CONSTANTIN FLOROS

Gustav Mahler
and the Symphony
of the 19th Century

Translated by Neil K. Moran

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Gustav Mahler in the Foyer of the Hofoper, Vienna.
Photograph by Richard Specht.
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"True art criticism and art philosophy does not exist apart from art history; they are connected to one another."

HANS VON BÜLOW (1852)

"All cognition, knowledge etc. probably finds its origin in comparisons and analogies."

NOVALIS, *Logologische Fragmente* no. 1953

"All communication between the composer and the listener is based on a convention that this or that motif or musical symbol, or whatever one might otherwise call it, functions as an expression of this or that thought or actual intellectual concept. This will be especially obvious to everyone in Wagner. But also Beethoven and more or less every artist has a particular manner of expression for what the artist wants to say which can be comprehended by the public. But my language is not yet understood by the public. They have no idea about what I'm saying and what I mean and it seems to them to be useless and incomprehensible."

MAHLER 1896 to NATALIE BAUER-LECHNER

Introduction

> "It has recently been frequently remarked that a technical analysis of a piece of music achieves nothing and ultimately reveals no more about the actual inner nature of an artwork than that which one already knew at the start of the exercise."
>
> "Once we have reached the point or we have learned from experience as to which artistic means should be used to achieve a certain spiritual effect, then we have made an important step forward. Thus one will be able to say that the composer expressed in his chosen category a particular thought and that the prevalence of a particular element indicates a particular characteristic. Then we will be able to recognize purely intellectually the nature of an artwork, initially without the involvement of the emotions and the immediate enjoyment of art, thereby establishing a far more objective, universal basis for understanding an artwork. Then the spiritual significance will be added to the technical analysis like a second page."
>
> FRANZ BRENDEL (1860)[1]

It is quite remarkable that the symphonic works of Mahler have been always viewed up to now as distinct from the symphonic tradition of 19th century. Many researchers considered and still hold them to be historically unprecedented. This book demonstrates that this point of view bars the way to a proper understanding of Mahler. A close consideration of Mahler's symphonies reveals many links to several composers and various movements. They are not only indebted to Beethoven, Schubert and Bruckner for essential impulses but also reveal a special affinity to the music dramas of Wagner and the programmatic symphonies of Berlioz and Liszt. In a certain sense Mahler is the culmination of the symphonic tradition of the 19th century.

The perspective from which the theme of this book is considered, is the realization that the symphonic music of Mahler's era cannot be understood as *music per se*. It is influenced by personal experiences and extra-musical (that is poetic, literary, pictorial, philosophical) *contents*, images and ideas to a far greater extent than is commonly assumed. This is true not only for the symphonic works of Hector Berlioz, Franz Liszt, Peter Tchaikovsky and Richard Strauss, but also for the symphonies of Brahms, Bruckner and Mahler. For this reason, this music requires an exegetical approach.

Musical exegesis is in the opinion of the author a higher-order discipline that goes beyond the analysis of form and stylistic criticism, and in contrast to the older previously employed hermeneutics will lead to a more objective and verifiable interpretation of musical works of art.

The first part of the book deals with the "foundations" of the symphonic music of the 19th century. In addition to the issues involving the reception of Beethoven's symphonies, the aesthetics and the "theory of composition" of the new symphonic program music are especially taken into consideration.

The second part investigates the different genres of symphonic music of the 19th century. The third part encompasses a large-scale study of the elements of symphonic music. Among other elements the author concentrates on the symbols which the leading symphony composers used to convey their extra-musical conceptions.

This new exegetical method will make it possible to identify the contents both of these compositions as well as of many musical works that are generally considered to be examples of so-called *absolute music.*

The book grew out of years of research. In addition to the musical works of the leading symphonic composers, their theoretical and aesthetic writings, their letters as well as documents on the history of the works were investigated. The author worked intensively on the manuscript from the summer of 1968 until the autumn of 1973. The book was first published in 1977 and a second edition appeared in 1987. The present English edition was prepared by my friend Dr. Neil K. Moran. He deserves my thanks for his subtle and conscientious translation. I also wish to express my gratitude to Michael Bock for the layout and to Michael Rücker and Thomas Papsdorf of Peter Lang – International Academic Publishers for their cordial cooperation.

First Part

Basics of the Symphony

I. Mahler's place in history

"We cannot yet fathom today where Mahler is to be placed historically"

PAUL BEKKER (1921)[2]

With none of the major German composers of the late Romantic period has the question about his historic classification evoked such violent controversy as in the case of Gustav Mahler. While the historical positions of Richard Strauss, Hugo Wolf, Hans Pfitzner or Max Reger were fixed long ago, the classification of Mahler's still remains problematic. Among the reasons that explain this paradox it can initially only be said that the contemporaries of Mahler cited above contributed to their historical classification with their own corresponding clear statements. The symphony composer Richard Strauss saw himself as the successor of the program music of Hector Berlioz and Franz Liszt.[3] Hugo Wolf committed himself passionately to Richard Wagner's progressive party.[4] Hans Pfitzner defended in his polemical writings the cause of *absolute music*.[5] Max Reger was dedicated to Brahms and Bach and he considered the programs of Berlioz and Liszt to be failures.[6] But Gustav Mahler? Mahler, in spite of his later polemics against program music, did not express himself so clearly. What is more – his statements were contradictory.[7] Therefore one has to search for other clues.

1.   Eclectic or original genius?

Already in his lifetime two theories arose with respect to Mahler's music-historical position. Both of them attracted equally convinced supporters and bitter opponents. Of each theory, there is a positive and a negative variation. (In this respect, one could also distinguish four theories.) According to the first theory Mahler is an eclectic composer. His symphonic music was thought to be that of a "*Kapellmeister*" with all the advantages and disadvantages of this type - skillfully orchestrated and beautifully interwoven, yet evoking a "veil of reminiscences". To this conclusion came no less an authority than Romain Rolland, a certainly unbiased critic, after he had heard the Fifth Symphony under Mahler's direction in 1905 at the Strasbourg Music Festival:[8]

> "Mahler's case is really rather curious. When one studies his works one feels convinced that he is one of those rare types in modern Germany – an egoist who feels with sincerity. Perhaps his emotions and his ideas do not succeed in expressing themselves in a really sincere and personal way; for they reach us through a cloud of reminiscences and an atmosphere of classicism. I cannot help thinking that Mahler's

position as director of the Opera, and his consequent saturation in the music that his calling condemned him to study, is the cause of this. There is nothing more fatal to a creative spirit than too much reading, above all when it is not undertaken at will but rather involves being forced to absorb an excessive amount of nourishment, the larger part of which is indigestible."

According to Rolland Mahler's First united the style of Bach, Schubert and Mendelssohn with Wagner and Bruckner. Rolland was not alone with his assessment of Mahler. Rudolf Louis[9], Hugo Riemann[10] and many others[11] also shared his opinion.

Several statements by Mahler help us understand that the charge of eclecticism hurt him very much. He felt it to be unjust and he vigorously objected to the position taken against him. This was done in his name by Richard Specht.[12] In his small monograph authorized by Mahler himself the following responses are set forth:

"As a student Mahler – alone from reasons of thrift – had little opportunity to learn about opera and music literature from performances. Even as he later acquire a huge advantage in his development as both a composer and as a conductor, it was clear that neither his work nor his interpretation of other works came under any outside influences."[13]

Specht is also the one who handed down in his biography of Mahler[14] this most memorable statement.

"He [Mahler] always denied that any great composer had a vital influence on his development (except in external things - such as Berlioz and Bizet with respect to some problems of instrumentation and rhythms)."

Mahler's understandable defense against the stigma of eclecticism contributed significantly to the emergence of a counter-theory - *mirabile dictu* - that his historical development was without precedent. Desiring to come to terms with suggestions of eclecticism, Guido Adler[15] in 1914 took a position against such accusations in that he emphasized Mahler's "*own style*" by distinguishing "certain" idiomatic expressions which could be followed from the first symphony on. Later researchers distanced themselves from such a balanced viewpoint and literally reversed these accusations into their complete opposite. Mahler was proclaimed to be historically without precedent and they choose not to ask questions about Mahler's own relationship with his artistic environment. The result was that Mahler's oeuvre came to be viewed in a hermetically sealed environment and he was to be 'honored' purely in terms of his alleged uniqueness!

2.   Bruckner-Successor or Bruckner-Antipode?

According to the second theory Mahler's symphonies are derived directly from Anton Bruckner. The rumor that Mahler was Bruckner's student, the fact that Mahler respected Bruckner and campaigned for performances of his works[16] as well as the well-founded acknowledgement that Mahler and Bruckner symphonies shared several common traits strengthened the perception that the symphony composer Mahler could and should be regarded as Bruckner's successor.

Hugo Riemann was one of the first historians who held this view. Already in 1901 he classified Mahler as an "energetic advocate of the path taken by A. Bruckner (the application of Wagner's style to the field of absolute music*)*".[17] In 1905 the Königsberg Mahler-admirer Otto Nodnagel[18] expressed the opinion that Mahler's art could be traced "directly" back to Bruckner. Felix Weingartner[19] expressively stated in 1909 that Mahler was Bruckner's pupil and successor. A universal dissemination of the Bruckner theory occurred after 1921 with the publication of a thorough examination of Mahler in a book by Paul Bekker.[20] Bekker lauded Mahler as having brought a specifically Austrian symphonic tradition derived from Schubert and Bruckner to its culmination.

Bekker focused on the architectural aspects of Mahler's symphonies – the weight and positioning of the movements and in particular on the design and interpretation of the finale. He perceived the "problem of the symphonic form" to be imbedded in the subordinate role of the finale of the classical symphony as the denouement of the work. Consequently he evaluated the historical significance of individual composers on their role in the development of the symphonic genre primarily on the basis of their attempts to bring this problem closer to a solution. Both Beethoven and Bruckner had recognized the problem to its full extent and had contributed to its solution – Beethoven by creating a new type, the final apotheosis, Bruckner by extending the middle movements, and by shifting the emphasis from the first movement to the Adagio. Mahler succeeded in finding a convincing solution to the problem with his conception of the "finale symphony". He was the first to conceive of the finale as the principal movement of a symphony.

The "content of the finale in his symphonies determined the arrangement of the whole, the number of movements, their characters, their relationships to one another". Bekker believed that all of the symphonies of Mahler were "finale symphonies". All of their last movements – up to the Ninth – set the tone for the entire work. They were the centers which tied up all the threads of the previous movements and from which they unfolded.

Bekker's 'finale theory' certainly highlighted a significant architectural character of Mahler's symphonies and is fundamentally correct. Bekker's attempt to

highlight Mahler's leading role is however one-sided in that he concentrated only on this one aspect. Moreover, one cannot conceal the fact that Bekker, in his understandable endeavor to give Mahler a broader perspective, did not always recognize the importance of the major symphonic composers before Mahler and therefore he sometimes arrived at some almost absurd conclusions.[21] To cite some examples – it is understandable, given Bekker's perspective, that the symphonic works of Schubert were viewed with respect to Schubert's approach to the "problem of the finale". Thus Bekker considered the great C major Symphony – a work whose pioneering role cannot be sufficiently emphasized (see chapter VII) – to be a return to "the old classical symphonic form". Despite its massive scope, any involvement with the "problem of the symphony" is not evident. Bekker saw a proof of his thesis in the B minor Symphony (1822). Schubert had left the work unfinished, because he recognized for the first time the problem of the finale, i.e. he recognized his inability to deal with the problem properly. One of course should be aware that the question of why Schubert left the B minor Symphony unfinished is still unclear.[22]

Bekker's appreciation of Bruckner's achievements with respect to symphonic architecture is based on either a misconception or it is biased. Bekker says Bruckner shifted the focus of the symphony from the first movement to the Adagio: "He wanted to emphasize the finale, but he was fascinated with the Adagio and ended up playing around with it while the finale was left lying in the distance".

This claim is simply a false judgment. It is strange that Bekker ignored the fundamental discussions of Max Morold[23] with respect to the development of the symphonic finale from the classical period to Bruckner. It was in 1906 that Morold convincingly demonstrated that Bruckner's historic achievement in the symphonic field was not least the creation of a novel type of finale which crowned the whole symphony.

