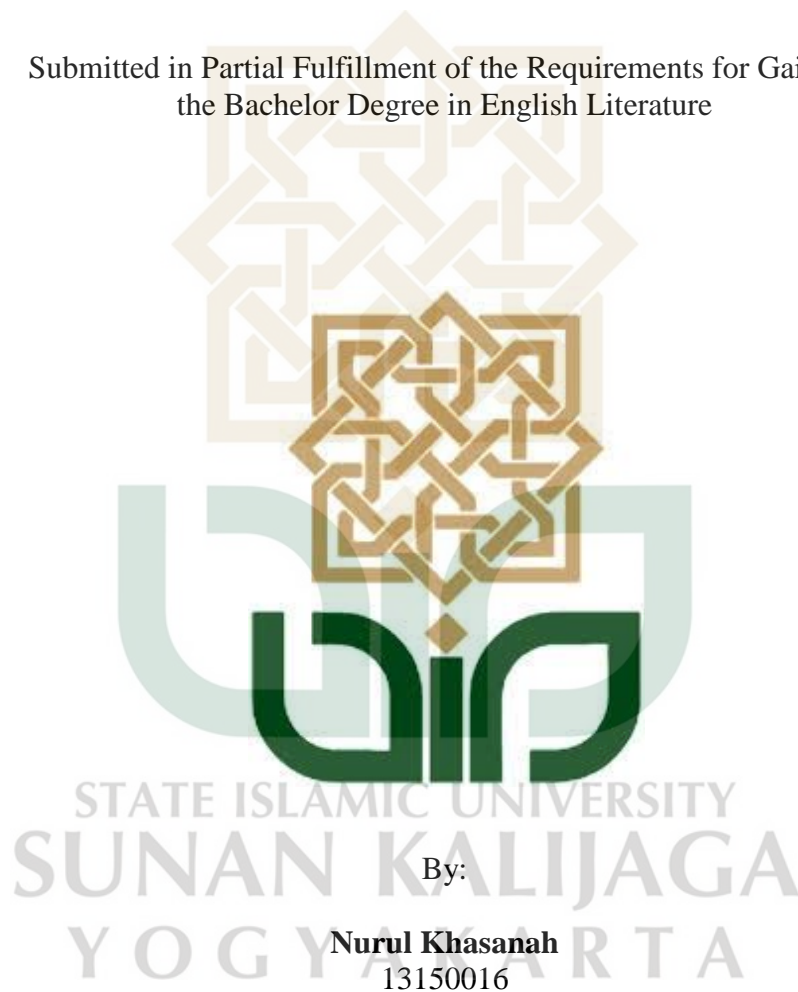


THE SPIRITUAL IDENTITY OF SANTIAGO IN PAULO COELHO'S

THE ALCHEMIST

A GRADUATING PAPER

Submitted in Partial Fulfillment of the Requirements for Gaining
the Bachelor Degree in English Literature



**ENGLISH DEPARTMENT
FACULTY OF ADAB AND CULTURAL SCIENCES
STATE ISLAMIC UNIVERSITY SUNAN KALIJAGA
2018**

A FINAL PROJECT STATEMENT

I certify that this thesis is definitely my own work. I am completely responsible for the content of this thesis. Other writer's opinions or findings included in the thesis are quoted or cited in accordance with ethical standards.

Yogyakarta, 03 June 2018

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ABSTRACT

THE SPIRITUAL IDENTITY OF SANTIAGO IN PAULO COELHO'S *THE ALCHEMIST*

By:
Nurul Khasanah

The Alchemist is a novel written by Paulo Coelho. This is one of author's best seller novel. It has been translating into many languages. The story focuses on the main character Santiago an Andalusian shepherd who has recurrent strange dream, he dreamt that he has to travelled to Egyptian Pyramid to get a hidden treasure. Through this journey, the main character found something bigger than just a treasure, he find his spirituality. In this way, this case conducts a research which aims to analyze the process of spiritual identity transformation experienced by Santiago. To analyze this research, the researcher uses Kiesling et al.'s theory of spiritual identity development which consists of three spiritual identity phases of foreclosed (close), moratorium (crisis), and achieved (attainment). Besides, Islamic approach is also used to answer the second problem statement. This is a qualitative research with objective criticism for the analysis method. It explains that the first phase which engages to particular religion activity does not bring him to know his God, instead, he found his God along his journey.

