, 4223, 4241, 4246; Vietnam, 397; Christianity, 401, 406; Germanic tribes, 402; Europe, 407; England, 421, 446; Western Europe, 443; Eastern Orthodox societies, 563; American Revolution, 951; textile workers, 961; France, 1008, 1018, 1061, 1081, 1193, 1195, 1195, 1198, 1198, 1901, 1914, 2843, 2865, 2879; 1800–1914, 1037, 1143; Great Britain, 1048, 1049, 1157, 1159, 1160, 1162, 1163, 2783, 2788; Victorian era, 1050; Central Europe, 1071; Germany, 1071, 1231, 1986, 1993; Scandinavia, 1076, 1076, 1247, 1247, 1248, 1248, 1250; Austria, 1089, 1998; Ireland, 1169, 1170, 1170, 2811, 2811; Spain, 1204, 1205; Ottoman Empire, 1345, 1348, 1348; Egypt, 1373, 2351, 2353, 2355, 2360, 3909, 3924; Korea, 1436, 2493, 4190; Australia, 1497; New Zealand, 1504, 1505, 2551, 4314, 4316, 4317, 4317; U.S., 1575, 1576, 1578, 1579, 1589, 1589, 1590, 1592, 1603, 1605, 1605, 1609, 1613, 1616, 1618, 1619, 1620, 1621, 2187, 2187, 2187, 2205, 2209, 2212, 3390, 3390, 3394, 3408, 3413, 3421, 3422, 3423, 3425, 3427, 3427, 3428, 3428, 3432, 3435; Civil War, 1586; Canada, 1630, 1632, 2217, 3443, 3457, 3458, 3458; Latin America, 1661, 3465; international associations, 1701; insurance, 1814; first member of Parliament, 1839; first degrees at Oxford, 1840; Russia, 2068, 2068; Estonia, 2104; El Salvador, 2280; Middle East, 2317, 3768; North Africa, 2317, 3768; Iran, 2343, 3817, 3823, 3830; Afghanistan, 2347, 3832, 3832; China, 2463, 2464, 4145, 4165, 4172; Philippines, 2535; United Nations, 2664, 2681; circumcision, 2696; postwar Europe, 2700, 2700; postwar Great Britain, 2760; refugees, 2760; priests, 2796; equal pay, 2882; Italy, 2940, 2942; Roman Catholic Church, 2959, 2966, 2966; Switzerland, 2971, 2974, 2978; Geneva, 2971; West Germany, 2987, 2994, 3008; Denmark, 3046, 3048, 3050; Norway, 3060, 3060, 3060; Sweden, 3065; Finland, 3080, 3083; Iceland, 3086; Bosnia, 3184; Albania, 3202; Greece, 3214, 3226, 3228, 3228; Latvia, 3350; Argentina, 3481; Chile, 3508, 3516; Paraguay, 3522; Bolivia, 3544; Colombia, 3576; Venezuela, 3595; Brazil, 3618; Panama, 3637, 3646; Guatemala, 3648; Nicaragua, 3675, 3678; Costa Rica, 3687; Honduras, 3694; Mexico, 3701, 3705; Cuba, 3721; Haiti, 3745, 3749; Bermuda, 3766; Morocco, 3785; Gulf States, 3785, 3899; Qatar, 3785, 3899; Oman, 3785, 3899; Turkey, 3790, 3794, 3797, 3800, 3800, 3802; Lebanon, 3845; Israel, 3856; Jordan, 3875; Iraq, 3880, 3880; Kuwait, 3899; Algeria, 3932; Tunisia, 3941, 3944; Pakistan, 4011; Sri Lanka, 4039; Senegal, 4327, 4380; Zimbabwe, 4469. *See* insurance; marriage; strikes; labor; suffrage.

Women's Association for the Care of the Poor and the Sick, Germany  
1071.

Women's Christian Temperance Union  
[1504](#), [1595](#); in Canada, [1632](#).

Women's Labor Federation  
[2255](#).

Women's Liberal Foundation, England  
[1162](#).

Women's Loyal League  
[1589](#).

Women's Medical College, Kingston  
[1635](#).

Women's Power Committee  
[1814](#).

women's rights  
[1081](#); in Great Britain, [1162](#); in Scandinavia, [1248](#); in Ottoman Empire, [1348](#), [1348](#);  
in Egypt, [1373](#); in the U.S., [1579](#), [1580](#), [1592](#), [1621](#).

Women's Social and Political Union, England  
[1162](#), [1163](#).

Wonsan general strike, Korea  
[2493](#).

Wood, Charles  
[1396](#).

Wood, Francis, U.S. leader  
[2534](#), [2534](#).

Wood, Jethro, developer of cast iron plow  
[987](#).

Woodcock, George, publisher  
[3448](#).

Wood-Forbes mission, and Philippines  
[2534](#).

Woodhead, John  
[2392](#).

Wood Lake, battle of  
[1587](#).

Woodstock, New York  
[3417](#).

Woodville, Elizabeth, wife of Edward IV of England  
[515](#).

wool  
[1487](#).

Woolens Act, England  
[939](#).

Woolf, Virginia, writer  
[1816](#), [1839](#).

Woolton, Lord, British official  
[1856](#).

Woolworth, Frank W., U.S. merchant  
[1599](#).

Worcester  
[670](#), [686](#).

Wordingborg, peace of  
[548](#).

Wordsworth, William, poet  
[1037](#), [1046](#).

Workers' Compensation Act, Spain  
[1204](#).

Workers' Cooperatives, France  
[1061](#).

Workers of the Federation of Engineering, Ireland  
[1861](#).

Workers' Party, Belgium  
[1171](#), [1172](#).

Workers' Party, Brazil  
[3618](#).

Workers' Party, Vietnam  
[4271](#).

Workers' Security Law, Norway  
[2047](#).

working class  
[1034](#). *See* [labor](#).

Workingmen's Party, U.S.  
[1575](#).

Works Progress Administration, U.S.  
[2187](#).

World Congress on the Future of the Church  
[2959](#).

World Council of Churches  
[1701](#), [2644](#), [2648](#), [2653](#), [2658](#), [2672](#), [2679](#).

World Court, Hague  
[1698](#), [1710](#), [1817](#), [1829](#), [1967](#), [2046](#), [3921](#), [3949](#).

World Cup  
[1706](#).