Bekker believed that three types of design could be distinguished in Mahler's symphonies. The first is "that of a straight forward ascent to the final destination" (as in the First, Sixth and Eighth). The second type is an arrangement of movements which "approach the final core circularly": "The finale is again the center but the previous movements do not directly lead up to it but rather accumulate around it by increasingly closer paraphrasing". (This was supposedly true of the Second, Third, Fifth and Seventh). The third type unfolds in the middle between the other two. The final movements of the Fourth and Ninth do not reach a peak but their antecedents are neither circular nor are they arranged like a suite.

In these cases "a fantastic architectural display passes through the air and any attempt to conceptualize the effect is doomed to failure". It should be noted that Bekker does not seem even to think in categories of time, when he speaks of

the finale as the architectural "center". Secondly, it is hard to take seriously the notion of an arrangement of movements which "encircle the final core".

One does not necessarily require meticulous comparisons between the symphonic works of Bruckner and Mahler to recognize that the 'Bruckner theory' probably contains part of the truth, but never the whole truth. No wonder then that it was not accepted without reservations. Mahler himself was decidedly opposed to it. In a letter of 1902 to August Göllerich he had already declared:[24]

> "I had never been Bruckner's student. The *on dit* likely originated from the fact that in my younger years in Vienna I was often seen with him and in any case I belonged to his first admirers and propagators. I think that I and my friend Krzyzanowsky (currently active in Weimar) were the only ones at that time. This was, I think, in the years 1875-81."

In the same spirit Specht wrote in 1905:[25]

> "But Mahler never studied with Bruckner and the older master of the symphony hardly had any influence on the younger composer other than a certain fondness for the pious beauty of rousing chorale-like passages which can be found in the works of both composers."

During Mahler's lifetime Rudolf Louis[26] attempted to present a more nuanced assessment of the relationship. He included Mahler among Bruckner's pupils and he recognized "a certain similarity" with Bruckner, especially "in the entire ductus of the formal line and in architectural design". Mahler's nature was however radically different from Bruckner's according to Louis. It was so different "that actual influences must be considered to be purely superficial".

After Mahler's death Guido Adler was the first to speak out against the Bruckner theory. In an article published in 1924 (i.e. three years after the publication of Bekker's book) he said, in contrast to Bekker, that Mahler could be considered "only in very limited degree" as "perpetrating" Bruckner's symphonic work.[27]

Alder was convinced that "spiritually" there was a direct contrast between of the two symphonic composers.

> "Already in the First Symphony Mahler strove for a spiritualization of the genre. In all his compositions Bruckner sought to express the sensations and emotions of his life, his worship of God and his enjoyment of earthly existence with all its cloudiness in as far as he saw it. His (Bruckner's) occasional remarks about titles of individual movements are more playful than actually poetical. In no case, they do not contribute to increasing our understanding of the works."[28]

Both composers had a "deep, genuine common ethos". The existing deep spiritual contrast between them also manifested itself in another very important manner.

> "Bruckner approached the symphony on a purely instrumental level and he even would not have known how to begin to incorporate texts. The addition of the Te Deum as the conclusion of his unfinished Ninth is probably more purely incidental – the subterfuge of a few of his first faithful apostles (the contrary assertion is known to me). In Mahler the connection between word and tone and the insertion of texts into his symphonic work is an act of spiritual necessity, an organic addition, an emanation of his spiritual intentions or more succinctly expressed, an expression of transformative spirituality – an expression of his poetical intentions in music and his most concentrated spiritual will."

Adler concludes his remarks by saying that he knew about Mahler's remarks with respect to his "independence" from Bruckner but he does not forget to add: "but this is not relevant for me because the artist himself often does not know about the derivation of his own works as evidenced by Mahler's remarks".

Considering how highly Adler was regarded as an authority, it is not surprising that his views received a lot of attention. For example Alred Orel continued this approach by emphasizing the contrast between Bruckner and Mahler even more. According to Orel [29], Mahler and Bruckner were fundamentally different in temperament. Mahler was like Brahms "a reflective artist conscious of the intellectual currents of the time". Bruckner, however, was the prototype of the "pure musician". They were also different in their religiosity

> "Mahler lacked the peace of mind and solid self-assuredness of Bruckner. Mahler was a searcher who wrestled with the deep doubts that filled his spiritual life. Bruckner's art was based on a feeling of oneness with the people and on the tenets of a naïve dogmatic Catholic faith very foreign to Mahler. Brahms' self-assurance also remained out of Mahler's reach."

Orel attributed "the differing and contradictory contents" of their works to the quite differing personalities of Mahler and Bruckner. The overall artistic image conveyed by Mahler is distinguished "both by apparent affinity and at other times by opposition to Bruckner". Mahler's symphonic form could never have been realized without the pioneering efforts of Bruckner. In this respect an evolutionary line can be drawn from Bruckner to Mahler.

Theodor W. Adorno[30] also drew upon mainly psychological categories in dealing with Mahler's relationship to Bruckner. Accordingly he considered a sense of "rupture" as being the spiritual core of the reflective Mahler. In contrast there was the clumsy Bruckner, a "more or less stubborn" nature which could be attributed to the fact "that in St. Florian Nietzsche was unknown". What linked

Mahler to Schubert and Bruckner was the "epic impulse". But while Mahler attempted "with his musical constructions to acquire potency for himself", Bruckner, the respecter of authority, renounced "the idea of shaping his material in a deterministic manner". Although Mahler never concealed his gratitude to Bruckner, Mahler modified Bruckner's formative ideas. Adorno made no secret about his view that Mahler's music was superior to Bruckner's.

It should be mentioned as well that recently Grant Park[31] has offered his own opinion with respect to the 'Bruckner theory'. He considers the pairing of names Mahler and Bruckner to be an unfounded cliché. A comparison of audio impressions and certain stylistic features led him to conclude that styles of Mahler and Bruckner are fundamentally different. Two things should be noted here. For one the catalogue of distinguishing characteristics of style prepared by Grant can be extended by several point. On the other hand a counter-catalogue of common stylistic features could easily be worked out. For this reason the issue of 'Mahler's relationship with Bruckner' requires a comprehensive investigation.

This much must already be stated at this point on this subject. Mahler's symphonies fundamentally possess certain characteristics of their own which cannot be explained by recourse to Bruckner. They also revealed numerous and varied relationships with the music dramas of Wagner and with the program music of Berlioz and Liszt. That these relationships have not yet been investigated may seem strange, but it is comprehendible. Mahler covered his tracks with his own remarks. Mahler's later but explicit wish that his symphonies were to be understood as *absolute music* and his assertions about the absence of precedents for his symphonies detracted attention from these traces. Guido Adler therefore wrote:[32]

> "Whether it is with respect to the mastery of voice leading or to aesthetic attitude, it is a serious error to refer to Mahler as a follower of Berlioz from a stylistic point of view. Just as Mahler rejected the program, he never saw the tonal aspect as an end in itself and he used such techniques as a mere means to an end, although he admittedly learned about colorings from Berlioz."

It is not our intention to replace the 'Bruckner theory' with a novel 'theory of Berlioz and Liszt'. We are also fully aware that the precursors of Mahler's symphonies are numerous. If we pursue in the following pages Mahler's relationships with Berlioz and Liszt with especial interest, then it is because they might open up new avenues for the understanding of Mahler.

II. Beethoven and the new categories of symphonic music

> Pour nous, musiciens, l'oeuvre de Beethoven est
> semblable à la colonne de nuée et de feu qui
> conduisit les Israélites à travers le désert…
>
> FRANZ LISZT (1852)[33]

Viewed in their totality, the symphonies of the 19th century are distinguished by an astonishing variety of forms, genres, techniques and concepts. After Beethoven's death both the typical four-movement, purely instrumental symphony as well as new genres appeared such as the multi-movement symphony program, the single- movement symphonic poem and the symphonic cantata in several movements. It would not be remiss to say pointedly that both the development of the classical- romantic symphonic tradition as well as the formation of new species were themselves the result of the creative involvement with Beethoven's symphonies. Beethoven's symphonic works were unchallenged as the epitome of the symphony. With that in mind, it is not surprising that all of Beethoven's successors – regardless of whether they were included in the "romantic-classical school"[34] (Mendelssohn, Schumann and Brahms), or whether they considered themselves to be disciples of "musical progress "(eg. Berlioz, Wagner, Liszt, Tchaikovsky, Richard Strauss and Gustav Mahler) – sought to legitimize their artistic endeavors by appealing to their great predecessor.

Thus, Beethoven's *Pastoral Symphony* (1807-1808) was declared to be the archetype of explicit symphonic program music. And indeed. There can be no doubt that this work gave the stamp of validity to a controversial genre hitherto looked at with askance.[35] (Illustrious composers of program music – especially when criticized – always could refer to his example). And it may also be regarded as beyond doubt that the Pastoral left a lasting impression on program music as Hector Berlioz enthusiastically testified when conceiving the *Symphonie fantastique*.[36] A movement like the *Scene aux champs* would be – as paradoxical as it may sound at first – unimaginable without Beethoven's *Scene by the brook*![37]

At least since 1840 Beethoven's dramatic overtures were again and again praised as "tone poems". Even Richard Wagner designated the *Eroica* in 1857 as *"a very* important tone poem" and it is significant[38] that in 1841 and 1852 he emphasized that Beethoven composed the overtures to *Leonore* and *Coriolan* as tone poems.[39] As part of the evolutionary approach which theoreticians of the New German School developed, Beethoven's overtures were later taken to be precursors of Liszt's symphonic poems.[40] It cannot be denied that a historical

line leads directly from Beethoven to Liszt. Liszt himself wrote in 1855 that these overtures:[41] "were the true forerunner of the program and they could be viewed as authorizing the introduction of the genre to the world".[42]

Beethoven's Ninth Symphony finally opened the way for the new genre of the symphonic cantata. The idea of writing "symphonies with choruses" and including *"words"* in the symphonic instrumental music, without at the same time slipping into opera, exercised an uncanny fascination on several composers. Berlioz and Mahler said that they were encouraged to proceed in the creation of their cantatas by Beethoven's example. Significantly this played a role in the genesis of the "dramatic" symphony *Roméo et Juliette*. An enthusiastic article by Berioz about the controversy in France about Beethoven's Ninth appeared on March 4, 1838 in the Gazette musicale de Paris.[43] In the introduction Berlioz first mentions the various (mostly negative) opinions about the infamous *symphonie avec choeurs* to then conclude, that he shared the opinion of a small group of musicians who had carefully considered everything that could contribute to an extension to the domain of the art and who had been thinking deeply about the disposition of the Ninth and they had concluded that this work was the most magnificent expression of Beethoven's genius. A few month after the article appeared Berlioz began working on *Roméo et Juliette*. It created a new genre, the *symphonie dramatique avec choeurs*. In the preface to the piano score[44] Berlioz said later (certainly not without irony[45]) that one definitely did not have to be confused about the genre of his opus. Although vocal parts were often used in it, it was neither a concert opera nor a cantata but rather a *symphonie avec choeurs*!

The stated goal of a programmatic symphony composer was (not only since Liszt's *poems symphoniques*) the intimate connection of music with literature – great philosophical and literary ideas promulgated through the medium of music. Liszt imagined the genre as a parallel to the *"philosophical epics"* of Goethe (*Faust*), Byron (*Cain* and *Manfred*) and Mickiewicz (*Dziady*), as a kind of musical *"epic".*[46] The new objectives naturally required a new aesthetics and a new technology. Many composers worked at the tasks that presented themselves. They reconsidered the problems of architecture. They redefined the relationship between *content* and *form* in music and arrived at new formations. They developed new methods in the area of compositional techniques in order to clearly present the associated "*poetic ideas*". They added to the traditional techniques and they did not hesitate to eventually expand the domain of the venerable symphonic art through the inclusion of numerous musical and dramatic elements. The following investigations are to be understood particularly as an attempt to shed light on these momentous events.