Keywords: *spirituality, spiritual identity transformation, Islamic perspektif*



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ABSTRAK

THE SPIRITUAL IDENTITY OF SANTIAGO IN PAULO COELHO'S *THE ALCHEMIST*

Oleh:

Nurul Khasanah

The Alchemist adalah sebuah karya dari Paulo Coelho. Ini adalah salah satu novel terlaris karya Paulo Coelho. Novel tersebut sudah di terjemahkan ke berbagai bahasa. Cerita novel tersebut fokus pada pemeran utamanya yang bernama penggembala kambing dari andalusia bernama Santiago yang berulangkali bermimpi yang aneh, dia bermimpi bahwa dia harus pergi ke piramida di Mesir untuk mendapatkan harta karun tersembunyi. Melalui perjalanan ini, si tokoh utama menemukan sesuatu yang lebih besar dari sekedar harta karun, dia menemukan spiritualitas dirinya. Hal inilah yang kemudian menjadikan latar belakang untuk menganalisa proses perubahan identitas spiritual yang terjadi pada Santiago. Untuk menganalisis penelitian ini, penulis menggunakan teori perkembangan identitas spiritual dari Kiesling et al. Yang terdiri dari tiga fase identitas spiritual; foeclosed (tertutup), moratorium (krisis), achieved (pencapaian). Selain itu, pendekatan Islam juga digunakan untuk menjawab rumusan masalah kedua. Ini merupakan sebuah penelitian kualitatif dengan kritik objektif sebagai metode analisisnya. Ini menjelaskan fase pertama yang mana melibatkan aktivata agama tertentu tidak membuatnya mengenal Tuhannya, dia menemukan Tuhannya dalam perjalanannya.

Keywords: *spirituality, spiritual identity transformation, pandangan Islam.*

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MOTTO

مَنْ عَرَفَ نَفْسَهُ فَقَدْ عَرَفَ رَبَّهُ

“whosoever know itself, he knows his Lord”

“When you want something, all the universe conspires in helping you to achieve it” –King Of Melchizedek-



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DEDICATION

Sincerely, I dedicate this thesis to:

My beloved parents, Bpk. Tumirin & Ibu Fatimah,

my second family in Pondok Pesantren Wahid
Hasyim,

my friends in English Department,
State Islamic University of Sunan Kalijaga Yogyakarta,
and everyone who concerns about English Literature.



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Furthermore, the researcher recognizes that this research paper is very far from perfect due to the limited knowledge of the researcher. Therefore, critics and suggestion are always needed by the researcher for the perfection of this paper.

Finally, the researcher hopes that all parties whom the researcher has mentioned above get rewards from Allah. In addition to that, hopefully the paper can be useful for the readers.

Wassalamualaikum, wr. wb.

Yogyakarta, 03 June 2018

The researcher,

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CHAPTER I

INTRODUCTION

1.1 Background of Study

Novel has its own peculiarity. It uses everyday language that close with reader's common life and reflects reader's daily life.

According to Smiley "It is hard to overestimate the importance of this quality of commonness to the nature of the novel; it enables a reader to relax with a novel as with another person, and also to feel as though the novelist might have something to say of relevance to the reader's own common life" (2006: 19).