World Day of Prayer for Peace

[2682](#).  
World Economic Conference, London  
[1849](#).  
World Federation of Hungarians  
[3158](#).  
World Food Program  
[2658](#).  
World Health Organization, WHO  
[2641](#), [2641](#), [2677](#), [2678](#), [2691](#), [4450](#).  
World Parliament of Religions, Chicago  
[1398](#).  
World Peace Congress  
[2709](#).  
World Population conferences  
[2643](#), [2662](#).  
World Population Plan for Action  
[2643](#).  
World Security Council  
[2603](#).  
World Series  
[1610](#).  
World Trade Center, New York City  
[2689](#), [2689](#), [3430](#).  
World Trade Organization, WTO  
[2640](#), [2689](#), [2696](#), [2757](#), [3331](#), [4177](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

---



[1804](#), [1804](#), [1805](#), [1805](#), [1805](#), [1941](#); Middle East, [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1748](#), [1749](#), [1749](#), [1749](#), [1749](#), [1749](#), [1749](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1750](#), [1751](#), [1751](#), [1751](#), [1751](#), [1751](#), [1751](#), [1751](#), [1751](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1752](#), [1753](#), [1753](#), [1753](#), [1753](#), [1753](#); armistice, [1756](#), [1779](#), [1781](#), [1781](#), [1782](#), [1782](#), [2189](#), [2220](#); colonies, [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1768](#), [1769](#); U.S. intervention, [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1770](#), [1770](#), [1770](#), [1770](#), [1770](#); peace negotiations, [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1769](#), [1771](#), [1771](#), [1771](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1784](#), [1785](#), [1786](#), [1787](#), [1787](#), [1787](#), [1787](#), [1788](#), [1788](#), [1788](#); Eastern Europe settlement, [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1772](#), [1773](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1774](#), [1775](#), [1776](#), [1776](#), [1777](#), [1777](#), [1777](#); Habsburg monarchy, [1778](#), [1778](#), [1778](#), [1778](#), [1778](#), [1779](#); Allied aims, [1780](#), [1780](#), [1780](#); March offensive, [1781](#), [1812](#); losses, [1783](#), [1814](#); German responsibility, [1784](#); Scandinavia, [2036](#); Africa, [2554](#), [2555](#), [2565](#). *See* [airplanes](#).

#### World War II

[1409](#), [1699](#), [1700](#), [1700](#), [1700](#), [1700](#), [1701](#), [1702](#), [1705](#), [1706](#), [1706](#), [1706](#), [1706](#), [1707](#), [1725](#), [1730](#), [1731](#), [1734](#), [1736](#), [1743](#), [1814](#), [1814](#), [1815](#), [2067](#), [2187](#), [2187](#), [2187](#), [2208](#), [2210](#), [2217](#), [2398](#), [2406](#), [2481](#), [2551](#), [2582](#), [2636](#), [2636](#), [2636](#), [2637](#), [2638](#), [2638](#), [2641](#), [2641](#), [2672](#), [2700](#), [2887](#), [2950](#), [2962](#), [2979](#), [2982](#), [3271](#), [3778](#), [4048](#), [4086](#), [4104](#), [4189](#), [4223](#), [4243](#), [4245](#), [4320](#), [4320](#), [4320](#), [4321](#); peace negotiations, [1699](#), [2632](#); begins, [1728](#); Normandy, [2215](#); Asia, [2519](#), [2520](#), [2520](#), [2520](#), [2521](#), [2521](#), [2521](#), [2521](#), [2521](#), [2521](#), [2521](#), [2522](#), [2522](#), [2523](#), [2523](#), [2523](#), [2523](#), [2523](#), [2623](#); Pacific, [2532](#), [2626](#); Africa, [2560](#), [2580](#), [2607](#); campaigns in Finland and Poland, [2582](#); invasion of Denmark and Norway, [2584](#); conquest of Low Countries and France, [2585](#); Battle of Britain, [2587](#); Balkan Campaigns, [2590](#); Russia, [2593](#); Western Hemisphere, [2598](#); naval warfare, [2604](#); Italian invasion, [2608](#), [2608](#), [2609](#); Normandy invasion, [2609](#); Africa and Middle East, [2610](#); Italy, [2617](#); France and Belgium, [2619](#); battle of \_Germany, [2621](#); end in Europe, [2621](#), [2982](#); Germany's surrender, [2758](#).

#### World Zionist Congress

[2391](#).

#### World Zionist Movement

[1701](#).

#### Worms

[467](#), [622](#).

#### Wörth, battle of

[1185](#).

#### Wounded Knee

[1604](#); protests, [2670](#), [3424](#).

Wovoka, American Indian leader  
[1604](#).

Wrangel, Ferdinand von  
[995](#).

Wrangel, Friedrich Heinrich Ernst von, Prussian general  
[1097](#).

Wrangel, Gustavus, Swedish admiral  
[622](#), [624](#).

Wrangel, Peter, Russian counterrevolutionary  
[2067](#).

Wren, Christopher  
[643](#), [675](#).


Wright, Frances, Scottish reformer  
[1579](#).

Wright, Frank Lloyd, architect  
[2502](#).

Wright, Orville and Wilbur, aviation pioneers  
[990](#).

writing  
[83](#), [84](#), [84](#), [85](#), [85](#), [86](#), [88](#), [90](#), [97](#), [101](#), [102](#), [108](#), [112](#), [117](#), [121](#), [126](#), [129](#), [138](#), [156](#),  
[167](#), [169](#), [169](#), [169](#), [171](#), [176](#), [222](#), [223](#), [1534](#), [1561](#).

writs of assistance  
[941](#).

Wrocaw  
[486](#).

Wu, Chinese emperor  
[397](#).

Wu, Chinese empress  
[368](#), [368](#), [368](#).

Wu, Chinese king  
[138](#), [138](#), [138](#), [157](#), [158](#).

Wu, K. C., Taiwanese leader  
[4181](#).

Wuchang  
[1425](#), [2468](#).

Wu Cheng'en, Chinese writer  
[851](#).

Wu Daoyuan, painter  
[370](#).

Wudi, Chinese emperor  
[154](#), [154](#), [154](#), [154](#), [154](#), [155](#), [155](#), [156](#), [156](#), [156](#), [156](#), [160](#).



Wu dynasty  
[157](#).

Württemberg-Baden  
[2983](#).

Wuhan  
[374](#), [1417](#), [2468](#), [2469](#), [2469](#), [4157](#), [4166](#).

Wu Han, Chinese leader  
[4151](#).

Wuhan-Beijing, railroad  
[2466](#).

Wuhan-Changsha, railroad section  
[2463](#).

Wu Jingzi, Chinese writer  
[854](#).

Wuli  
[359](#).

Wundt, Wilhelm, psychologist  
[1144](#).

Wu of the Liang, Chinese emperor  
[158](#).

Wu Peifu, Chinese leader  
[2466](#).

Würm, glaciation  
[18](#), [18](#), [23](#), [25](#), [28](#), [28](#), [29](#).

Wurm of Württemberg, bishop  
[1993](#).

Württemberg  
[1009](#), [1072](#), [1096](#), [1102](#), [1234](#).

Wurusemu  
[112](#).

Würzburg  
[425](#), [1009](#).

Würzburg, Conrad von, poet  
[459](#).

Wu Sangui, Chinese general  
[852](#), [852](#).

Wusterhausen, treaty of  
[659](#).

Wu-tsung, Chinese emperor  
[376](#).

Wuyue

371.  
Wuzong, Chinese emperor  
368.  
Wyandotte Chemicals  
2640.  
Wyatt, Francis  
925.  
Wyatt, Thomas  
587.  
Wye Memorandum  
3437, 3876.  
Wye River, Maryland  
3868.  
Wye River Accords  
2694, 3784, 3867.  
Wyndham Land Act, England  
1170.  
Wyoming  
1603, 1607; territory, 1594.  
Wyoming massacre, Pennsylvania  
949.  
Wyss, Rudolf, Swiss poet  
751.  
Wyszynski, Jozsef, Polish cardinal  
3095, 3096.