III. The history of the reception of Beethoven's music

> "The most essential difference between Beethoven and the Mozartian spirit lies in Beethoven's conscious philosophical speculation."
>
> WILHELM VON LENZ (1855)[47]

Arnold Schering is well known for repeatedly putting forth late in his life the hypothesis that all or almost all of the major instrumental works of Beethoven were inspired by poems, novels, epics and dramas of the world literature (from Homer to Goethe, Jean Paul and Wieland). The long introduction to his 1936 book *Beethoven und die Dichtung* was conceived as a draft for a "history of Beethoven interpretation and aesthetics" (ranging from the interpretations of Beethoven's contemporaries to the work of Alfred Heuss). Schering here critically examined the various attempts at interpretation, only to clarify his own position – namely the thesis that Beethoven had concealed his programs because he did not consider them as "ends in themselves".[48] Beethoven only used the program as an "inspiring impulse, as a system for creating meaningful order and as a framework*"* for the construction and development of his thoughts in a composition*.* "Once that the composition was completed, the program had fulfilled its mission and was released into the darkness of the unknown". This procedure differs from that of Berlioz, Beethoven, Liszt and Richard Strauss.

It's strange (and generally unknown) that Schering's much-debated hypothesis was anticipated by several leading composers of programmatic symphonies by fifty to one hundred years.[49] Both Liszt and Tchaikovsky as well as Mahler and Strauss believed that Beethoven's instrumental works were inspired by internal programs which Beethoven for whatever reasons never revealed. Already in an important letter of January 1837 Liszt posed the question to George Sand (GS II, 131):

> "It is unfortunate that Beethoven, whose works are so difficult to understand and whose intentions are so difficult to decipher, did not leave us a summary of some of the basic ideas in his major works along with his principal modifications of these ideas."

Tchaikovsky, who must be ranked among the apologists of program music, wrote on December 5, 1888 to Nadezhda von Meck:[50]

> "You are asking me about what I would call true programmatic music. From your point of view as well as from my own, music is not an empty playing around with sounds. Rather it should always include a program in the higher sense of the world.

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In a narrower sense it can be understood as a symphonic music to which specific titles have been added as a means of better understanding the musical illustration. Beethoven in his Eroica and even more clearly in the Pastoral Symphony invented programmatic music. The actual inventor however is Berlioz. Each of his compositions has its own title, which is always followed by detailed explanations. The symphony composer has two different kinds of inspiration – a subjective and an objective. In the first case he describes feelings of joy and suffering, in short the state of his soul, as also the lyric poet would do. A proper program is of course superfluous, if not impossible.

Quite different is the case when a musician wants to express feelings received from a book or from nature in musical form. In this case a program is necessary. It is extremely regrettable that Beethoven's piano sonatas were not accompanied by programs.

In any case, both approaches coexist. I cannot understand those who will only allow a single approach. Of course, not every idea is appropriate for a symphony and even less for an opera. Program music is just as valid as the relationship of epic poetry to lyrics in literature."

Richard Strauss expressed his own opinion in a letter to Hans von Bülow of August 24, 1888:[51]

"It seems to me that the Beethoven of the Coriolan, Egmont and Leonore III overtures, Les Adieux, and especially in the late Beethoven, or for that matter his entire creative oeuvre would have in my opinion not have been possible without a poetic subject. This alone made possible the development of our instrumental music, at least for a certain length of time."

"In Beethoven musical and poetic content usually found its complete fulfillment in the sonata form, which he raised to the highest perfection."

Strauss passionately defended in a letter to John Leopold Bella his conception of music as expression and he attacked Hanslick's conception of music as sounding formulas, justifying thereby his own desire to only write program music while referring again to Beethoven:[52] "Because in my opinion, Beethoven wrote only program music, even if he only very rarely revealed to us the poetic inspiration that prompted the creation of his works."

Finally Gustav Mahler expressed in a letter to Max Marschalk of March 20, 1896 in connection with some discussions about the program of his First Symphony (Titan) his conviction that the Beethoven symphonies also had inner programs similar to his program for his first symphony (GMB 185).

What was the basis for the shared opinions of Tchaikovsky, Strauss and Mahler? Tchaikovsky's statement – "It is very unfortunate that Beethoven did

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not accompany his piano sonatas with any programs*"* – obviously refers to the report by Anton Schindler about the failed plan for a complete edition of the piano music of Beethoven with Franz Anton Hoffmeister, the well-known publisher and composer in Leipzig.[53] According to Schindler, Beethoven had enthusiastically welcomed Hoffmeister's proposal because he wanted to reveal in the planned edition the different inherent poetic ideas by which he had been guided in composing the pieces.

Strauss's views on Beethoven's secretive programs are also based undoubtedly on Schindler's Beethoven biography. This is indicated above all by the expression used by Strauss of a *poetic idea*. This term was always used so to speak as a keyword by Schindler when he spoke about the interpretation of Beethoven's music. Thus, he wrote that the term was typical for the era of Beethoven and was often used by him and other as indicating *poetic content* as "opposed to works which existed merely as the well-ordered harmonic and rhythmic play of tones."[54] Mahler's conviction ultimately might be attributed to his reading of Wagner's writings. It is known that Mahler, an admirer of Wagner's writings, knew the hermeneutic-programmatic descriptions which Wagner applied to several works by Beethoven (Eroica, Ninth Symphony, overtures to Leonore and Coriolan and the C sharp minor quartet). And Wagner in 1841 was firmly convinced that Beethoven "first took up the plan of a symphony after being inspired by and having absorbed a certain philosophical idea and then he left it to his imagination to invent the musical theme."[55]

At this point in our analysis, we must mention the important letter written by Franz Liszt on December 2, 1852 to Wilhelm von Lenz, the author of the famous publication *Beethoven et ses trois styles* (Petersburg 1852) because Liszt – as it seems in this letter for the first time – expounded on his views on the relationship between idea and form in the works of Beethoven and in his own compositions. Liszt first of all praised the publication by Lenz and then confessed that for himself and for his like-minded contemporaries, Beethoven was their idol par excellence. He went on to give his own views about the periodization of Beethoven's work as follows (FLB I , 124):[56]

"If it were incumbent on me to categorize the various currents in the thoughts of the great master, as they manifest themselves in his sonatas, symphonies and quartets, I would – it's true – not stop at distinguishing merely three styles (a distinction that is now generally adopted, and that you also follow) but – simply taking into account the issues raised here – I would broach the big question about the point to which Beethoven has conducted us which forms the axis of the criticism and aesthetics of music, namely the question of to what degree was the traditional and the adapted form necessarily determined by the existence of an idea."

"The resolution of this issue, as reflected in Beethoven's own oeuvre, would lead me to divide his work not into three styles or periods (the terms style and period would in

this context be unnecessary and subordinate terms with vague and ambiguous meanings) but logically into two categories, i.e. the first in which traditional and adopted forms direct the idea of the master, and the second, in which the idea is developed, thereby exceeding, shifting and recreating form and style in accordance with their various needs and inspirations."

These passages are extremely helpful in enabling us to recognize the aesthetics of program music. Liszt – like Wagner – viewed in particular the later instrumental works of Beethoven as works in which the idea *(la pensée)* was more important than the form (see chapter VII).[57]

In this connection it should be recognized that Berlioz already in the 1830's (i.e. before the release of Schindler's biography of Beethoven!) was convinced of the existence of poetic ideas in most of the symphonies of Beethoven. In his all- important Beethoven article the terms *l'idée poétique, la pensée poétique* and *le plan poétique* are used several times. Berlioz considered Beethoven to be one of the most prominent representatives of poetic music (*musique poétique*).

But let us now return to Tchaikovsky, Strauss and Mahler. It would be wrong to assume that they had formed their opinions only from reading Schindler, Wagner and other literature (such as Lenz's books). They interpreted Beethoven as a composer of programmatic music because they believed in the doctrine *of music as expression* and because they believed that the function of their art – to use a term of Schering's[58] – lay in the *transubstantiation* of intellectual content in the sphere of music. All three studied Beethoven's symphonies intensively and all three drew their decisive impulses from him. Tchaikovsky's Fourth and Fifth Symphonies were based on the idea of Beethoven's Fifth in which the Russian saw the archetype of a symphony on fate (see chapter VII). The tone poem *Ein Heldenleben* by Strauss is based – according to the composer[59] – in a way on the Eroica. And it can be shown precisely how a work such as Mahler's Second Symphony was indebted in several ways to Beethoven's Ninth.

It should be remembered that it is highly unlikely that Schering knew the above- quoted remarks of Liszt, Tchaikovsky, Strauss and Mahler. There is in any case no mention of them in Schering's numerous publications.

IV. Mahler's conception of the symphonic cantata

> "But the great true art work lies in the unification of the arts. It is the merit of Richard Wagner to have proclaimed this while creating his artworks. The inadequacy of the arts in their isolation was felt by Goethe. This is especially apparent in his Faust. Goethe was fully aware that many passages called for music as a supplement to their expression. On the other hand, Beethoven with his music to the Ninth proceeded to the outer limit of sounds, as Goethe did with words. Then Beethoven undertook the giant step of introducing language to music – and with what an effect!"
>
> MAHLER in the summer of 1893[60]

Mahler's symphonies can be divided into two different groups – the instrumental symphonies and the symphonic cantatas. Both groups represent, each on its own, special types, which differ from the norm. It could be said that all of Mahler's symphonies exhibit in unique or multiple ways special features that distinguish them clearly from the symphonies of Schumann, Mendelssohn, Brahms and Bruckner.

This applies first and foremost for the four symphonic cantatas – the Second, Third, Fourth and Eighth. The three Wunderhorn symphonies are composed of instrumental and vocal phrases. The Eighth is almost continuous based on a text. The instrumental parts serve as interludes or as an introduction. It is clear that this type of symphonic cantata originated in Bruckner's symphonies.

Mahler himself twice spoke about his conception of the symphonic cantata. In the summer of 1895 in an interview with Natalie Bauer-Lechner he said (BL 19):

> "That was the egg of Columbus that I began to use in my Second Symphony by combining the word and the human voice in order to make myself understood. A pity that I had not done the same in the First! In the Third I no longer hesitated and based it on two poems from Des Knaben Wunderhorn and I based the songs of the short second movement on a beautiful poem by Nietzsche."

The other statement is found in the oft-quoted letter to Dr. Arthur Seidl, a friend of Strauss. Mahler wrote to him on 17 February, 1897 from Hamburg (GMB 228):

> "When I conceive a great musical structure I always come to the point where I must use words as carriers of my musical ideas. Something like that must have happened with Beethoven's Ninth. Only that his time period could not provide the proper materials for him to carry this out. Strictly speaking Schiller's poem was not capable

of expressing what he had in mind. I remember incidentally that Wagner at some point very plainly expressed this view."

Both statements are enormously revealing. If the oral statement is distinguished by its clarity and directness, then the written statement elucidates certain conclusions about Mahler's relationship with Beethoven and Wagner.

One should first of all take note of the reasoning that Mahler employed to establish the key innovation of his early symphonies. To his friend Natalie Bauer-Lechner he says without hesitation that he needed the *word* to make himself understood. With Dr. Seidl, in contrast, he is intentionally far more abstract. He says he had to make use of words at a certain point of composing so they could be the carriers of the *musical idea*. The wording is deliberately kept vague. Mahler did not want to disclose that the ideas he was concerned with were not *musical*, but rather were *music-philosophical*.

Equally symptomatic is Mahler's reference to Beethoven's procedure in the Ninth. The statement is formulated in such a way as to give the impression that Mahler modeled himself on Beethoven and he even felt himself to the executor of the Beethoven's will.[61] Particular attention should be paid in this context to the reference to Wagner. The passage alluded to by Mahler is found in Wagner's essay *A Pilgrimage to Beethoven* (1841). Wagner imagined Beethoven saying:[62]

> "I've finally decided to use the beautiful Hymn to Joy of our Schiller. This is certainly a noble and uplifting poem, even though it is far from saying that which needs to be expressed but essentially no verse in the world would be able to do that."