The *Alchemist* is a novel written by Paulo Coelho. The novel is very interesting; *The Alchemist* is one of Coelho's famous novels that tell the story about Santiago an Andalusian shepherd boy who has a dream about finding a treasure in the Pyramids of Egypt. Furthermore, the writer is interested to analyse this novel because this novel has some interesting values to be researched such as someone's struggle in pursuing his dream as its main theme, and the spiritual connection with the God while he reached the destiny. Besides, according to the researcher this novel has many powerful life lessons. The story of Santiago, the shepherd boy on a journey to realize his "Personal Legend" has inspired people all over the world to live their dreams. However, this novel is not merely a motivational novel, but it contains greater case that is about finding spirituality, about faith in God and something that everyone must fulfil.

Before discussing spiritual identity, we have to find clear understanding about the spirituality itself. There is misunderstanding meaning between spirituality and religiosity. Religion and spirituality are different but related. Religion itself takes role as the language, spiritual practices, and instrument to deepen someone's spirituality. On the other hand, spirituality relates to someone's belief, the relation with the divine power. Religion is generally seen as "relating to beliefs, doctrines, and practices associated with membership in a religious institution". (MacDonald & Friedman, 2001, p.20; see also Shafranske & malony, 1990 via MacDonald). Spirituality in contrast is considered to entail an experientially grounded sense of connection with, or participatory consciousness of, the "sacred", "transcendent", "numinous" or some form of higher power of intelligence (Elkins, 1990; Grof & Grof, 1990 via MacDonald). Within the distinction it can be presumed that religion gives people the language, concept, and practices that can help them understand and develop their spirituality.

According MacDonald et al recognized the limitations of language in adequately and accurately capturing spirituality as it is directly experienced; he also conceded up front that spirituality per se cannot be measured but its expressions, as manifest in thought, feelings, and behavior can be in a manner consistent with conventional scientific methods (1995: 90). He could not find any instruments that directly measured spiritual identity so he wrote several items for use in an experimental measure to cover it.

While this paper discusses about spiritual identity and discussed about spirituality and identity as well. There is a distinction to be made based upon how

identity itself is conceptualized. In most conventional psychological theory, which for better or worse is heavily influenced of psychodynamic thought, identity is typically defined in egoic terms. That is, a person's sense of self is generally seen as circumscribed, is highly individualized, and is for the most part subjective. Within such conceptualizations, spiritual identity most often is defined as how the individual ego relate to and incorporates spirituality into its personal sense of self. Wink and Dillon defined spirituality and by association spiritual identity as "the self's existential search for ultimate meaning through an individualized understanding of the sacred". (2002: 79)

Thus, *The Alchemist* is probably the most famous work of Paulo Coelho. *The Alchemist* has been translated into more than 66 languages and sold more than 65 million copies in more than 150 countries. *The Alchemist* is appreciated by some critics as a novel that can provide a sense of hope for the readers.

Furthermore, the value that makes the writer chooses *The Alchemist* as the subject of this research is because it contains about realizing someone's personal legend, a quest of someone's identity which relates to spirituality. In the story, spirituality becomes a prominent issue that indirectly has influenced main character of the novel, Santiago, even he just realize it in the end of the story. At a glance, the story focuses on an Andalusian shepherd boy. In the beginning, he is not an ordinary shepherd, he is a shepherd who knows how to read. Because actually he had attended seminary until he was sixteen. His parents had wanted him to become a priest, and thereby a source of pride for a simple farm family. He had studied Latin, Spanish, and theology. But ever since he had been a child, he

had wanted to know the world, and this was much more important to him than knowing God and learning about man's sins. One afternoon, on a visit to his family, he had summoned up the courage to tell his father that he didn't want to become a priest. That he wanted to travel. Later, he had a dream about finding a treasure in the pyramids of Egypt. With the courage of an adventurer, Santiago sells his sheep and travel to find the treasure. On the way of finding the treasure Santiago faced many obstacles, but he met with many characters that both help him solve his problem and teach him spirituality simultaneously. Finally, he got bigger thing than the treasure itself, which is spirituality. From this point, analysing Santiago's spiritual identity can figure out the process of his spiritual quest when finding the treasure.