## X

Xanthippus, Spartan general  
230, 230.  
Xapuri  
3622.  
Xaquixaguana, battle of  
899.  
Xenophon, Greek historian  
119, 124, 186.  
xerography  
2641.  
Xerox Corporation  
2641.  
Xerxes I, king of Persia

[95](#), [110](#), [115](#), [124](#), [127](#), [189](#), [189](#).  
Xerxes II, king of Persia  
[124](#).  
Xhosa people  
[890](#), [891](#), [891](#), [891](#), [891](#), [1550](#), [1550](#), [1551](#), [1552](#), [1555](#).  
Xia dynasty  
[63](#), [138](#).  
Xia Gui, painter  
[373](#).  
Xiamen  
[852](#), [1416](#), [1451](#), [2480](#), [4150](#). *See* [Amoy](#).  
Xi'an  
[138](#), [153](#), [1424](#), [2477](#).  
Xianbi people  
[158](#), [158](#), [160](#).  
Xiandi, Chinese emperor  
[156](#).  
Xianfeng reign  
[1417](#), [1418](#).  
Xiangyang  
[375](#).  
Xiang Yu, Chinese rebel  
[153](#).  
Xianzong, Chinese emperor  
[368](#).  
Xiao Tong, Chinese scholar and emperor  
[158](#).  
Xie He, Chinese critic  
[158](#).  
Xieng Khouang  
[1409](#).  
Xin dynasty  
[155](#), [160](#).  
Xingú River  
[3623](#).  
Xinhua, China  
[4152](#).  
Xinjiang  
[367](#), [376](#), [576](#), [1418](#).  
Xinjing, formerly Changchun  
[2473](#).

Xiongnu people  
[75](#), [154](#), [154](#), [154](#), [154](#), [155](#), [157](#), [157](#), [157](#), [158](#), [160](#).

Xixia  
[371](#), [371](#), [374](#), [374](#).

Xois  
[92](#).

Xoxe, Koci, Albanian leader  
[3199](#).

x-rays  
[1149](#), [1150](#), [1153](#).

Xuan Thuy, Vietnamese leader  
[4270](#).

Xuantong reign  
[1425](#).

Xuantu  
[160](#), [160](#).

Xuanzang, Buddhist traveler and scholar  
[370](#).

Xuanzong, Chinese emperor  
[368](#), [368](#), [370](#), [370](#), [370](#), [851](#), [1415](#).

Xuehaitang Academy  
[1416](#).

Xue Xuan, Chinese philosopher  
[851](#).

Xunzi, Chinese philosopher  
[143](#), [156](#).

Xu Qianxue, Chinese scholar  
[854](#).

Xu Shen, Chinese dictionary compiler  
[156](#).

Xu Shichang, Chinese leader  
[2463](#).

Xuzhou  
[2480](#).

## Y

Yaacoubi, Souad, Tunisian leader  
[3945](#).

Yacine, Kateb, writer  
[3933](#).

Yadava dynasty  
[327](#), [3977](#).

Ya'diya  
[103](#), [106](#).

Yaggid-Lim, king of Mari  
[102](#).

Yagoda, Genrikh, Russian leader  
[2078](#).

Yahdun-Lim, king of Mari  
[102](#).

Yahgan  
[570](#).

Yahweh, god of the Israelites  
[101](#), [104](#), [104](#), [104](#), [250](#).

Yahya, Abbasid leader  
[293](#).

Yahya, imam of Yemen  
[1362](#), [1364](#).

Yajurveda  
[129](#).

Yakub Beg, ruler of Kashgaria  
[1418](#).

Yakub Khan, emir of Afghanistan  
[1108](#).

Yakubovsky, Ivan I., Russian commander  
[2728](#), [3281](#).

Yale College, New Haven  
[934](#).


Yalta  
[1699](#), [2216](#), [2486](#), [2493](#), [2621](#), [3089](#), [3091](#), [3382](#).

Yalu River  
[160](#), [161](#), [379](#), [379](#), [1420](#), [1436](#), [1436](#), [1462](#), [4194](#).


Yamagata, Aritomo  
[1452](#), [1455](#), [1459](#).

Yamamoto, Gonbee  
[1471](#), [1472](#), [2503](#).

Yamana Mochitoyo, Japanese leader  
[396](#).

Yamashiro no , Japanese prince  
[383](#).

Yamassee Indians

[938](#), [938](#).  
Yamatai, state  
[167](#).  
Yamato, Japan  
[167](#), [167](#), [167](#), [383](#), [383](#), [383](#).  
Yameogo, Maurice, Upper Voltan leader  
[4330](#).  
Yamhad  
[100](#).  
Yan, state  
[139](#), [160](#), [160](#).  
Yanagida Kunio, ethnographer  
[2520](#).  
Yanagi S  etsu, artist  
[2520](#).  
Yan'an  
[2477](#), [2478](#), [2480](#), [2481](#), [2481](#), [2483](#), [2485](#), [2486](#), [2528](#), [4142](#), [4143](#); Soviet, [2477](#).  
Yan'an Forum on Art and Literature  
[2483](#).  
Yandabu, treaty of  
[1402](#).  
Pinzón, Vicente Yáñez, explorer  
[573](#).  
Yan Fu, Chinese scholar  
[1425](#).  
yangban, Korean society  
[855](#), [855](#), [1429](#), [1429](#), [1429](#), [1429](#), [1429](#), [1429](#), [1436](#).  
Yangdi, Chinese emperor  
[367](#), [367](#), [367](#), [377](#).  
Yanggu, Korea  
[4196](#).  
Yang Guifei, concubine  
[368](#), [368](#).  
Yang Jian, Chinese leader  
[159](#).  
Yang Ki-t'ak, Korean leader  
[1436](#), [2488](#).  
Yangming, Wang, Japanese philosopher  
[859](#).  
Yangshao culture  
[39](#), [138](#).

Yang Shoujing, Chinese envoy  
[1425](#).

Yang Xiuqing, Chinese leader  
[1417](#).

Yang Yan, Chinese leader  
[370](#).

Yang Zhu, Chinese philosopher  
[145](#).

Yangzi Agreement  
[971](#), [972](#).

Yangzi River  
[39](#), [138](#), [138](#), [153](#), [157](#), [367](#), [367](#), [370](#), [375](#), [968](#), [1417](#), [1423](#), [2461](#), [2473](#), [2479](#), [2480](#),  
[2482](#), [4144](#).

Yanjavalkya  
[131](#).

Yanjing  
[369](#), [375](#).

Yan Kejun, scholar  
[1416](#).

Yanomami Indians  
[3624](#).

Yanosuke, Iwasaki  
[1425](#).

Yan Ruoju, Chinese scholar  
[854](#).

Yantin'ammu of Byblos  
[103](#).

Yan Xishan, Chinese leader  
[2470](#).

Yao, Chinese ruler  
[138](#), [889](#), [889](#), [889](#).

Yao people  
[1506](#), [1529](#), [1548](#).

Yap, Micronesia  
[4284](#).

Ya'qub, Aq-Qoyunlu leader  
[308](#).

Ya'qub al-Kindi, philosopher  
[296](#).

Ya'qub al-Saffar, Saffarid leader  
[295](#).

Yaqui Indians  
[1692](#).

Yaqut, geographer  
[303](#).

Yarmouth, England  
[548](#), [1795](#), [1809](#).

Yarmuk, battle of  
[429](#).

Yarmuk River  
[104](#), [106](#).

Yaroslav I, the Wise  
[486](#), [488](#), [488](#).

Yarur  
[3511](#).

Yasin al-Hashimi, Iraqi leader  
[2400](#), [2405](#).

Yasmah Addu, king of Mari  
[102](#).