Mahler's vocabulary helps us finally realize that in both of his statements he had Wagner's highly idiosyncratic interpretation of the Ninth in mind. This is suggested by his emphasis on the key concept of *word*. It should remembered that the word is the magic concept which ignited Wagner's conception of the *artwork of the future*. By means of poetic images and metaphors Wagner in his 1841 treatise[63] has Beethoven – like Columbus! – undertake a stormy voyage to discover the new continent. The word is the anchor that Beethoven throws out to land in the New World. The new world is, however, according to Wagner, the art of the future, the all-encompassing drama for which Beethoven forged for us the key. Beethoven's Ninth is in Wagner's interpretation "*the human Gospel of the art of the future*", but also the last symphony that ever was written.[64]

Mahler's work is limited, if one disregards his juvenilia, to the symphony and to song compositions. Mahler wrote neither music dramas nor chamber music nor church music. His focus on the song and especially on the symphony is quite unique. There are among his contemporaries none who could be

compared to him in this regard and this was not accidental but arose from his basic art-theoretical principles and beliefs.

We have explained in detail in another context, that for Mahler - in accordance with the romantic aesthetics of Tieck and Wackenroder - the symphony was the highest and noblest kind of music.[65] To Richard Specht he once said that "he wanted to bring a world-view, without the abbreviated or clarifying word, to a perfect expression in the symphony."

These and other statements lead to the conclusion that Mahler considered that only the symphony composer could "proceed to the heart of the problem through transcending outer appearances " (GMB 202).

This train of thought - the result of years of reflection - seems all the more remarkable, considering that Mahler was a fervent admirer of the art reformer Wagner and at the beginning of his compositional career he was completely under the spell of the Wagnerian music dramas as evidenced by the first early opus considered by him to be valid, i.e. the cantata *Das klagende Lied* (1880). During the long years of *wandering* through the opera houses of Central Europe (1881- 1891) he had, it seems, still no firm resolution on the area that he wanted to enter as a composer. Even in 1888 there was no trace of vacillating between music drama or the symphony. According to Natalie Bauer-Lechner he wanted to write an opera after completing his adaptation of the comic opera *Die drei Pintos* by C.M. von Weber (the premiere of this work took place on January 20, 1888 in Leipzig) (BL 162 f.). The plan was (for external reasons!) not realized. Instead, Mahler finished composing the First Symphony in Leipzig in March of 1888. A few months later, on 10 September 1888, he wrote out in Prague the fair copy of the *Todtenfeier*, a symphonic poem based on the poem *Dziady* by Mickiewicz!

Mahler's decision to dedicate himself to the symphony first took place, however, in Hamburg (1891-1897). It was here that Mahler's aesthetic under the strong influence of Schopenhauer's philosophy of music developed its characteristic shape. It is here that the realization crystallized that the only symphonic music was best suited to expressing his world-view. The art-theoretical self-assuredness that Mahler achieved now enabled him to work on a particular goal more intensely and continuous than previously. In 1894 the Second was finished and two years later he completed the Third.

On 26 March 1896, four months before the completion of the Third, Mahler outlined in a letter to Max Marschalk his artistic goal, as well as his views on the relationship of the symphony and music drama with such precision that one might wonder why this passage, the most revealing in all of his correspondence, had not yet been evaluated. (This can easily be explain in that Mahler's scattered remarks only reveal a deeper sense when put into a larger context and up to now

there has been a lack of systematic investigations of Mahler's ideology and aesthetics). Mahler wrote (GMB 187f.):

"We are now standing – I am sure – before the great permanent parting of the two diverging paths of symphonic and dramatic music which will very soon become obvious to anyone who is clear about the nature of music. Even now, when one compares a symphony of Beethoven with Wagner's works the essential difference of the two can be easily recognized. Admittedly Wagner assimilated the expression of symphonic music into his works, just as the symphony composers have understandably very consciously adapted the power of expression inherent in the music of Wagner. In this sense all the arts, yes even art, exist together with nature."

This enormously important statement helps us to realize that Mahler, who had already opted for the *"path of symphonic music"*, hoped for and expected the renewal of the symphonic art at the end of the century through its fertilization by the expression of Wagner's music dramas. Mahler was in 1896 with this belief diametrically opposed to Brahms, Reger and also to Hanslick, all of whom wanted to altogether banish the musical and dramatic style of Wagner from the concert hall, or more specifically from the symphony and from instrumental music at all costs.[66]

Mahler's symphonies, especially the Second and the Eighth, document even more impressively than his verbal statements, that he strove for a great synthesis of the principles of Beethoven, Berlioz, Liszt and Wagner. Both works can be described in the sense of Berlioz's *symphonies avec choeurs*. Both exhibit oratorio-like traits. In the Second, the influences of Beethoven's Ninth, Liszt and Wagner are almost palpable.[67] The Eighth, praised as the *dome* of Mahler's symphonic architecture, goes furthest in spanning the arch of stylistic assimilation. It exhibits in the first part a strong affinity to the sphere of ecclesiastical music (indicated by the numerous echoes of Bruckner's *Te Deum*), then in the second part an orientation toward the perimeters of the music drama is undeniable.

Mahler was trying to realize an artistic vision with the Eighth which he had envisioned for a long time, namely the union of the highest musical genres in the symphony. The *Symphony of a Thousand* united into one whole oratorio, musical drama, resurrection mystery and symphony. In his letter to Willem Mengelberg of August 18, 1906 Mahler said the Eighth was the greatest thing he had made so far and it was so peculiar in form and content that it was not possible to describe. One would think that the universe had begun to sing and ring out (GMB 332).

This seemingly puzzling (or naive) statement is based on the philosophical belief that the symphony could be the highest and noblest kind of music, an image of the world, the cosmos, the universe, all eternity. This maxim applies in the case of the Eighth both to the idea of mundana musica (music of

the spheres) as well as to the universality of the purely musical. Mahler strove for and achieved in this great work a synthesis both of the musical genres as well as of musical characteristics.

The investigations of the second part of this book (chapter XI-XV) will illustrate that most of the discussed characteristics can be detected in the Eighth. In this it really can be said that the Symphony of a Thousand embraced the whole world of music.

V. Borrowings from the Lieder repertoire

> "Admittedly you do not see the smallest, innermost circle as it extends ever wider through the radiuses, yet no matter how wide it grows in concentric circles, for the widest and for the smallest circle, the same πr^2 applies."
>
> MAHLER in October-November 1900
> to NATALIE BAUER-LECHNER

In addition to their vocal component Mahler's early symphonies included another characteristic. In four symphonic (purely instrumental) movements music from Mahler's songs is introduced. We can identify four cases. The first movement of his First Symphony borrows some material from *Ging heut' morgens über's Feld* in the *Songs of a Wayfarer*. The middle part of the slow (third) movement of the same symphony is the music of the fourth verse *Auf der Straße stand ein Lindenbaum* of the last song of the *Songs of a Wayfarer*. The scherzo of the Second Symphony is based on *Antonius of Padua preaching to the fish* from *Des Knaben Wunderhorn*. The main part of the Scherzo of Mahler's Third Symphony, includes music with a song based on *Ablösung im Sommer* from *Des Knaben Wunderhorn*. (The middle section of the scherzo and the trio, are newly composed). And finally the song, *Das himmlische Leben*, from *Des Knaben Wunderhorn* furnished the seed out of which the Fourth Symphony grew.

    The fact that those movements mentioned above represent symphonic versions or developments of songs by Mahler has been well known.[68] Many have written and speculated about this feature. Monika Tibbe [69] recently published the results of a detailed study of the process. Three fundamental questions, however, have not been investigated in this research. Are there parallels in the music of the nineteenth century for Mahler's approach? What prompted Mahler to develop Lieder composition in this manner? What is the purpose of the borrowings and what role did the borrowed Lieder compositions have in the overall plan of the early symphonies?

1.   Schubert, Mendelssohn and Brahms

If one looks for parallels in German Romantic music, then one can soon identify several cases. Especially Schubert, Mendelssohn and Brahms liked to recall song compositions in their piano and chamber music. Such borrowing held a

special fascination for Schubert. There is, for instance, the slow movements of the *Trout Quintet*, opus 114 D. 667 (1819), the *Wanderer Fantasy*, opus 15 D. 760 (1822) and the String Quartet in D minor, *Death and the Maiden* D. 810 (1824-1826). Müller's poem *Trockne Blumen* inspired Schubert to write the Variations for Flute and Piano, opus 160 D. 802 (1824). The Andantino of his Fantasy for Piano and Violin, opus 159 D. 934 (1827) contains variations on the Rückert song *Sei mir gegrüßt*. The beginning of the minuet from the String Quartet in A minor, opus 29 D. 804 (1824) is ultimately based on Schiller's *Die Götter Griechenlands*.

Paul Mies[70], who discusses these six cases from the standpoint of vocal and instrumental shaping recalled that the facile song composer Schubert would not have needed to make these links if he had not viewed then as seeds for developing fundamental ideas. Alfred Heuss[71] in attempting to analyze the content of the two string quartets chose to make the lyrics of the songs the starting point for his discussion. He believed that Schubert in the D minor quartet went beyond the contents of the songs and wrote a "dance of death" which with respect to its haunting violence resembled famous pictorial representations. Concerning the A minor quartet Heuss says that one can see the internal program of the work in Schiller's verse *Schöne Welt, wo bist du*?

Among Mendelssohn's chamber music works, the String Quartet in A minor, opus 13 is worth mentioning here because it is framed by a 'prologue' and a similar- sounding 'epilogue' recalling a longer motto-like quote from the song *Ist es wahr*?[72] Mendelssohn himself included the lyrics in the first edition of the score. There can be little doubt that this immensely imaginative composition (in which recitative parts play a significant role) is based on a hidden program.

Among the works of Brahms the Violin sonata in G major, op. 17 (1879) would be the first to be mentioned. Its finale takes up and processes in three refrains in a fairly free manner the subject of two 1873 songs: *Regenlied* and *Nachklang*, op. 59 no. 3 und no. 4.[73] Several of the "youthful" Brahms piano compositions exhibiting song-like characteristics owe their origins to folk songs or poems. Thus the variation of the C major sonata, op. 1 is based on the old folk song *Verstohlen geht der Mond auf*. Brahms took both the text and the melody of the song from the famous collection of A.W.F. von Zuccalmaglio.[74] The set of variations of the F sharp minor Sonata, op. 2 is based on a freely-composed song melody. Brahms told a friend of his youth Albert Dietrich[75] that the subject of this movement was based on the words of an old German Lied *Mir ist leide*. In addition the Andante of the F minor Sonata, op. 5 was inspired by Sternau's poem *Der Abend dämmert, das Mondlicht scheint*. Brahms asked Bartholf Senff, the Leipzig publisher of the sonata, to include the first three lines of the poem as a motto for the Andante, because "it was perhaps necessary for the understanding of the Andante and it would be appealing".[76] Finally, as Brahms

noted himself, the D Minor Ballade, opus 10, no. 1 was inspired by the Scottish ballad *Edward*.

2. Mahler's intentions with his borrowings

Our investigation has shown that Mahler was by no means the first instrumental composer who borrowed from his own song compositions. Schubert, Mendelssohn and Brahms - to mention only these three - preceded him. Did Mahler have these examples in mind when in Leipzig 1887/1888 he drew on his *Songs of a Wayfarer* while working on his First Symphony? Although we do not know the details, at least there is some evidence for this.[77]

More relevant is the question of the reasons that led Mahler to resort to the songs. Fortunately, he spoke about this in conversations with Natalie Bauer-Lechner. In the summer of 1893, while working on the Second Symphony, she asked him how he had come to develop the *Sermon to the Fish* into the powerful Scherzo of the Second without having first thought about and willed it. Mahler is said to have replied (BL 10):

> "It's a strange process! Without knowing at the beginning where it will lead, you feel more and more driven by the original form, which with its rich content, much like the dormant plants embodied in a seed, lies unconsciously hidden. Therefore it seems to me that I could only with difficulty remain within the established limits, as one would in the case of an opera text (provided it originates with the composer) or also as one would with a prelude to a work by someone else."