Moreover, the researcher chooses spirituality issues as the object of the research because spirituality becomes prominent issues recently, and spirituality is something that everyone needs to fulfil. Someone's spirituality must be searched by someone's itself. So, the researcher focuses on Santiago's spiritual identity because there is a mahfudhoh (Islamic older/Islamic priest) in Islamic religion that says:

مَنْ عَرَفَ نَفْسَهُ فَقَدْ عَرَفَ رَبَّهُ

“whosoever know himself, he knows his Lord”

(<http://www.aqaed.com/faq/7998/>)

So it is so relatable with this novel that in the way finding the treasure there are many lesson that Santiago gets. It is all about defining his personal

legend and his spiritual quest, and whoever want to know his God, he must recognize his self-first. Furthermore, Santiago's spiritual quest similar with Ibrahim's spiritual quest that described on surah Al-An'am 75-80:

وَكَذَلِكَ نُرِي إِبْرَاهِيمَ مَلَكُوتَ السَّمَاوَاتِ وَالْأَرْضِ وَلِيَكُونَ مِنَ الْمُوقِنِينَ ٧٥

فَلَمَّا جَنَّ عَلَيْهِ اللَّيْلُ رَأَى كَوْكَبًا ۖ قَالَ هَذَا رَبِّي فَلَمَّا أَفَلَ قَالَ لَا أُحِبُّ الْآفِلِينَ ٧٦

فَلَمَّا رَأَى الْقَمَرَ بَازِعًا قَالَ هَذَا رَبِّي فَلَمَّا أَفَلَ قَالَ لئن لم يَهْدِنِي رَبِّي لَأَكُونَنَّ مِنَ الْقَوْمِ الضَّالِّينَ ٧٧

فَلَمَّا رَأَى الشَّمْسَ بَازِعَةً قَالَ هَذَا رَبِّي هَذَا أَكْبَرُ ۖ فَلَمَّا أَفَلَتْ قَالَ يَا قَوْمِ إِنِّي بَرِيءٌ مِمَّا تُشْرِكُونَ ٧٨

إِنِّي وَجْهْتُ وَجْهِيَ لِلَّذِي فَطَرَ السَّمَاوَاتِ وَالْأَرْضَ حَنِيفًا ۖ وَمَا أَنَا مِنَ الْمُشْرِكِينَ ٧٩

وَحَاجَّهُ قَوْمُهُ ۖ قَالَ أَتُحَاجُّونِي فِي اللَّهِ وَقَدْ هَدَانِ ۗ وَلَا أَخَافُ مَا تُشْرِكُونَ بِهِ إِلَّا أَن يُشَاءَ رَبِّي سَيَعْزِيبُ رَبِّي

كُلَّ شَيْءٍ عِلْمًا ۖ أَفَلَا تَتَذَكَّرُونَ ٨٠

“And thus did We show Abraham the realm of the heavens and the earth that he would be among the certain [in faith] {75} So when the night covered him [with darkness], he saw a star. He said, "This is my lord." But when it set, he said, "I like not those that disappear." {76} And when he saw the moon rising, he said, "This is my lord." But when it set, he said, "Unless my Lord guides me, I will surely be among the people gone astray." {77} And when he saw the sun rising, he said, "This is my lord; this is greater." But when it set, he said, "O my people, indeed I am free from what you associate with Allah {78} Indeed, I have turned my face toward He who created the heavens and the earth, inclining toward truth, and I am not of those who associate others with Allah ." {79} And his people argued with him. He said, "Do you argue with me concerning Allah while He has guided me? And I fear not what you associate with Him [and will not be harmed] unless my Lord should will something. My Lord

encompasses all things in knowledge; then will you not remember?{80}”
<http://quran.com/6>

In Ibrahim’s story, it tells that Ibrahim puzzled about who is the real creator of the universe. First, he saw a gleaming star, he thought maybe this is my lord, but when it set he said: I love not those that set. Then when he saw the moon uprising, he exclaimed: this is my lord. But when it set, he said: unless my lord guide me, I surely shall become one of folk who are astray. The last Lo! I have turned my face toward him who created the heavens and the earth, as one by nature upright, and I am not of the idolaters, it has similar story when Santiago turns into the wind. He asks to the universe, he asks to the wind, he asks to the sun, and finally the sun answers that he should asks to the creator of the universe.