Yasodharman, ruler of India  
[324](#).

Yasovarman, king of Kanauj  
[324](#), [325](#).

Yasovarman I, king of Angkor  
[340](#).

Yasukuni Shrine, Japan  
[1448](#).

Yasushi  
*See* [Aizawa ~Seishisai, Japanese leader](#).

Yatenga  
[870](#).

Yathrib, later Medina  
[125](#), [286](#), [286](#).

Yatom, Danny, Israeli leader  
[3867](#).

Yauri  
[1507](#).

Yauta`, king of Qedar  
[127](#).

Yavanas  
[129](#), [129](#).






Yavo ya Mbanyi, African leader



[1538](#).  
Yawnghwe, Burma  
[4048](#).  
Yayoi period  
[50](#), [167](#), [167](#).  
Yazd  
[1352](#).  
Yazdgird I, king of Persia  
[273](#), [273](#).  
Yazdgird II, king of Persia  
[273](#), [273](#), [273](#).  
Yazdgird III, king of Persia  
[275](#), [275](#), [288](#).  
Yazid ibn al-Muhallab, Umayyad challenger  
[290](#).  
Yazilikaya  
[113](#).  
Yazlan  
[292](#).  
Ydígoras Fuentes, Miguel, Guatemalan leader  
[3651](#), [3651](#).  
Year Books, England  
[446](#).  
Yeardley, Thomas  
[925](#).  
Yeats, William Butler, writer  
[1170](#), [1866](#).  
Yegros, Fulgencio, Latin American leader  
[1645](#).  
Yejong, Korean king  
[382](#).  
Yekunno-Amlak, Ethiopian ruler  
[360](#).  
Yellow Emperor, mythical Chinese emperor  
[156](#).  
yellow fever  
[908](#).  
Yellow River  
[39](#), [63](#), [138](#), [138](#), [138](#), [155](#), [159](#), [367](#), [369](#), [371](#), [374](#), [374](#), [1415](#), [1417](#), [1417](#), [2480](#),  
[2480](#).  
Yellow Sea

[377](#), [968](#).  
Yellowstone Park  
[53](#).  
Yellow Turbans, Chinese rebel band  
[156](#), [156](#), [156](#), [156](#), [156](#).  
Yeltsin, Boris, Russian leader  
[2688](#), [2689](#), [2754](#), [3159](#), [3294](#), [3295](#), [3297](#), [3298](#), [3300](#), [3301](#), [3303](#), [3303](#), [3304](#),  
[3323](#), [3359](#), [3363](#), [3363](#), [3363](#), [3363](#), [3364](#), [3364](#), [3364](#), [3364](#), [3364](#), [3364](#), [3364](#),  
[3365](#), [3365](#), [3366](#), [3366](#), [3367](#), [3367](#), [3367](#), [3369](#), [3369](#), [3370](#), [3370](#), [3370](#), [3382](#),  
[3383](#), [4172](#).  
Yelü Abaoji, Khitan emperor  
[369](#).  
Yelü Chucai, adviser  
[374](#), [375](#).  
Yemen  
[286](#), [291](#), [296](#), [323](#), [794](#), [796](#), [799](#), [801](#), [820](#), [820](#), [820](#), [1358](#), [1358](#), [1358](#), [1359](#), [1359](#),  
[1359](#), [1361](#), [1362](#), [1362](#), [1362](#), [1363](#), [1364](#), [2408](#), [2411](#), [2412](#), [2413](#), [2415](#),  
[2416](#), [2416](#), [2638](#), [2660](#), [3769](#), [3771](#), [3776](#), [3895](#), [3895](#), [3895](#), [4154](#); and Great  
Britain, [2415](#); and U.S., [3441](#); unification of North and South Yemen, [3895](#). *See* [North  
Yemen](#); [South Yemen](#).  
Yemeni Socialist Party  
[3893](#).  
Yen Bai  
[2525](#).  
Yenikale  
[789](#).  
Yenishehir  
[315](#).  
Yeo, Tim, British leader  
[2798](#).  
Yerevan  
[3296](#).  
Yermak, Cossack leader  
[629](#).  
Yerovi Indaburu, Clemente, Ecuadorian leader  
[3567](#).  
Yhombi-Opango, Jacques-Joachim, Congolese leader  
[4446](#), [4446](#), [4446](#), [4447](#).  
Yi Cha-gy[!], coup leader  
[380](#).  
Yi dynasty, Korea

[381](#), [855](#), [855](#), [855](#), [856](#), [1429](#), [1429](#), [1436](#), [1436](#), [1473](#), [2488](#).  
Yi Hae-jo, writer  
[2488](#).  
Yi Hwang  
See [Yi T'oegye, Korean philosopher](#).  
Yi Ik, Korean scholar  
[856](#).  
Yi In-jik, writer  
[2488](#).  
Yijing  
[158](#).  
Yi Kwang-su, Korean leader  
[2488](#), [2489](#), [2491](#), [2491](#).  
Yildiz Palace, Istanbul  
[1342](#).  
Yili  
[138](#), [152](#), [154](#).  
Yilmaz, Mesut, Turkish leader  
[3802](#), [3803](#), [3811](#).  
Yi Mun-jin, historian  
[377](#).  
Yingkou  
[2473](#).  
Yingzong, Chinese emperor  
[376](#).  
Yi Pyong-do, historian  
[2493](#).  
Yi Pyong-gi, writer  
[2491](#).  
Yishan, Chinese official  
[1417](#).  
Yishuv, Jewish community of Palestine  
[1346](#).  
Yi Seng-hun, Korean leader  
[2488](#), [2491](#).  
Yi Sun-sin, Korean admiral  
[856](#).  
Yithil  
[128](#).  
Yi T'oegye, Korean philosopher

[856](#).  
Yi Tong-hwi, Korean leader  
[2489](#), [2490](#).  
Yi Wan-yong, Korean leader  
[2488](#).  
Yixing, astronomer  
[370](#).  
Yi Yulgok, Yi I  
[856](#).  
Yodogimi, wife of Toyotomi Hideyoshi  
[859](#).  
yoga  
[1701](#).  
Yohannes, emperor of Ethiopia  
[880](#).  
Yohannes IV, emperor of Ethiopia  
[1522](#), [1523](#), [1523](#).  
Yokohama  
[1440](#), [1442](#), [1450](#), [2503](#), [2631](#), [2690](#), [4248](#).  
Ymei, emperor of Japan  
[383](#).  
Yom Kippur  
[286](#).  
Yom Kippur War (October War, Ramadan War)  
[3774](#), [3774](#), [3860](#).  
Ym Sang-sp, writer  
[2491](#).  
Ym T'ae-jin, Korean leader  
[2491](#).  
Yonai Mitsumasa, Japanese leader  
[2520](#), [2523](#).  
Yongzheng reign  
[853](#).  
Ynsan'gun, king of Korea  
[855](#).  
Yopitzingo  
[570](#).  
York, Toronto  
[1623](#).  
York

[255](#), [421](#), [444](#), [447](#), [512](#), [519](#), [548](#), [591](#), [592](#), [676](#); cathedral, [446](#).

York dynasty  
[515](#), [515](#), [515](#).

Yorkshire  
[253](#), [587](#), [590](#), [2813](#).

Yorktown, battle of  
[951](#), [951](#).

York Typographical Society, Canada  
[1625](#).

Y⚠r⚠ Code, Japan  
[384](#).