Seven years later, in October 1900, Mahler addressed the same question in more detail – unfortunately, the passage from the Bauer-Lechner manuscript (it is entitled *Fruchtbare Keime* = fertile seeds) was not included in the edition of the memoires. This is the full text:[78]

> "Mahler spoke about how the *Sermon to the Fish* gave rise through an unfolding development to become the seed for the Scherzo of the Second and how the song *Ging heut' morgens über's Feld* developed into the first movement of the First. However the richest content was hidden in *Das himmliche Leben*, from which no less than five movements of the Third and Fourth developed. This was especially the case in the final movement of the latter in which out of all these references a special, all-encompassing meaning developed. Mahler himself said: "at first glance you do not see these inconspicuous things and do not know at first where it will lead. And yet you can see the value of such a nucleus which can take on such a varied life, just as this *Himmliche Leben*, came to be developed as a long-suppressed creative source after the initial period of stagnation in Hamburg". As a comparison he said that "you do not see the smallest, innermost circle as it extends ever wider through the radiuses, yet no

matter how wide it grows in concentric circles, for the widest and for the smallest circle, the same πr^2 applies."

These comments will help us to realize that Mahler had thought a lot about 'borrowings' and he developed a 'theory' to explain them. Accordingly the songs were said to concealed the "seeds" (specifically the *Sermon to the Fish*, the first song of the Wayfarer series and *Das himmlische Leben*) which developed after a process of maturity into greater conceptions (as for instance into symphonic movements). Mahler said that the process had taken place in his subconscious mind ("without knowing at first where it would lead") – and he also believed in the "mysticism of creation" (BL 8 f.) and in the intuitive mind.[79] His vocabulary (the seed) and some expressions (such as "plants embodied in the seed") reveal, moreover, that he must have been familiar with Goethe's theory on the "metamorphosis of plants".

There can be no doubt that Mahler's "seed theory" is an indication of one essential aspect which can give us a better understanding of Mahler's 'borrowings'. At the same time there are other aspects which need to be considered for a complete explanation of this characteristic.

First, one should take into consideration the fact that Mahler's entire symphonic oeuvre was created under very unfavorable circumstances with respect to time. Throughout his life Mahler was forced to exploit as much as possible the few weeks available to him only once a year for composing. He had no time to lose, and he was very conscious of this. Natalie Bauer-Lechner describes how desperate he was in the summer of 1896 in Steinbach when he had forgotten the sketches for the first movement of the Third in Hamburg, and what steps he took to get them as soon as possible.[80] Her report on the origin (completion) of the First Symphony in Leipzig in March 1888, gives an idea of the great time pressure under which Mahler always stood (BL 150).

Imagining Mahler's situation, one can hardly dispute that this might have played a role in the decision to resort to older compositions – in other cases it may have been partly for reasons of economy. This does not mean that they were of paramount importance or that Mahler was a such a loss for ideas or themes so that he had to use the borrowed music as 'material'. The more intensely one deals with the history of the early symphonies, the clearer it becomes that Mahler's used his own Lieder in his great works due to extra-musical semantics. His 'borrowings 'need to be understood primarily from the viewpoint of his programmatic intentions.

One can conclude from Mahler's remarks, but also from the semantic analysis of the music, that the First Symphony was autobiographically conceived. To realize this concept, Mahler turned to the *Songs of the Wayfarer* which gave expression to personal experiences (GMB 33 f).[81] Comparing Mahler's statements about the time frame within which he composed the

Sermon to the Fish and about the meaning of the Scherzo of the Second Symphony, then it is possible to recognize what caused him to take up the *Sermon to the Fish* in the symphony[82] – it was that he viewed the lyrics as a satirical parable of futility (BL 23: "as if imagining someone who had lost himself and whose luck had run out, who saw the insanity of the world reflected back in a concave mirror"). In the composition of the Third Symphony, Mahler then thought about cosmological ideas and the idea of a hierarchy of beings (emergence of life "from the inanimate, inert matter" and the development "step by step to higher and higher" forms - to "flowers, animals, people, into the realm of spirits, leading up to the angels").[83] Mahler therefore inserted a section about animals into the overall design (BL 118) and at this point a song was drawn upon that already existed, i.e. *Ablösung im Sommer* (*Kuckuck hat sich zu Tod gefallen*).

Finally, it should be noted that *Das himmlische Leben* from 1892 furnished the *seed* from which the composer's Fourth Symphony (1899 to 1900) grew. Mahler not only made the song the finale of the symphony, but he selected individual song motifs as the basis for three antecedent movements (cf. chapter XIII, 3). The documents on the history of the Fourth Symphony demonstrate that Mahler was occupied with some concepts over longer periods of time.

VI. Aspects of architectonics

> "I considered placing the Scherzo [of the Second Symphony] after the first movement, which would be followed by the Andante. But that would have disturbed the economy of the work. Having the Andante and Urlicht directly following one another would not have provided enough variety in the mood. Also the keys in that order would have been related, while now the right balance was created. In my Third and Fourth such problems did not arise for me anymore, because in addition to sketching out of the whole arrangement of the movements I also took into account at the same time the sequence of the keys. The degree of similarity in tonality in the two adjacent movements was the main reason for removing the Andante *Blumine* from the First Symphony."
>
> MAHLER in October, 1900[84]

1. Varying number of movements and their arrangements – sectional structuring

Mahler symphonies differ in their architectural outlines from the symphonic type of Beethoven, Schumann, Brahms and Bruckner as far as they go beyond the norm of the traditional four-movement arrangement. Let us recall - of the ten symphonies, four (the First, Fourth, Sixth and Ninth) are in four movements, four (the Second, Fifth, Seventh and Tenth) have five-movements, one (the Third) even six movements. (The Eighth is a special case). If this list already gives quite a colorful picture, even more irregularities are revealed on closer inspection: the First consisted originally of five movements (the *Blumine* - movement was later removed), the Fourth was planned in six movements, and two of the four- movement symphonies (the Fourth and the Ninth) have a strange arrangement because as they close with a slow movement.

Equally strange is the outline of several symphonies. Mahler gathered together in a number of cases two, three or even five movements in a single *section*. He indicated this with explicit rubrics, or - indirectly - through thematic links. Thus, the First Symphony in the autograph (Osborn Collection, Yale University Library) is divided into two part. The first part comprises the movements 1 to 3, the second part the movements 4 and 5. This two-part division remained even after the removal of the *Blumine*. The printed score indicates (p. 77) a major break between movements 2 and 3. In addition the 4th movement was to immediately follow the third (p. 94).

The Second Symphony is then laid out in three parts. The first part consists of the opening movement, the second part is the second movement. The third part includes the movements 3 to 5 that follow one another "without

interruption". According to the rubrics, "an interval of at least 5 minutes" (p. 56) should separate the opening movement from the second movement.

The Third Symphony is composed of two parts according to Mahler's specifications. The first movement, a creation of colossal dimension, is the first division while the movements 2 to 6 make the second division. According to the score (p. 191 and p. 209) the movements 4, 5 and 6 are to be presented "without interruption".

The Fifth also consists of three parts. The first two movements form part I, movement 3 is the second part, movements 4 and 5 the third part. This is also indicated by the thematic links between movements 1 and 2, likewise between movements 4 and 5. According to the rubrics in the score there is a "long pause" after the second movement (p. 115) and an *attacca* transition from movement 4 to movement 5 (p. 179).

The Seventh Symphony is in ternary form. Here the weighty outer movements form the first and third parts and the three middle movements belong together both in scope and in character as the second part. The structure of the Tenth is similar.

If one wants to understand the discussed architectural features of Mahler's symphonies historically, we must again look to the symphonic program music of Berlioz and Liszt. Berlioz and Liszt belonged to the first symphony composers who breached the standard of the four-movement system. In accordance with the aesthetic maxim that the content created the appropriate form, they experimented with new schemes.

Thus Berlioz's symphonic works – as those of Mahler – exhibit changing movement numbers and arrangements. The *Symphonie fantastique* (1830) is in five movements, the *Harold Symphony* (1834) in four movements, the *Symphonie Funèbre et triomphale* (1840) in three movements (*Marche Funèbre, Oraison funèbre, Apotheosis*). The *symphonie dramatique avec choeurs, Roméo et Juliette* (1839) is divided into an introduction, a prologue and four symphonic movements. Nor can the works of Liszt be squeezed into a scheme. Of the symphonic poems some really consist of a single movement (for example, *Orpheus, Prometheus, Hamlet)* while others have two or possibly more movements. *Mazeppa* (1851) is in two movements, for example. Also *Tasso* (1849) was originally – in accordance with the programmatic subtitles *Lamento e Trionfo* - divided into two movements. (The menuett-like movement was composed and inserted later).[85] The *Ideale* (1857) were originally designed as a three movement symphony.[86] *Les Préludes* falls into four movements, if one excepts the introduction and its return at the end (see section VIII). Finally the *Faust Symphony* (1854), the *Dante Symphony* (1856) as well as the late symphonic poem *From the Cradle to the Grave* (1881/82) have three movements.

Our survey would have made obvious that the unconventional, imaginative and utterly unschematic 'manner' in which Mahler's symphonies were architecturally constructed may be, or better must be, placed in a direct relationship to Berlioz and Liszt. Even with Mahler the apparently free arrangements were determined by the programs of the works.

The analysis of the next section will prove that when constructing the five- movement scheme of the First Symphony Mahler had the model of the five- movement *Symphonie fantastique* by Berlioz and also the five-movement symphony *Rustic Wedding* by Carl Goldmark in mind. Here it should also be pointed out that when sketching out the novel structure of several symphonies in sections he was most likely inspired by a work of his friend Siegfried Lipiner, namely the translation of Adam Mickiewicz' *Todtenfeier*. It can be shown that the Second Symphony has a programmatic basis in Mickiewicz' drama (Lipiner's translation appeared in 1887). One part of this translation provided the basis for the program of the opening movement of the Second Symphony.[87] It is worth noting that the great Polish drama was to consist of four parts but it remained unfinished and Lipiner divided it into three parts, the second part comprising of two divisions. In this classification the parts I and II make up the "*Gustav-poem*" and Part III consists of the "*Konrad-poem*". They deal with different stages in the life of one and the same "hero" who dies as Gustav and is born as Konrad.

## 2.	From Beethoven's *Pastoral* and Berlioz' *Fantastique* to Mahler's *Titan*

Some programmatic symphonies in five movements

Beethoven's *Pastoral Symphony* (1807/08) is the first major symphony of the 19th century that with its five-movement system breaks through the standard model of a symphony in four movements which Beethoven had also hitherto followed. If one looks at the *Pastoral* from the perspective of Mahler's symphonies, then one would have to say that it is divided into three "*parts*" - the last three movements overlap and proceed *attacca* into one another and they could be regarded as one section. As daring as Beethoven's conception of the *Pastoral* might seem in many ways, it would be absolutely wrong to view the disposition of the five-movement work as an innovation. Beethoven in fact followed in this and other respects an established tradition, as Adolf Sandberger has shown in as important study.[88] The most obvious predecessor of the *Pastoral* is a five-movement symphony by the composer Justus Heinrich Knecht from Biberach (1752-1817), which is titled *Le Portrait musicale de la Nature*. It has a detailed program which was published in 1784 by Boßler in Speyer.

To pursue these relationships further, one can supplement the Sandberger's examples by mentioning that the program symphony had long enjoyed a status sui generis. They were not tied to a fixed number of movements and arrangements. Thus the program symphonies of Joseph Haydn, whose number and importance cannot be underestimated, demonstrate a certain freedom with respect to the arrangements of the movements.[89] The D Major Symphony no. 31 ("*Hornsignal*", 1765), for example, is in five movements: The C major Symphony no. 60 (Il *Distratto*, 1775) is in six movements. The Symphony no. 22 in E flat major (*Il filosofo*, 1764) has four movements but in the sequence Adagio - Presto - Minuet - Presto, whereas the Adagio is mainly written in the style of the old type of Church Adagio.