In the end the researcher wants to analyze santiago’s spiritual identity when he takes a journey. The journey is order to looking for a treasure under the pyramid, but in the end the bigger treasure that he gets is the spiritual journey. Everyone has their own spiritual quest certainty. Spiritual journey of the main character on this novel, Santiago is interesting to be analyzed. So, the writer wants to talk over santiago’s personal legend in pursuing his spiritual quest along his adventure portrayed in *The Alchemist*.

In this relation with spiritual quest experienced by santiago in *The Alchemist*, this research applies spiritual identity development by Kiesling et al. According to Kiesling et al, spiritual identity is defined as a role in which an individual constructs a sense of self addressing ultimate questions about nature of life, its purpose and meaning, and resulting in behaviours which are consonant or

dissonant with the individual's core values. (2002:2,59) Wink and Dilon defined spirituality, and by association spiritual identity, as "the self's existential search for ultimate meaning through an individualized understanding of the sacred". So, spiritual quest determine someone's way of thinking and life.

Furthermore, by analysing main character's spiritual identity using theory by Kiesling et al, this research hopefully gives some motivations to chase personal legend in this life. In order find form of spiritual identity transformation and its effect, the researcher only focuses on Santiago. Santiago as the main character of this novel, has spiritual finding which drives him to be different person. Furthermore, some studies of any related materials within this novel are also analysed to get a deeper understanding about Santiago's spiritual identity such as the intrinsic elements of the novel. Finally, this research is intentionally made to be useful for the readers to find a spiritual comprehension though literary work, especially *The Alchemist*, so that they can take the advantage of the process from the spiritual attainment.

1.2 Research Question

The problem statements of this research are

1. How Santiago's spiritual identity portrayed in *The Alchemist*?
2. How does Islam as a religion see this spiritual identity transformation?

1.3 Objective of Study

Based on the research question above, the objective of the research are to explain how spiritual identity seeking in *The Alchemist* and the perspective of Islam as a religion toward spiritual identity transformation also becomes the aims of this research.

1.4 Significance of the study

The research is significant to the development of literature, social science, and cultural studies both theoretically and practically. Theoretically, the significance of this study is to find out the spiritual identity of santiago's journey as the main character of the novel. Moreover, spirituality become people's primary needed, spirituality is the important aspect in building personal legend. Therefore, the research of spiritual identity is needed in order to understand about the form, cause and maybe the effect on one's life which is represented in literary work, especially *The Alchemist* novel. Practically, this research is significant for everyone who is interested in reading and understanding about spiritual identity and *The Alchemist* generally and for academic society particularly. Furthermore, hopefully this research can contribute to the knowledge of English Department students as reference for further studies.

1.5 Literature Review

The researcher finds some of works from other researcher that can help the research. Many works take *The Alchemist* as the object of the study, but none of them discuss the comparison between *The Alchemist* and other story.

The first work is graduating paper of Sanata Dharma University by Octovida Wijayanti (2007) entitled *The Influence of Setting Toward Santiago's Characteristics as seen in Paulo Coelho's The Alchemist*. In this paper, she focuses the research to find the influence of setting on this novel. She uses Formalistic approach, this approach focuses on the study of intrinsic elements of a literary work. She concludes that there are four settings in the story, Andalusia, Tangier, the desert and Pyramids. Andalusia is the place where Santiago begins the story. The writer concludes that she is able to see Santiago's journey as the reality where people tend to seek for the things they consider as worthy in another place while sometimes they are able to find the same thing or even worthier in their origin.