Yorubaland  
[1513](#), [1514](#), [1514](#).

Yoruba people  
[345](#), [351](#), [359](#), [875](#), [877](#), [1513](#), [1516](#), [4320](#), [4324](#), [4325](#), [4371](#).

Yoshiaki, Ashikaga, shogun  
[857](#).

Yoshida Kenk⚠, writer  
[392](#).

Yoshida Shigeru, Japanese leader  
[4223](#), [4224](#), [4224](#), [4226](#), [4227](#).

Yoshida Sh⚠in, Japanese leader  
[1440](#).

Yoshifusa, Japanese leader  
[385](#).

Yoshihito, emperor of Japan  
[1470](#), [1471](#), [2506](#).

Yoshimitsu  
[396](#).



Yoshimune, Tokugawa, Japanese shogun  
[861](#), [861](#), [861](#).

Yoshinaka, Kira, Japanese leader  
[861](#).

Yoshino  
[396](#), [396](#).

Yoshinobu  
[See Keiki, Yoshinobu, Japanese shogun.](#)

Yoshino Sakuz⚠, scholar  
[2520](#).

Yoshishige, lord of Ky  sh   
[857](#).  
Yoshiwara, Edo quarter  
[861](#).  
You, Chinese king  
[138](#).  
Youlou, Abbé Fulbert, Congolese leader  
[4446](#), [4446](#), [4446](#).  
Youmans, Letitia, Canadian reformer  
[1632](#).  
Young, Arthur, agriculturist  
[647](#).  
Young, John  
[1630](#).  
Young, Thomas, scientist  
[1038](#).  
Young Afghans  
[1356](#), [1357](#).  
Young Algerians  
[1384](#), [1384](#).  
Young committee  
[1828](#), [1828](#).  
Young Czechs  
[1243](#).  
Young Egypt Party, Green Shirts  
[1704](#), [2354](#), [2364](#).  
Young Ethiopians  
[1523](#).  
Young Europe movement  
[1069](#).  
Young Hegelians  
[1036](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#) 

---

## Subject Index

### Page 84

Young Ireland Movement

[1051](#).

Young Italy society

[1051](#), [1068](#).

Young Kikuyu Association

[2566](#).

Young Maori Party, New Zealand

[1504](#).

Young Men's Buddhist Association, Burma

[1404](#), [2448](#).

Young Men's Muslim Association

[2358](#).

Young Norway Party

[1247](#).

Young Ottomans

[1336](#), [1339](#).

Young Plan, for German debt and reparations moratorium

[1718](#), [1718](#), [1721](#), [1814](#), [1828](#), [1982](#).

Young Pretender

*See* [Charles Edward \(the Young Pretender\), son of James Edward \(the Old Pretender\)](#).

Youngstown Sheet Steel and Tube Company

[2206](#).

Young Tunisians

[1390](#), [1391](#), [1391](#).

Young Turks

[955](#), [957](#), [978](#), [1326](#), [1342](#), [1346](#), [1346](#), [1347](#), [1347](#), [1348](#), [1348](#), [1348](#), [1348](#), [1393](#).

 Un-hyng, Korean leader

[4189](#), [4196](#).

Yourcenar, Marguerite, writer

[2869](#).  
Yousef, Muhammad, Afghan leader  
[3832](#), [3832](#).  
Youth Movement, Nazi Germany  
[1986](#).  
Ypres  
[653](#), [653](#), [1738](#); battles of, [1738](#), [1738](#), [1755](#), [1789](#), [1791](#), [1801](#), [1801](#), [1812](#), [1812](#).  
Ypsilanti, Alexander, Moldavian leader  
[1272](#), [1272](#), [1311](#).  
Yrigoyen, Hipólito, Argentine leader  
[1660](#), [2242](#), [2242](#), [2242](#), [2242](#).  
Yser, battle of  
[1789](#).  
Yu, Chinese ruler  
[138](#).  
Yuan dynasty  
[281](#), [281](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [375](#), [851](#), [851](#), [851](#), [851](#), [854](#).  
Yuan Shikai, Hongxian  
[1419](#), [1424](#), [1424](#), [1425](#), [1425](#), [1425](#), [1426](#), [1426](#), [1427](#), [1427](#), [1427](#), [1427](#), [1427](#),  
[1428](#), [1430](#), [1431](#), [2460](#), [2460](#), [2461](#), [2461](#), [2462](#), [2465](#).  
Yuanyou, Chinese emperor  
[372](#), [372](#).  
Yucatán Peninsula  
[55](#), [55](#), [280](#), [570](#), [570](#), [573](#), [573](#), [901](#), [902](#), [902](#), [902](#), [911](#), [961](#), [1687](#), [1689](#), [1690](#),  
[2293](#), [2297](#).  
Yudenitch, Nicholas, Russian counterrevolutionary  
[2067](#).  
Yue Fei, Chinese leader  
[372](#).  
Yüeh-chih tribes  
[130](#).  
Yuezhi people  
[154](#), [216](#), [217](#).  
Yugoslavia  
[1244](#), [1285](#), [1708](#), [1723](#), [1779](#), [1817](#), [1818](#), [1818](#), [1819](#), [1820](#), [1821](#), [1823](#), [1825](#),  
[1825](#), [1826](#), [1831](#), [1833](#), [1834](#), [1943](#), [1943](#), [1999](#), [2008](#), [2025](#), [2028](#), [2034](#), [2116](#),  
[2127](#), [2128](#), [2129](#), [2131](#), [2131](#), [2134](#), [2134](#), [2134](#), [2134](#), [2135](#), [2135](#), [2136](#), [2136](#),  
[2138](#), [2139](#), [2142](#), [2160](#), [2169](#), [2172](#), [2332](#), [2636](#), [2637](#), [2637](#), [2638](#), [2644](#), [2654](#),  
[2696](#), [2700](#), [2706](#), [2707](#), [2708](#), [2710](#), [2712](#), [2713](#), [2713](#), [2713](#), [2714](#), [2714](#), [2714](#),  
[2717](#), [2718](#), [2731](#), [2738](#), [2754](#), [2756](#), [2757](#), [2802](#), [2885](#), [2925](#), [2931](#), [2932](#), [2997](#),  
[3000](#), [3026](#), [3030](#), [3093](#), [3147](#), [3152](#), [3163](#), [3164](#), [3177](#), [3177](#), [3199](#), [3199](#), [3199](#).



[3208](#), [3209](#), [3210](#), [3213](#), [3235](#), [3236](#), [3246](#), [3248](#), [3250](#), [3251](#), [3264](#), [3370](#), [3439](#), [4177](#), [4436](#); WWI, [1778](#), [1778](#), [1778](#), [1784](#), [1787](#); independence, [1779](#), [1785](#), [1786](#); tensions of new state, [2127](#); Kingdom of the Serbs, Croats, and Slovenes, [2127](#); makeup, [2127](#); Great Depression, [2132](#); invasion by Germany, [2134](#); WWII, [2135](#), [2591](#), [2591](#), [2591](#), [2597](#); WWII settlement, [2635](#); breakup, [2686](#), [2687](#), [2688](#); post-WWII, [3164](#), [3166](#), [3166](#), [3166](#); Federal People's Republic of Yugoslavia, [3164](#); Titoist, [3167](#), [3167](#), [3167](#), [3167](#), [3167](#), [3167](#), [3167](#), [3168](#), [3169](#), [3170](#), [3171](#), [3171](#), [3172](#), [3172](#), [3173](#), [3173](#), [3174](#), [3174](#); Socialist Federal Republic of Yugoslavia, [3172](#); post-Tito, [3175](#), [3175](#), [3176](#), [3176](#), [3176](#), [3176](#), [3176](#), [3177](#), [3177](#); disintegration, [3177](#), [3177](#), [3177](#), [3178](#), [3178](#), [3178](#), [3178](#), [3178](#), [3178](#), [3178](#), [3179](#), [3180](#), [3180](#), [3181](#), [3181](#), [3182](#), [3182](#), [3185](#), [3190](#), [3190](#), [3193](#), [3194](#), [3197](#); Federal Republic of Yugoslavia, [3178](#).