Beethoven's *Pastorale* inspired several composers to compose symphonies in five movements and it is significant that most of these works are program symphonies, as illustrated by the following table:

Beethoven, *Pastorale*, op. 68 (1808)
Pastoral Symphony or Recollection of the Life in the Countryside
(More expression of the feeling than painting)

I	*Awaking the emotions full of life upon arriving in the village*
II	*Scene at the brook*
III	*Happy gathering of country folk*
IV	*Thunderstorm; Storm*

V   *Shepherds' song; cheerful and thankful feelings after the storm*

Berlioz, *Episode de la vie d'un artiste*
Symphonie fantastique en 5 parties, op. 14 (1830)

I   *Rêveries. Passions*
II   *Un bal*
III   *Scène aux champs*
IV   *Marche au supplice*
V   *Songe d'une nuit du Sabbat*

Schumann, Symphony no. 3 in E flat major, op. 97 (1850)

I   *Lively*
II   *Scherzo (very measured)*
III   *Not too fast*
IV   *In the character of an accompaniment to a solemn ceremony*
V   *Lively*

Tchaikovsky, Symphony no. 3 in D major, op. 29 (1875)

I   *Introduzione (Tempo di Marcia funebre) e Allegro*
II   *Alla tedesca*
III   *Andante elegiac*
IV   *Scherzo*
V   *Allegro con fuoco (tempo di Polacca)*

Goldmark, *Rustic Wedding*
Symphony in 5 movements, op. 26 (1876)

I   *Wedding March, Variations*
II   *Bridal Song*
III   *Serenade, Scherzo*
IV   *In the Garden, Andante*
V   *Dance, Finale*

Mahler, First Symphony (1888/1893)
Symphony (Titan) in 5 movements (2 parts)[90]

Part I: *From the Days of Youth*
1.   *Spring and No End*
2.   *Blumine*

3.   *Under Full Sail*

Part II: *Commedia humana*
4.   *Funeral March in the Manner of Callot*
5.   *Dall' Inferno al Paradiso*

It seems quite remarkable that there are relationships between each of these symphonies.

The *Scène aux champs* by Berlioz is based, as already indicated, in many ways on Beethoven's *Scene by the brook*.

Regarding his *Rhine Symphony* Schumann said in a letter to Simrock from March 19, 1851, that it "reflects perhaps here and there a piece of life". It is conceivable that the former admirer of Berlioz wanted to create a counterpart to the *Symphonie fantastique*, whose program he did not particularly like.[91]

Tchaikovsky, who admired Schumann, appears to have been under the influence the *Rhine Symphony*, at least in expanding his Third Symphony to five movements. In any case Tchaikovsky's scherzo resembles very closely the scherzo of Schumann's Symphony in C major, opus 61: both "scherzo" are in two-four time, and reveal a type of movement which could be described as a *perpetuum mobile*.

Mahler's *Titan* finally has, as already indicated, links both to the *Symphonie fantastique* as well as to the *Rustic Wedding Symphony*. The links to the *Rustic Wedding Symphony* are primarily of thematic nature and will be discussed in detail elsewhere. [92] The relationships with the *Symphonie fantastique*, however, relate to the nature of the ideal program and are therefore discussed at this point.[93] In the program for the *Titan* premiere in Weimar on 3 June 1894 Mahler wrote that he had been inspired to write the *Death march in the manner of Callot* by a picture which "is known by all children in southern Germany as a parodized image from old children's story books, i.e.: *The Hunter's Funeral Procession*". At this point in the symphony, the piece was intended as an expression on the one hand of ironic humor and on the other hand of a scary brooding mood, which was followed immediately by the *Dall' Inferno* (Allegro furioso), as the sudden eruption of the deepest doubts of a wounded heart.[94] The final movement of the *Symphonie fanstatique*, conceived as an infernal vision, describes in the third part a grotesque funeral precession. For this reason the *Dies irae* is parodied. Berlioz's laconic programmatic rubrics for this scene read: *glas funèbre, parodie burlesque du DIES IRAE*. These parallels probably do not require any further comment.

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VII. Content and Form
The "axis" of the new aesthetics

> "The form is the vessel of the spirit"
> ROBERT SCHUMANN (1835)[95]

> "A form, even if it is constructed from existing parts, can only be called new when a new idea is revealed with it."
> ADOLF BERNARD MARX (1855)[96]

> "I ask only for permission to be allowed to determine the shape by the contents"
> FRANZ LISZT (1856)[97]

> "The ever new and ever changing content determines its own form by itself"
> MAHLER (1895)

> "The musical poetic content must determine henceforth the form…"
> R. STRAUSS

Eduard Hanslick's 1854 pamphlet *On the Beautiful in Music* stands as a landmark in the history of music aesthetics. It played an important role in the disputes over the *future of music* and triggered countless controversies.[98] In particular Hanslick's polemic against Wagner and his commitment to the cause of *absolute music* evoked responses from the followers of musical progress. The question of the relationship between form and content in music was the most controversial issue of the aesthetics of music.

Gustav Mahler's response to this issue was brief and concise. In a conversation with Natalie Bauer-Lechner in the summer of 1895, he explained his new symphonic conception with the sentence: "The ever new and ever changing content determines its own form by itself" (BL 19). This statement implies not only a belief in the primacy of content over form, but also the conviction that the content could only be extra-musical. With these views Mahler committed himself unreservedly to the camp of the aestheticians favoring content and especially to the composers of program music.

Franz Liszt, in his fundamental treatise on the *Harold Symphony* by Berlioz of 1855 was the first theorist of the New German School to describe the differences that existed between the traditional music and the music program with conciseness and clarity. He paid especial attention to the problem of

content and form. The following sentences contain the core of his conception (GS IV, 69):

"In so-called classical music, the return and thematic development of themes is determined by formal rules that are seen as being immutable, even though they could just as well be explained as rising out of the composers' own imagination and even though the composers themselves created the formal arrangements that are now regarded as laws. In contrast, program music is conditioned by the repetitions, alterations, changes and modulations of motifs which are conditioned by their relationships to poetical ideas. In program music one theme does not necessarily arise from another. Here the motifs are not the results of stereotypical sequences and contrasts of tone and color as such and are not conditioned by the grouping of ideas. All exclusively musical considerations, while not totally ignored, are subordinated to the dictates of the given subject. Thus the working out and the subject of this symphonic category depends on factors that go beyond the technical treatment of the musical material."

The above principles of Liszt became the dogma of the Progressive Party. None other than Richard Wagner allied himself with them in his famous letter of Feb. 15, 1857 to the Fürstin Wittgenstein in which he paid homage to the symphonic poems of his friend Liszt and he wrote about their new form:[99]

"But what will now be the new form? – as dictated of necessity by the subject and its subsequent development. And what is this phenomenon? – a poetic motif. So let me shock you! – *program music*."

The composer of program music Richard Strauss traced the origin of his works back to Berlioz and Liszt, whom he admired in particular. No wonder, therefore, if one observes that even Strauss with respect to music aesthetics – at least in his "youthful" years – stood under the spell of Liszt's views about the relationship between form and content in program music. This can be illustrated by his comments as follows:

On August 24 1888 Strauss wrote to Hans von Bülow:[100]

"Now, if one wants to create a work of art, the mood and structure of which are unified and which is to make a vivid impression on the listener, then the author must also have had a vivid image of what he wants to express before his inner eye. This is only possible as a consequence of fertilization by a poetic idea, regardless of whether it is appended to the work as a program or not. In my opinion it is a purely artistic process when the artist responds to every new endeavor by creating a corresponding new form. To ensure that the form is beautiful and is complete and perfect in itself, is of course very difficult, but that makes it all the more stimulating. Making music according to the rules of pure Hanslickian form is in any case no longer possible. From

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now onwards there will be no more beautiful but aimless phrase-making, during which the minds of both the composer and listeners are a complete blank.”

He expressed his opinion in a letter to the Slovak composer Johann Leopold Bella (1843-1936) of March 1890 even more clearly:[101]

> “The practitioners of music here are divided into two groups, those to whom music is *expression*, which they use as a language every bit as precise as the language of words, but it is used to express things beyond the capacity of words. Then there are those to whom music is *resounding form*, that is, they provide the work they want to compose … with some general underlying mood or other, and develop such themes as arise according to a totally exterior musical logic which I, since I am more prone to only acknowledge a poetic logic, cannot even understand.
>
> Program music: real music!
>
> Absolute music: can be written with the aid of a certain routine and craftsmanship by any only moderately musical person.
>
> The first? – art!
> The second: – craft!
>
> Remarkably enough, present-day music took the second alternative as its starting-point and it was only made fully conscious of its true destiny thanks to Wagner and Liszt.
> We present-day musicians therefore still begin with the second alternative until we come to realize that it is not music at all, and the fundamental condition of a music work is *the most precise expression of a music idea* which has to create its own form. That every new idea has its own new form is a fundamental condition of a musical work”

Finally there is the following detailed statement of Richard Strauss in another letter to Bella:[102]

> “The musicians of today, drifting around with their sophisticated four-movement formulas, have not even begun to understand the essence of our beautiful music – our music as expression, not as Hanslick's resounding formulas … the musical poetic content must henceforth determine the form and in this Liszt, following on the path established by Beethoven's Coriolan, Leonore III, etc. has been the model for us younger composers ... That's why we want to write program music, because in my view, Beethoven wrote only program music even if he seldom revealed to us the poetic impulses that prompted the creation of his works.”

The converging views of Liszt, Wagner, Strauss and Mahler on the controversial issue of the relationship between *content* and *form* is, as one can see, perfectly compatible. All four professed – in the terms of modern philosophy – their commitment to the doctrine of “heteronomy-aesthetics” and all four rejected,

explicitly or implicitly, Hanslick's "autonomy-aesthetics", i.e. the doctrine that "the content of music is moving forms in sound". Liszt, Wagner and Strauss emphasized the importance of the subject, which they call the *poetic thought*, the poetic motif or the *poetic idea* in the new music as propagated by them.

That the new aesthetic was violently attacked by their enemies, can be traced back last but not least to a misunderstanding, or more precisely to the fact that its proponents have failed to define the relationship between the poetic idea and musical content precisely. This allowed their opponents, the supporters of formal aesthetics, to argue that *poetic idea* and *musical content* are two very different things. But Hanslick had denied in the sixth chapter of his aesthetic work that the art of music could have an extra-musical content in terms of subject matter, substance, topic or idea. Hanslick would only recognize "architectural constructed themes" as the determinants of the content of a musical work.

This claim is, however, open to criticism. The aesthetics of program music is obviously based on the following quite logical reasoning: The *poetic idea* (the subject) shapes as the "foreign content" of a composition the musical content (by which is meant the musical theme in the broadest sense) and also determines its appearance, that is, its musical form.[103]

The importance of Liszt's essay for the foundation of an aesthetic of program music cannot be overstated. The statements quoted above form not only the *axis* of the new aesthetics, but also formulate specific compositional-technical 'rules' which necessarily are to be observed by the "poetic symphonist", if he wanted to compose according to the new principles. In this light, Liszt's essay can be viewed as the most important draft of a "manual on composition" of the *Musica Nova* of the 19th century, even though an actual manual on the theory of composition which could serve as a comprehensive 'textbook' was never written. Despite this we do have the highly significant manuals on instrumentation of Berlioz and Richard Strauss as a part of such a 'textbook'.

Not only Strauss and Mahler, but also countless other *poetic symphony composers* made the principles of Liszt, mutatis mutandis, the canon of their works. Any analysis of their music must therefore begin with the established 'rules'. In the following we will examine the 'application' of the new aesthetics in the compositions themselves. At the same time works of poets in sound will be taken into consideration who not necessarily would be regarded as composers of programmatic symphonies. Only by confronting the antitheses can a well-rounded picture be formed.

VIII. The cyclic form principle and the programmatic idea

> "but what is now to be the new form? – this is of necessity determined each time by the object that is to be represented and developed."
>
> RICHARD WAGNER (1857) (V GS, 191)

> "... as in Beethoven's symphonies, in which individual movements might appear to be quite heterogeneous but on closer examination they turn out to have been generated from only one element ..."
>
> E. TH. A. HOFFMANN (1813)
> SW V. 153

A historian who is attempting to follow the stages of development in the history of the symphony will have to recognize the formation of cyclic form as an essential aspect. If one were to take architecture standards as the measure for investigating the development of the genre, one could represent the development of the genre from the Neapolitan opera sinfonia to the symphonies of Mahler as a process that begins with a loose juxtaposition of movements which culminated in the formation of cyclic organisms.