The second work is graduating paper from Ahmad Dahlan University by Umi Akhriyah (2008) entitled "The Struggle of Santiago to Find the Treasure in Paulo Coelho's *The Alchemist*". In this paper, she focuses about Santiago, a shepherd boy who has the dream about finding the treasure in the pyramids of Egypt. The theme of *The Alchemist* is about someone's struggle in pursuing the treasure who always faced the problem and never gives up of the sorrow. The data analysis technique used in this research is descriptive qualitative method. The theory uses the structural theory under Nurgiantoro's structural approach.

The third work is graduating paper from Islamic University of Sunan Kalijaga by Zainiyyatur Rohmah (2014) entitled "Spiritual Identity Transformation of Celine In Alice Walker's *The Color Purple*". In this paper, she focuses on the spiritual identity, but in different object with this paper.

1.6 Theoretical Approach

With the relation of spiritual journey experienced by Santiago in *The Alchemist*, the research applies spiritual identity theory presented by Kiesling et al. This theory relates to Erik Erikson's theory of psychosocial development. Erikson's takes Freudian's idea but he did not share utopian perspective of what individuals might be like without a sense of their spiritual self, Erikson characterized people with spiritual awareness in a much more positive and utilitarian light than Freud (Kiesling, 2002: 2) according to Freudian theory which states that neurotic conflict is not very different in content from conflicts which every child must live through in his childhood, and that every adult carries these conflicts with him in the recesses of his personality (1980:52). On his first stage of basic trust and basic mistrust which is accomplished during childhood, he notifies that cultural and traditional institution such as religion contributes to someone's early trust of something spiritual or unseen (Erikson, 1980:66).

However, as human is growing and moving. One's sense of spirituality has possibility to be strengthened or modified following the growth. Kiesling et al. states spiritual identity is a persistent sense of self that addresses ultimate questions about the nature, purpose, and meaning of life, resulting in behaviours that are consonant with the individual's core value (2006: 1269). Using the J. Marcia's term of identity development theory, he categorizes three levels of spiritual identity into *foreclosed* (committed to particular option), *moratorium* (had not arrived at a place of commitment) and *achieved* (made personally defining commitment). Each of these levels contains themes which are labelled

into salience/ meaning, influence/ investment, and continuity/ change (Kiesling, et al., 2006: 1271). Here, salience indicates the degree of importance an individual places on spiritual identity as measured by intensity and quality of motivation, intensity and quality of affect, intensity and quality of self-evaluation, and time commitment. Furthermore, one's affective and behavioural investment in spiritual identity and the likelihood of change occurring in the sense of spiritual self that has been constructed are referred to the amount of energy spent on it (Kiesling, 2002: 4). The amount is flexible that it can continue to strengthen the present spiritual identity status or change to another status. In order to understand more about the characteristics of each theme, here is the summary of Spiritual Identity presented by Kiesling et al.:

Table 1:

The Key Findings of Kiesling et al.'s (2006) study of spiritual identity (SI)

Themes	Spiritual Identity Status		
	Foreclosed	Moratorium	Achieved
Salience/ Meaning	Saw SI as inherited and a part of childhood.	Motivated by Psychological benefit or by intellectual and ethical considerations	Saw SI as a Choice.
	Reliance on authority and family	No reliance on authority to define truth	Highest ratings of motivation intensity
	Saw spirituality as	Mostly positive affect	Highest level of

	important role in life	about SI with negative identity fragments that prompted change	affect intensity and impact of SI on self-perception and self-worth
	Having intimate and secure relationship with higher power		Could foresee consequences of losing SI
			SI is used to ascribe meaning to tragedy/trauma
Influence/ investment	SI had notable impact on self-perception and self-worth	SI had variable impact and import on self-perception and self-worth less ease in relating to higher power	SI seen as governing behaviour for most participants
	Family, ethnicity, and religious tradition are strong determinants of self-evaluation	Variable investment and impact on daily behaviour	
	Role related SI is organized by daily		

	behaviour		
Continuity/ change	Little to no questioning of SI	Serious doubts and extensive reflectiveness	High ratings for reflectiveness and behavioural change

Source: MacDonald's (2009: 92) "Identity and Spirituality"

1.7 Method of Researches

To get the clear result of this research, the writer using some methods as follows:

1.7.1 Type of Research

In this research, the writer uses qualitative research as the method of collecting data. As a mean to exploring and understanding the meaning individuals or groups ascribe to a social or human problem. Creswell said that the process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data (2009: 1).