Yugoslav League of Communists

[3176](#).

Yugoslav National Council

[1779](#).

Yugoslav Radical Union

[2134](#).

Yugov, Anton, Bulgarian leader

[3238](#).

Yu Hy ng-w n, Korean scholar

[856](#).

Yukichi, Fukuzawa, Japanese educator

[1446](#), [1450](#).

Yu Kil-chun, Korean scholar

[1436](#).

Yukinaga, Konishi, Japanese commander

[858](#).

Yukon Territory

[3457](#).

Yun Ch'i-ho, Korean leader

[2488](#).

Yundum Egg Scheme

[4324](#).

Yungang grottoes

[158](#).

Yungay, battle of

[1662](#), [1668](#), [1670](#).

Yung Wing, Chinese educator

[1418](#).

Yunnan

[341](#), [342](#), [852](#), [1409](#), [1417](#), [1418](#), [1423](#), [1473](#), [2461](#), [2480](#).

Yun Po-s<sup>!</sup>n, Korean leader  
[4201](#), [4202](#).

Yunus, Berber leader  
[295](#).

Yunus Emre, poet  
[306](#).

Yuri, rival of Basil II  
[558](#).

Yurimagua  
[916](#).

Yushij, Nima, poet  
[2341](#), [3817](#).

Yu S<sup>!</sup>ng-nyong, Korean philosopher  
[856](#).

Yuste, monastery of  
[615](#).

Yusuf Adil Shah, sultan of Bijapur  
[830](#).

Yusuf al-Sim'ani, Lebanese librarian at the Vatican  
[808](#).

Yusuf ibn Taghribirdi, historian  
[320](#).

Yusuf ibn Tashfin, Almoravid leader  
[476](#).

Yusuf Nabi, Ottoman scholar  
[806](#).

Yusuf Pasha Qaramanli, ruler of Libya  
[1392](#), [1392](#), [1392](#), [1392](#), [1392](#).

Yusupov, Felix  
[2063](#).

Yuxian, Chinese official  
[1424](#), [1424](#).

## Z

Za'atsha  
[1382](#).

Zabid  
[794](#), [796](#).

Zacatecas, silver mines of

[602](#), [903](#), [911](#).  
Zacynthos  
[168](#).  
Zafikasimambo  
[892](#).  
Zafy, Albert, Madagascan leader  
[4492](#).  
Zaghlul Pasha Saad, Egyptian leader  
[2352](#), [2358](#).  
Zagreb  
[1779](#), [2130](#), [3174](#), [3176](#).  
Zagros Mountains  
[36](#), [36](#), [82](#), [84](#), [85](#), [86](#), [120](#), [122](#), [300](#).  
Zagwe dynasty  
[360](#), [360](#).  
Zahdi, Fazlallah, Iranian leader  
[3816](#).  
Zahir al-Umar, sheik of Galilee  
[807](#), [808](#), [809](#).  
Zahiriyya Mosque  
[2371](#).  
Zahir Shah, Muhammad, king of Afghanistan  
[2350](#), [3832](#), [3833](#).  
zaibatsu conglomerates, Japan  
[2507](#).  
Zaimis, Alexander, Greek leader  
[1743](#), [1744](#), [1758](#), [1759](#), [2150](#), [2151](#), [2154](#).  
Zain-ul-Abidin, ruler of India  
[334](#).  
Zaionczek, Josef, viceroy of Poland  
[1267](#).  
Zaire  
[363](#), [885](#), [1538](#), [2636](#), [4410](#), [4413](#), [4420](#), [4421](#), [4422](#), [4422](#), [4423](#), [4434](#), [4436](#), [4437](#),  
[4442](#), [4443](#), [4449](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#), [4450](#), [4451](#), [4451](#),  
[4452](#), [4452](#), [4452](#), [4452](#), [4452](#); and Canada, [3461](#). *See* [Belgian Congo](#); [Congo](#).  
Zaire River  
[869](#).  
Zaki, Ahmed, Maldivian leader  
[4042](#).  
Zakir, king of Hamath  
[106](#).



Zamoysky, Andrezej, Polish leader

[781](#).

Zañartu, Federico Errázuriz, Latin American leader

[1663](#).

Zanata Berbers

[292](#), [292](#), [293](#), [321](#).

Zand, Persian tribe

[817](#), [818](#).

Zand dynasty

[1349](#).

Zangid dynasty

[302](#).

Zanj

[296](#), [362](#).

Zanjan

[297](#).

Zanzibar

[362](#), [362](#), [882](#), [882](#), [882](#), [1528](#), [1528](#), [1528](#), [1528](#), [1529](#), [1529](#), [1529](#), [1529](#), [1529](#), [1529](#), [1530](#), [1531](#), [1531](#), [1531](#), [1532](#), [1540](#), [4408](#), [4426](#), [4427](#); independence, [4426](#); United Republic of Tanzania, [4426](#). *See* [Tanzania](#).

Zanzibar Legislative Council

[4408](#), [4408](#).

Zanzibar Party

[4426](#).

Zapata, Emiliano, Mexican leader

[2290](#), [2290](#), [2292](#), [2292](#), [2292](#), [2296](#), [2297](#).

Zapatista Army for National Liberation, EZLN

*See* [Zapatistas](#).

Zapatistas

[3701](#), [3708](#), [3708](#), [3709](#), [3709](#), [3711](#), [3712](#).

Zápolya, Stephen, Szapolyai

[635](#), [635](#).

Zapotocky, Antonin, Czech leader

[3126](#), [3127](#), [3128](#).

Zara

[507](#), [563](#), [1817](#).

Zaragosa

[2904](#).

Zarathustra

*See* [Zoroaster](#).

Zaria, Africa

[1510](#).  
Zarya, space station module  
[2705](#).  
Zavala, Joaquín, Latin American leader  
[1683](#).  
Zawardzki, Aleksander, Polish leader  
[3098](#).  
Zawaya  
[870](#).  
Zawditu, Judith  
[2561](#), [2561](#).  
Zawiya, Morocco  
[2419](#).  
Zayas, Alfredo, Cuban leader  
[2301](#), [2302](#).  
Zayd, Sheik, ruler of Abu Dhabi  
[3897](#), [3897](#).  
Zaydan, sultan of Morocco  
[823](#).  
Zaydani family  
[807](#).  
Zayd ibn Ali, Shi'ite imam  
[291](#).  
Zaydis, people of Yemen  
[794](#), [796](#), [799](#), [801](#).  
Zaydi Shi'ism  
[291](#), [296](#).  
Zaydi tribes, South Yemen  
[3891](#).  
Zayrids of Granada  
[475](#).  
Zaytuna mosque, Tunisia  
[1387](#), [1390](#), [1391](#), [1391](#), [1391](#).  
Zayyanid dynasty  
[322](#), [323](#).  
Zazzau  
[355](#).  
Zbigniew, brother of Boleslav III of Poland  
[486](#).  
Zealand  
[524](#), [768](#).