Indications of cyclical symphonic design can already be seen in the classical period. In several symphonies of Haydn and Mozart there are movements, especially in the outer movements, which are linked by common themes. The occurrence of the technique of thematic unity as a general shaping principle for the creation of the early suite [104] was usually restricted to the opening themes or opening motifs which appear in manifold rhythmic variations. [105]

Beethoven

If one goes beyond the 'content' of Beethoven's symphonies and instead investigates Beethoven's involvement with the further development of the symphony as a genre, one does not have to search long for answers. It consists of extending the dimensions of movements and sections (especially in the development and in the coda), the use of the scherzo instead of the minuet, expansion of the three-part scherzo to a movement in five sections (in the Fourth and Seventh), expansion of the orchestral apparatus (especially in the finale of the Fifth and in the finale of the Ninth), development of new areas with respect to themes, rhythm, harmony, external dynamics, sound and color and also the expansion of the symphonic idea. At the same time we often forget to include a

particularly important aspect: i.e. the close stylistic connections between the movements of one and the same symphony. Although the principle of thematic unification was not yet fully developed by Beethoven (it was Franz Liszt who took this decisive step) one has the impression that the movements of his symphonies are held together with an iron clamp. Using the Fourth Symphony as an example Ludwig Misch[106] clearly demonstrated the stylistic factors which gave rise to this unity (i.e. a "wonderful unity").

In addition to the examples investigated by Misch, it should be pointed out that the Fourth is distinguished by the manifold relationships between the movements. There is a very remarkable structural relationship between the first expressive theme of the slow introduction and the trio theme. The model for both themes is a chain of thirds, which however run in opposite directions. It rises in the introduction and falls in the trio. It is no less striking that one and the same harmonic model, namely the chord progression I-II$_{6/5}$-V$_7$-I, that forms the basis for the main theme of the Allegro vivace (see bar 81 ff.) is based on variants of this model. This interesting passage provides an example as well of a consequential progression on the steps of a circles of fifths. The harmonic scheme is: e flat – b flat – f – c – g – d – F$_7$ – B flat.

If we investigate the movements of the Fifth Symphony, it cannot be denied that the famous 'knocking rhythm' which functions as a recurring rhythmic motif is responsible for the integrity of the work. It is prominent not only in the first movement and in much of the scherzo, but also plays a prominent role in the finale. The function and treatment of this key rhythm seem to be so significant that the question of the poetic idea of the Fifth must be raised again (see chapter XXIV and table LVI). Finally, it should be noted that the idea of stylistic unity presented in the Sixth Symphony can be attributed in part to the common pastoral nature of several movements and passages and in part to motivic relationships. Seen from this perspective, the first, third and fifth movements of the symphony contain as a common feature the characteristics of the pastoral. Equally significant is that the pastoral 'alphorn theme' with the *shepherd's song* is already anticipated in the first movement bars 115-127 by the woodwinds (see chapter XII, 3).

Schubert and Schumann

Another step towards the realization of cyclic form can be represented by Schubert's great C major Symphony (1828). Of the many innovations in this work which are relevant to the history of the development of the symphonic genre one can point out one feature which was very important, namely connecting the introduction (Andante) thematically to the opening movement

(Allegro ma non troppo). Probably this was the first time in the history of the symphony that the introduction and sonata movement were integrated in such an intimate way. Organically and without coercion Schubert related a characteristic opening motif of the Andante theme to the sonata. From this he developed the trumpet calls of the third thematic complex and it enabled him give the motif a dominant position in the development. Entirely in keeping with the formal conception of the cyclic form, he concluded the coda of the sonata movement with the Andante theme. It can be shown that Schubert thus created a form which would serve as a model for Schumann and especially for Bruckner.

This technique used by Schubert in the C Major Symphony clearly made a strong impression on Robert Schumann in his First Symphony in B-flat major, op. 38, the so-called *Spring Symphony* (1841).[107] As in Schubert's work, the Spring Symphony opens with a lengthy slow introduction (Andante un poco maestoso) which leads with increasing momentum to the fast first movement (Allegro molto vivace). Schumann also connected the Andante and Allegro: the main theme of the sonata form is developed from the motto-like intonation of the Andante theme. Another thematic link exists between the Larghetto and Scherzo: near the end of the Larghetto the trombones anticipate the beginning of the Scherzo. It should be pointed out that Schumann was inspired to compose the Spring Symphony by a poem of Adolf Böttger. Originally, the four movements were introduced by poetic titles but these were suppressed in the publication.[108]

If the thematic links in the *Spring Symphony* were limited to individual phrases and single movements, then it can be said Schumann came significantly closer to realizing the ideal of the cyclic form in his Second and Fourth Symphonies. In both works, all or nearly all the movements are linked together thematically. Schumann went the furthest with this technique in the Fourth Symphony and it is revealing that the title of the work was originally (in the first version of 1841) *Symphonic Fantasy for Large Orchestra*. In the finale, Schumann takes up again the thematic material of the first movement, but it is artfully transformed. Moreover, the same music returns to the slow introduction in the romance. The "conscious careful manner" with which Schumann created these connections led the musicologist Hermann Abert[109] to suggest that the symphony was based on a *poetic idea*.

In Schumann's Second Symphony, op. 61 (1845-46) the brass motif of the opening takes on the function of a "Leitthema" which was used in almost all the movements. Only in the Adagio, a movement that is based on the Largo of the Trio Sonata from Bach's *Musical Offering* (!), is the theme not employed.

However the Adagio is connected thematically to the finale: Schumann based the secondary section of the finale on the opening theme of the Adagio.[110] Finally, there is a thematic connection between the two last movements of the Third Symphony, op. 97, the so-called *Rhine Symphony* in five movements

(1850). The oscillating "ricercar" theme of the fourth movement, which originally was titled *Im Charakter der Begleitung einer feierlichen Ceremonie* (in the manner of an accompaniment to a celebratory ceremony) appears again several times as a transformation (metamorphosis) in the finale.

Berlioz

Another pioneering method for implementing the cyclic form was developed even before Schumann by Hector Berlioz, the inventor of the "Leitmotiv". The immediate objective of his method, however, was not the cyclic form in itself, but it had to do with the psychologizing of music. The thematic association of the individual movements of the *Symphonie fantastique* (1830) by means of the so- called *idée fixe* is only the consequence of this effort. Berlioz was primarily concerned with the implementation of a literary program into symphonic music. The *idée fixe*, which appears like a citation or with significant states of metamorphosis in all the movements of the *Symphonie fantastique* was employed as a means to awaken specific associations in the listener.

It should be pointed out that Berlioz used the term *idée fixe* only in connection with the *Symphony fastastique*. In the program[111] of the work, which he at first revealed on April 16, 1830 to his friend Humbert Ferrand, he wrote that the image of the lover was always connected in the mind of the young musician with a "*musical idea*" (i.e. as a *pensée musicale*). This image and its "*melodic reflection*" haunted him incessantly like a double *idée fixe*: Par une singulière bizarrerie, l'image chérie ne se présente jamais à l'esprit de l'artiste que liée à une pensée musicale ... Ce reflet mélodique avec son modèle la poursuivent sans cesse comme une double idée fixe.

One observes that the term *idée fixe* comes from the vocabulary of psychiatry. His medical degree was not without influence on the thinking and musical aesthetics of Berlioz. His writings on music aesthetics are sometimes influenced by psychopathology. Thus we read in his essay *Musique* (*A travers chants*, p. 25): Combien de fois n'avons-nous pas vu à l'audition des chefs-d'œuvre de nos grands maîtres, des auditeurs agités de spasmes terribles, pleurer et rire et à la fois, et manifester tous les symptômes du délire et de la fièvre!

The manner in which Berlioz worked should be considered against this background: each movement of the *Symphonie fastastique* and the *Harold Symphony* (1834) is based on distinct and independent thematic material: each movement is derived from its own themes. The main innovation lies in the fact that Berlioz introduces n each movement one and the same melody as the symbolization of a specific person (the lover and Harold) which is employed in the individual movements with various colorations for the characterization of relevant psychological situations.

This *characteristic melody* (as Liszt called it) takes on various forms in accordance with the requirements of the program, but it remains recognizable as such as a rule. Liszt (his best interpreter) explained exactly what really mattered to Berlioz:[112]

> "Through this symbolization Berlioz was the first to be able to indicate not only the presence or absence of his heroes in the various scenes, but also to convey all the excitement and shades of feeling with the help of modulations, rhythmic patterns and harmonic expressions."

For the history of the term *Leitmotif*, it is certainly not insignificant to note here that Liszt always referred to it in his essay on Berlioz's Harold Symphony as a *characteristic melody*. The original French term (the essay was translated by Richard Pohl from French into German[113]) is *un chant charactéristique* (FLB IV, 87). Liszt himself spoke in 1855 about characteristic motifs. In a letter to Franz Brendel of March 18, 1855, he wrote that he considered Brendel's opinions about the *characteristic motifs* to be correct (FLB I, 194).

Liszt

> "But in contrast to Schumann, Liszt's works are distinguished by a more apparent poetical-musical fantasy while Schumann, for example, was more concerned with a specific musical coloring, although even here a poetic element can be discerned when we compare Schumann with earlier composers."
>
> FRANZ BRENDEL (1859)[114]

Franz Liszt always openly acknowledged that he had been greatly influenced by Berlioz. However, Liszt altered Berlioz's techniques for his own work to such a degree that the result is a far cry from the model. It deserves to be stressed emphatically that the idea of cyclic form in the symphonic field was only fully realized in the works of Liszt. Liszt was the first to create the form of the one-movement symphonic poem, and he strove for the unification of the thematic cycle as no one before him. He developed two methods. One is the technique of derivation (Ableitungstechnik), the other was designated by Liszt himself as enhanced recurrence (gesteigerte Wiederkehr).

Liszt's technique of derivation awakens admiration for its consistency and economy. Using a 'seed motif', several (although not all) of the themes of a work were derived from it by means of variation. In a letter to the leading theorist Christian Lobe from May 24, 1856 Liszt says that he had applied this procedure to *Tasso* and *Les Préludes*. Both works were 'constructed' from one motif (FLB VII,126-128).. It should be noted, however, that Liszt's statement

was a bit of an exaggeration and moreover it can easily be misunderstood. At least in *Les Préludes* some of the themes and motifs can under no circumstance be derived from the opening motif of the introduction. That the statement is actually misleading, can be demonstrated by the ill-fated attempt by Alfred Heuss[115] to attributed all the thematic material of the *Mountain Symphony* to a "single primordial seed", i.e. the noise motif at the beginning.

Liszt's method of *enhanced recurrence* can be seen then as a new approach to the older concept of the classical reprise. A composition might be based on several themes and motifs according to the requirements of the program. These were then presented, treated as leitmotifs and properly developed. In the final movement, they would then be summarized in terms of an intensification. Liszt included an explanation of the process in a letter to his cousin Eduard Liszt from March 26, 1857 using the example of the Piano Concerto in E flat major:[116]

> "The fourth movement of the Concerto, [no. I, in E flat major.] from the Allegro marziale on, corresponds to the second movement Adagio; it is only an intensified recapitulation of the earlier subject-matter with quickened, livelier rhythms and it contains no new motifs, as will be clear to you by a glance through the score. This kind of binding together and rounding off of a whole piece at its close is somewhat my own innovation, but it is quite integral and justified from the standpoint of musical form."

Liszt described the method explicitly with the term *enhanced recurrence* on January 8, 1858 in a letter to Hans von Bülow.[117] Here he made some brief comments on the program of the symphonic poem *Die Ideale* and wrote that the musical composition closely followed Schiller's poem with three "*main stanzas*": (1. *Aufschwung* (Aspirations), 2. *Enttäuschung* (Disappointment), 3. *Beschäftigung* (Activity), "with the increased recurrence of these motifs leading at the end to the 'apotheosis' of the poet."