1.7.2 Data Resources

There are two data sources which are used by the writer to get the data. They are the primary data and the secondary data. Both data are collected from *The Alchemist* novel. The primary data are the statements which are spoken or

written directly from the analyzed character. While the secondary data include any relevant data which are supportive to the primary data like other characters ideas and statement.

1.7.3 Data Collection Technique

In the data collection technique, the writer did methods like reading the novel intensively, visiting the library to find out book references such as graduating paper and any book reference, read a other source or paper that discuss the novel. The writer firstly marks the main character, Santiago's opinion about God and personal legend. Then the data related with Santiago's spiritual quest are remained.

1.7.4 Data Analysis Technique

The writer analyzes the research by finding the intrinsic criteria. Then the data is related to Santiago's spiritual identity are analyzed by spiritual identity theory, related with finding the spiritual journey and then the result will be presented to be a conclusion.

1.8 Paper Organization

This paper is divided into four chapters. The first chapter describes the general information of the research including the background of choosing the subject, research questions, theoretical approaches, research method and paper organization. The second chapter explains the intrinsic elements of *The Alchemist*

novel, including theme, plot, settings, character and characterization, and style. The third chapter is the analysis according to the problem statements of the research, and the last one is conclusion.



CHAPTER IV

CONCLUSION

4.1 Conclusion

The objective of this research is to find out Santiago's spiritual identity transformation in *The Alchemist*. Santiago's spiritual identity, it transforms through three stages following Kiesling, et al.'s model of spiritual identity development. In the beginning, Santiago's spirituality includes in Foreclosed status. The salience of this status concludes that Santiago inherited his Christian identity from his parents. He was a church child, he grew up in church because his parents want him to be priest. So, he already learned theology, learn about God and man's sins in the seminary since he was very young.

His disappointment toward God directs Santiago to the next status of Kiesling, et al.'s model; Moratorium. This status shows Santiago's doubt about God. He decided to close his relationship with God by stop to believe God and stop believe his dream. Even in this status he do not become a real blaspheme to God. The last status is the achieved spirituality which becomes the deepest spiritual level for santiago. In this status, Santiago met with peoples who teach him spirituality and anything, he met with religious crystal merchant, the woman he loved, Fatima and of course the great Alchemist. In this case, Santiago learned the language of the world and he reached through to the Soul of the World, and it was a part of the Soul of God. And he saw that the Soul of God was his own soul.

From the analysis, the writer finds that Santiago's first spiritual identity, where he committed to belief in a particular God (Christian God), does not bring him the true understanding about God. His true understanding about God comes when he reaches achieved spiritual identity through personal exploration of the Soul of the world. Santiago was able to feel contented in this achieved status. It is because his new understanding of God taught him that Soul of God was his own Soul. So when we want to know and understand our God we have to understand ourselves first. He found his spiritual identity through his own personal exploration so his spiritual transformation can be sensed by his own.

Based on the second problem statement, this research also aims to figure out the perspective of Islam as a religion toward spiritual identity transformation. Islam as a religion also has its own perspective toward the subject of this research. This perspective is Islamic spirituality. A muslim may experience three levels of belief, they are islam, iman, ihsan. The concept can transform from the lowest stage to the highest stage. However, there are difference between them. One of the difference is about the position of each level. While Santiago's spiritual identity transformation is used to replace the previous spiritual identity (moratorium replaces foreclosed, achieved replaces moratorium), the position of Islamic levels of belief is to strengthen the previous position (iman strengthen islam, ihsan strengthen Iman).

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