Zeami, dramatist  
[396](#).

Zechariah, king of Israel  
[105](#), [105](#).

Zedekiah, king of Judah  
[88](#), [105](#).

Zedillo Ponce de León, Ernesto, Mexican leader  
[3708](#), [3709](#), [3710](#), [3712](#), [4118](#).

Zedlitz-Trützschler, count, Prussian leader  
[1237](#).

Zeebrugge, taken by British  
[1811](#), [1813](#).

Zeekse River  
[891](#).

Zeeland  
[551](#), [595](#), [595](#), [595](#).

Zeeland, Paul Van, Belgian leader  
[1888](#), [1890](#).

Zeidler, Othmar, chemist  
[1735](#).

Mihdar, Zein Al-Abidine al-, Yemenite leader  
[3895](#).

Zeitz  
[416](#).

Zela  
[241](#).

Zeledón, Benjamín, Latin American leader  
[1684](#).

Zelenograd  
[3298](#).

Zeligowski, Lucien, Polish commander  
[1817](#), [2087](#), [2088](#).

Zeman, Milo, Czech leader  
[3139](#).

Zemgalis, Gustav, Latvian leader  
[2100](#).

Zemlin, Zemun  
[1792](#).

Zemstvo Law, Russia  
[1259](#).

zemstvos, Russia

[1259](#), [1260](#), [1261](#), [1262](#), [1262](#), [1266](#), [1268](#).  
Zenawi, Meles, Ethiopian leader  
[4397](#).  
Zen Buddhism  
[158](#), [378](#), [393](#), [394](#), [395](#), [396](#), [396](#), [857](#), [859](#).  
Zenger, John Peter, printer  
[935](#).  
Zeng Guofan, Chinese leader  
[1417](#), [1417](#), [1417](#), [1418](#), [1425](#).  
Zeng Guoquan, Chinese leader  
[1417](#).  
Zeng Jize, Chinese official  
[1418](#), [1420](#).  
Zenj  
[343](#).  
Zeno, Greek philosopher  
[208](#).  
Zenobia, Syrian queen  
[257](#), [258](#), [258](#), [272](#).  
Zenobia of Palmyra  
[272](#).  
Zenodotus, Alexandrian scholar  
[208](#).  
Zenon, archive  
[208](#).  
Zeno the Isaurian, Roman emperor in the East  
[269](#), [269](#), [269](#), [269](#), [269](#), [269](#), [270](#), [407](#).  
Zenta  
[804](#).  
Zeppelin, airship  
[1765](#), [1767](#).  
Zeppelin, Ferdinand von  
[990](#).  
Zera-Yakob, Ethiopian ruler  
[361](#).  
Zerbo, Saye, Upper Voltan leader  
[4330](#).  
Zermelo, Ernst, mathematician  
[1149](#).  
Zeroual, Liamine, Algerian leader  
[3937](#), [3938](#), [3938](#).



Zerubbabel, governor of Judah  
[105](#).

Zeta  
[494](#), [562](#), [563](#).

Zeytun  
[1346](#).

Zhabei  
[2473](#).

Zhang Binglin, Chinese scholar  
[1425](#).

Zhangdi, Chinese emperor  
[155](#), [155](#).

Zhang Fei, Chinese soldier  
[156](#).

Zhanggufeng Hill  
[2480](#).

Zhang Guotao, Chinese leader  
[2463](#), [2476](#), [2481](#).

Zhangjiakou  
[2479](#).

Zhang Juzheng, Chinese official  
[851](#).

Zhang Luoxing, Chinese leader  
[1417](#).

Zhang Qian, Chinese commander  
[154](#), [154](#).

Zhang Xuecheng, Chinese historiographer  
[854](#).

Zhang Xueliang, Chinese leader  
[2470](#), [2477](#).

Zhang Xun, Chinese leader  
[2462](#), [2462](#).

Zhang Zai, scholar  
[373](#).

Zhang Zhidong, Chinese official  
[1420](#), [1423](#), [1424](#), [1424](#), [1425](#), [1425](#).

Zhang Zuolin, Chinese leader  
[2469](#), [2470](#), [2470](#), [2508](#).

Zhanjiang  
[969](#).

Zhao dynasty

[139](#), [139](#), [143](#), [152](#), [157](#), [371](#).  
Zhao Kuangyin, Chinese emperor  
[371](#), [371](#).  
Zhao Mengfu, artist  
[375](#).  
Zhao Rugua, scientist  
[375](#).  
Zhao Ziyang, Chinese leader  
[4165](#), [4166](#), [4167](#).  
Zhdanov, Andrei, Russian leader  
[3263](#).  
Zhejiang  
[158](#), [1424](#).  
Zhelev, Zhelyu, Bulgarian leader  
[3241](#), [3244](#).  
Zheng, Taiwanese family  
[852](#).  
Zheng Chenggong, Taiwanese leader  
[852](#).  
Zhengjiadun  
[2496](#).  
Zheng Jing, Taiwanese leader  
[852](#).  
Zheng Keshuang, Taiwanese leader  
[852](#).  
Zheng Xuan, Chinese scholar  
[156](#).  
Zheng Zhilong, Taiwanese leader  
[852](#).  
Zhenjiang  
[1416](#).  
Zhenpan  
[160](#), [160](#).  
Zhetev, Zhelyu, Bulgarian leader  
[3243](#).  
Zhili  
[1424](#).  
Zhirinovskiy, Vladimir Volfrovich, Russian leader  
[3364](#).  
Zhitomir, battle of  
[2596](#).

Zhivkov, Todor, Bulgarian leader  
[3238](#), [3238](#), [3239](#), [3239](#), [3239](#), [3239](#), [3244](#).

Zhiyi, Buddhist teacher  
[158](#), [378](#).

Zhizo people  
[349](#).

Zhou, duke of  
[138](#), [140](#), [141](#), [368](#).

Zhou Dunyi, scholar  
[373](#).

Zhou dynasties  
[66](#), [67](#), [68](#), [72](#), [138](#), [139](#), [140](#), [152](#), [152](#), [153](#), [153](#), [153](#), [153](#), [153](#), [155](#), [156](#), [373](#), [859](#).

Enlai, Zhou, Chinese leader  
[2465](#), [2466](#), [2477](#), [2654](#), [4028](#), [4056](#), [4144](#), [4146](#), [4146](#), [4147](#), [4147](#), [4148](#), [4151](#),  
[4152](#), [4153](#), [4154](#), [4154](#), [4156](#), [4157](#), [4158](#), [4160](#), [4161](#), [4161](#), [4161](#), [4161](#), [4161](#),  
[4239](#), [4256](#).

Zhoukoudian Cave, China  
[20](#), [138](#).

Zhouli, Rites of Zhou  
[138](#), [152](#).

Zhoushan Island  
[1416](#).

Zhuangzi, Chinese philosopher  
[146](#), [158](#).

Zhu De, Chinese leader  
[2469](#), [2471](#), [2486](#), [4156](#), [4161](#).

Zhuge Liang, Chinese soldier  
[156](#).

Zhukov, Gregory K., Russian commander  
[2622](#), [3261](#), [3269](#), [3271](#).

Zhu Rongji, Chinese leader  
[4176](#), [4176](#).

Zhu Shunsui, Chinese scholar  
[860](#).

Zhu Wen, Chinese emperor  
[369](#), [369](#).

Zhu Xi, Chinese philosopher  
[580](#).

Zhu Xi, Korean philosopher  
[855](#), [856](#), [859](#).

Zhu Xi, scholar

[283](#), [373](#), [373](#).  
Zhu Yigui, leader of revolt in Taiwan  
[852](#).  
Zhu Yuanzhang, Taizu  
[376](#), [376](#).  
Zhu-Zhu Empire  
[402](#).  
Zia, Begum Khaleda, Bangladeshi leader  
[4024](#), [4025](#), [4025](#).  
Zia ud-Din, Iranian leader  
[2336](#).  
Zia ul-Huq, Pakistani leader  
[4006](#), [4006](#), [4007](#), [4008](#), [4008](#), [4008](#), [4008](#), [4009](#), [4010](#), [4011](#), [4011](#).  
Ziban  
[1382](#).  
ziggurats  
[62](#), [83](#), [84](#), [84](#), [85](#).  
Zimbabwe  
[349](#), [349](#), [362](#), [364](#), [889](#), [889](#), [1551](#), [1552](#), [1553](#), [1553](#), [2674](#), [2677](#), [2682](#), [2697](#), [2697](#),  
[4400](#), [4410](#), [4434](#), [4438](#), [4443](#), [4444](#), [4453](#), [4453](#), [4456](#), [4456](#), [4457](#), [4457](#), [4457](#),  
[4462](#), [4462](#), [4462](#), [4465](#), [4466](#), [4467](#), [4468](#), [4468](#), [4469](#), [4469](#); independence, [4320](#),  
[4467](#); Zimbabwe-Rhodesia, [4467](#).  
Zimbabwe African People's Revolutionary Army, ZIPRA  
[4467](#).  
Zimbabwean African National Liberation Army, ZANLA  
[4466](#), [4466](#).  
Zimbabwean African National Union, ZANU  
[2677](#), [4466](#), [4466](#), [4467](#), [4467](#), [4467](#), [4467](#).  
Zimbabwean African National Union-Patriotic Front, ZANU-PF  
[4467](#).  
Zimbabwean African People's Union, ZAPU  
[4466](#), [4466](#), [4466](#), [4466](#), [4467](#), [4467](#), [4467](#), [4467](#), [4467](#).  
Zimbabwean War  
[4467](#).  
Zimbabwe Congress of Trade Unions, ZCTU  
[4456](#), [4468](#).  
Zimmermann, Arthur von, German leader  
[1770](#).  
Zimmermann note, revealed German plans against U.S.  
[1770](#).  
Zimri-lim, king of Mari

102.  
Zinjanthropus boisei  
19.  
Zinoviev, Gregory E., Russian leader  
1703, 1842, 2064, 2070, 2072, 2075, 2076.  
Zionism  
1176, 1229, 1346, 1347.  
Zionists  
1701, 2373, 2385, 2386, 2386, 2386, 2387, 2388, 2389, 2391, 2391, 2392, 2393,  
2394, 2394, 2394, 2648, 3769, 3854, 3855, 3855, 3856, 3856, 3858; Congress, 1701.  
Zips region  
492.  
Zirid dynasty  
321, 321, 321, 321.  
Ziska, John, Bohemian general  
544, 555.  
Ziyadat Allah I, Aghlabid leader  
293.  
Ziyad ibn Abihi, governor of Kufa  
289.  
Gökalp, Ziya, folklorist  
1348.  
Ziya Pasha, leader of Young Ottomans  
1336.  
Ziyarid dynasty  
297.  
Zlatev, Petko, Bulgarian leader  
2167.  
Zobah  
104, 106.  
Zoblocki, Francis, Polish playwright  
782.  
Zoë, Byzantine empress  
436, 441, 498, 498, 498, 499, 499, 499.  
Zoë, Sophia  
558.  
Zog I, king of Albania  
2137, 2137, 2137, 2140, 2140, 2141, 2141, 2142, 2143.  
Zola, Émile, writer  
1146, 1195.  
Zollverein, German customs union

[1072](#), [1073](#).  
Zolotas, Zenophon, Greek leader  
[3226](#).  
zones of occupation  
[2622](#).  
Zongli Yamen, Chinese foreign office  
[1417](#), [1459](#).  
“zoot suit” riots  
[2214](#).  
Zorawno, treaty of  
[803](#).  
Zorndorf, battle of  
[663](#).  
Zoroaster  
[68](#), [121](#), [123](#).  
Zoroastrianism  
[68](#), [117](#), [121](#), [216](#), [271](#), [271](#), [272](#), [273](#), [273](#), [273](#), [273](#), [274](#), [274](#), [279](#), [285](#), [285](#), [286](#),  
[287](#), [288](#), [289](#), [292](#), [292](#), [1350](#); in Iran, [816](#), [1351](#); in India, [832](#).  
Zou  
[142](#).  
Zou Rong, writer  
[1424](#), [1425](#).  
Zrinyi, Nicholas, Hungarian soldier and poet  
[616](#), [636](#).  
Zubatov, Sergei Vasilyevich, Russian official  
[1262](#).  
Zubeyde Fitnat Hanim, Ottoman poet  
[809](#).  
Zug  
[546](#), [625](#), [625](#), [1070](#).  
Zululand  
[1551](#), [1556](#), [1557](#), [1558](#).  
Zulus  
[891](#), [1506](#), [1550](#), [1550](#), [1550](#), [1551](#), [1551](#), [1551](#), [1552](#), [1555](#), [1556](#), [1558](#), [4483](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

[NEXT](#)

## Subject Index

### Page 85

Zumbi, Brazilian rebel

[916](#).

Zuñis

[903](#), [903](#).

Zunyi

[2476](#).

Zuo Zongtang, Chinese leader

[1417](#), [1417](#), [1417](#), [1418](#), [1419](#).

Zuravno

[779](#), [1794](#).

Zurbarán, Francisco de, Spanish artist

[604](#).

Zürich

[546](#), [546](#), [547](#), [613](#), [625](#), [625](#), [625](#), [625](#), [626](#), [626](#), [748](#), [748](#), [748](#), [748](#), [748](#), [748](#), [749](#), [749](#), [749](#), [751](#), [1070](#), [1070](#), [1070](#), [1228](#), [1963](#), [2973](#), [4096](#); battles of, [1011](#); treaty of, [1211](#).

Zutphen

[588](#), [595](#), [595](#).

Zuurveld

[1550](#), [1550](#).

Zveno, Bulgaria

[2167](#).

Zwagendaba, African leader

[1529](#).

Zwawa Berbers

[1385](#).

Zweibrücken

[656](#), [759](#), [759](#).

Zwentendorf

[3037](#).

Zwide, African leader

[1549](#), [1550](#), [1550](#).

Zwingli, Ulrich, religious leader

[625](#), [625](#).

Zwinglianism

[614](#), [625](#).

Zworykin, Vladimir, inventor

[1736](#).

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[CONTENTS](#) · [SUBJECT INDEX](#) · [BIBLIOGRAPHIC RECORD](#)

---

[PREVIOUS](#)

---