Liszt's breakthroughs have been often correctly identified in the literature but they have not been properly interpreted. Especially in the twenties and thirties of the 20th century, at a time when the program music finally came to be regarded with disrepute and contempt, several researchers tried to explain Liszt's formal and compositional achievements as purely musical autonomies. Thus Joseph Heinrichs[118] and Joachim Heinrich Bergfeld[119] – to name just two names – emphasized the musical logic of Liszt's forms and they denied that programmatic factors had a major influence on them.[120]

Such an interpretation must be most strenuously contradicted. It should be pointed out that Liszt, the revolutionary and progressive musician, did not wish to be understood as a "formalist", but rather as a composer of program music. In his treatise on the *Harold Symphony* he sharply distinguishes the "specifically symphony composer" from the "poetic symphony composer" (GS IV, 50),

emphasizing that in the "so-called classical music" repetition and development of the themes ensued on the basis of "formal rules", while they were conditioned in program music "on the basis of their relationship to a poetic idea" (GS IV, 69). It is amazing that these very distinct statements by Liszt were disregarded again and again.

A second objection: drawing on the fact that Liszt used the derivation technique not only in *Les Préludes*, but also in the *Sonata in B minor*, Joseph Heinrichs concluded "that neither the principle of grouping nor the derivation technique as such were dependent on programs in Liszt's symphonic poems nor did they serve programmatic symphonic purposes". [121] "These important principles of creation used by Liszt", he continued, "are therefore actually of musical origin".

This conclusion, however, is a fallacy. First, it could be argued that of all of his symphonic poems Liszt chose to employ the derivation technique most consequentially in *Les Préludes*. Let us not forget the program of this work: death ultimately determines the course of life, which is conceived as a sequence of preludes. The individual preludes – love, storms, idyllic silence, struggle – are just variations on the same theme. Secondly, that Liszt followed the procedure in the *B minor Sonata* says nothing about its origin. (Incidentally, can one be reasonably certain that the B minor Sonata is not based on a program?).

The correlation between music and program in Liszt's *Les Préludes*

Researchers, who would limit the importance of programs for the exegesis of the music of Liszt often refer to the creative history of *Les Préludes* as an example. They point out that the main themes of the symphonic poem of 1854 appears in four (unpublished) works composed in 1845 and 1845 for male choirs which Liszt based on poems by Joseph Autran (*La Terre, Les Flots, Les Astres* and *Les Aquilons*), and they claim that the symphonic poem originated as a (lost) overture that Liszt had planned as an introduction to these choral works. Peter Raabe[122] was the first to advocate the thesis that Liszt only began looking for a comparable poem after completing the "redesigned overture" and he found what he was looking for in Lamartine's meditation. According to Raabe, Liszt's work "had absolutely nothing to do with Lamartine's poem."

The eminent Hungarian Liszt researcher Emile Haraszti[123] investigated Raabe's hypothesis in detail and found it to be correct. He firmly believed that the first version of the program to *Les Préludes* originated with the princess Carolyne Sayn-Wittgenstein, who attempted in 1854 to transfer in a "pathetic" French some ideas from Lamartine's *XV. Nouvelle Méditation Poétique* into prose accompanied by a sort of commentary in which her own philosophical reflections were contaminated with quotations from Lamartine's *Méditation*.

According to Haraszti, this "turgid" program with "no connection to the music" proved to be so objectionable to Liszt that he was forced to have it revised again and again in the interests of dissemination of his work. A second resulting version of 1855 was signed by Arthur Hahn, a third version (from 1857) came from the pen of Hans von Bülow. The version published in the complete edition, signed by Liszt and Peter Cornelius, represents a revised version of Bulow's text translated into German. According to Heraszti the different program versions came about as Liszt in desperation undertook to create a spiritual bridge between Lamartine's poem (or rather between the concoction of the princess) and his music.

These theses of Raabe and Haraszti appear captivating at first glance. On closer examination, however, they lose much of their persuasiveness. One must conclude that they are only partially true.

Both Raabe and Haraszti start from the (unproven and unlikely) assumption that there must have an overture to the four choral works to which Liszt gave the general title *Les Quatre Eléments*. This assumption cannot however be proven. While Liszt wrote in a letter of August 7, 1852 to Autran of his intention of composing a "fairly long overture" (*une langue assez ouverture*), such an overture has, however, not been found – as Léon Guichard[124] recently remarked. We have only the four choral pieces and the symphonic poem *Les Préludes*, for whose history a hitherto little-noticed letter by Liszt of 1851 is relevant insofar as Liszt speaks of an overture which would bear the title *Méditations Symphoniques*.[125] This letter seems to prove that already in 1851 Liszt was occupied with the idea of composing a symphonic poem based on the *Les Préludes* by Lamartine.

But even if we assume that Liszt had actually designed an overture to the *Quatre Eléments* and later remodeled it in the symphonic poem *Les Préludes*, then he must have made the revision with the *Méditation* of Lamartine in mind. Only this assumption can explained namely the close relationship between Liszt's program for his music (we refer to the "final version", i.e. the version published in the complete edition[126]) and Lamartine's *Méditation*.

Let us recall the construction of the symphonic poem *Les Préludes*. It begins with a two-part introduction (*Andante* and *Andante maestoso*), which is followed by the four interlocking 'movements' with the *Andante maestoso* as an epilogue.

One doesn't need to study the music and the technical design in order to grasp the close connection with the program. A mere perusal of the List's tempo rubrics and the individual terms of expression help us realize that the four 'movements' of the work are related to the four situations of life mentioned in the program – love, the storms, the idyllic silence and the struggle – and that the

four preludes are related "to that unknown song whose first solemn note sings of death".

So the first, very expressive 'movement' (*L'istesso tempo*, bars 47-108) is conceived as a symphonic expression of "love", the "shining dawn in every heart" as translated by Cornelius from its French model (*L'amour forme l'aurore enchantée de toute existence*). This is already indicated by the terms of expression, namely *espressivo cantando*, *dolce espressivo*, *espressivo dolente* and *espressivo ma tranquillo*. Moreover, the expressive thematic passage for horns in bar 70 ff. appears in the men's chorus in the *La Terre* verses, which refer to the "*happy hours* " (les heureux moments) and "*loving nature*" (tous les être amoureux)! The rich coloristic of the second 'movement' (*Allegro ma non troppo* and *Allegro Tempestuoso*, bars 110-181) then represents naturalistic musical storm scenes and paints – in accordance with the program – the "roar of the storm", which interrupts "the first delights of happiness" (mais quelle est la destinée où les premières voluptés du bonheur ne sont point interrompues par quelque orage ...).

The ensuing short episode (*Un poco più moderato, dolce espressivo*, bars 182-199) refers to the first thematic 'movement' (*L'amour*) and should be understood as an echo of the "love scene".

The third 'movement' then (*Allegretto pastorale*, bars 200-232) describes the "sweet silence of the countryside", in which "the soul wounded in the innermost" after "such turbulance" searches while "weighing one's own memories"(… et quelle est l'âme cruellement blessée que, au sortir d'une de ces tempêtes, ne cherche à reposer ses souvenirs dans le calme si doux de la vie des champs?) The fourth 'movement' finally (*Allegro marziale animato*, bars 344-404) is the most accurate depiction in accordance with the program, which deals with the "trumpeting storm signal", with war, with reputation "in the ranks of the Combatants" and with the "crowding of struggle" depicted as a grandiose march and fight scene.

The four movements of the symphonic poem refer, therefore, to the four situations in life which are dealt with in the program. The existing correspondences extend to the choice of the terms which Liszt used to describe the character and expression of the movement. The musical terms *espressivo*, *tempestuoso*, *pastorale* and *marziale*[127] correlate with the four key words of the program: *l'amour*, *l'orage* (*les tempêtes*), *la vie des champs* and *le combat*!

Haraszti's thesis that there was no connection between the program and the music of the *Préludes* is therefore invalid. Our study showed that the connection is as close as conceivable. The question remains to be answered as to whether a similar connection exists between Liszt's work and Lamartine's poem. Was Liszt "really quite unjustified" in entitling his work with words *d'après Lamartine*, as Raabe claimed?

We think that the perspective from which Raabe and Haarszti investigated these questions was not valid. They did not take into consideration that substantive points of contact exist between the four poems of Autran and the *XV. Nouvelle Méditation* of Lamartine. The verses of both Autran and Lamartine relate to the love, the storm, the idyllic life on the land and the battle, i.e. the four situations of life dealt with in Liszt's program. These correspondences allowed Liszt in 1853/1854 to use for his symphonic poem the older music of the four Autran choral works and then to couple it with the newly created work associated with Lamartine's meditation. The association is, as we have seen, far from arbitrary.

Bruckner

It is well known that Anton Bruckner was a Wagnerian and an admirer of Liszt.[128] Despite this, he did not adopt the form of the one-movement symphonic poem created by Liszt. His symphonies remained rigidly faithful to the standard of the four movements. If we look for an explanation for this seemingly paradoxical situation, one would have to take into consideration Bruckner's mental and spiritual constitution, particularly his 'drive' towards monumentality. It is hard to image a monumental symphonic poem as a composition of colossal dimensions. Neither Liszt nor Richard Strauss wrote such works. The conventional four-movement system, however, was quite capable of being expanded and thus Bruckner was able to create the genre of the monumental symphony.

Among the characteristic features are the thematic links which regularly exist (from the Second Symphony on) between the outer movements. The main theme or the main subject of the first movement appears in the finale (usually towards the end of the movement) where it is magnificently magnified with increasing intensity and it is often combined in counterpoint with the first theme of the finale. A comparative study of the works of Liszt and Bruckner led to the conclusion that Bruckner encountered this method for the first time in Liszt's *Graner Solemn Mass* (1855).[129] He first employed it in his first two masses for orchestra in D Minor (1864) and in F Minor (1868) and after he turned away from the writing of Mass compositions, he applied this method of composition to the symphonic genre (1871-72). All of Bruckner's symphonies (from the Second on) conclude with the apotheosis of the main theme.[130] (Incidentally, Bruckner introduced the main motif as well into the coda of the opening movement. In this he does not follow the example of Liszt, but rather the example of Schubert's great C major Symphony.) The existing relationship between the Liszt's and Bruckner's method must be set beside a remarkable and significant difference: unlike Liszt, Bruckner is satisfied with only linking the

themes of the outer movements. The linking technique is not applied to the Adagio and Scherzo – except for the singular instance in the Fifth Symphony.

The technique of reminiscences and quotation has to be differentiated from the linking technique. Bruckner was introduced to these techniques in Liszt's work, and he applied them in several of his symphonies in the manner of a "tone poet".

Tchaikovsky

Peter Ilyich Tchaikovsky, the greatest Russian symphony composer, was an admirer of Beethoven and he had a special affinity for art of Schumann, Berlioz and Liszt. Keeping these "selected affinities" in mind, then one can begin to understand some of peculiarities of his symphonies.

The idea behind Tchaikovsky's Symphony no. 4, op. 36 (1877) and no. 5, op. 64 (1888) can be directly linked to Beethoven's Fifth Symphony, which Tchaikovsky regarded as a *symphony about fate*. He was so fascinated by Beethoven's Fifth and its alleged spiritual content that he employed the idea of fate to three of his major symphonic works: i.e. the symphonic fantasy *Fatum*, post op. 77 (1868) and the two above mentioned symphonies. In both symphonies the programmatic idea gave rise to the cyclic form of conception. A fate theme, first intoned as a type of motto in the slow introduction, later returns repeatedly.

Tchaikovsky himself acknowledged in a letter to his pupil Sergei I. Taneev that his Fourth Symphony was influenced by the programmatic idea of Beethoven's Fifth. On April 8, 1878, he wrote to him:[131]

> "In essence my symphony is an imitation of Beethoven's Fifth, that is, I was imitating not his musical thoughts, but the fundamental idea. What do you think: is there a program in the Fifth Symphony? Not only is there one, but in that case there is simply no room for argument as to what it is seeking to express. Approximately the same idea underlies my symphony, and if you failed to understand me, then from that one can conclude only that I am no Beethoven, which I was never in any doubt about anyway."

Tchaikovsky expressed his intentions even more clearly in a letter to Madame von Meck from March 1, 1878. He not only told her that his Fourth Symphony was a program symphony but he also revealed to her the full program. In this very detailed explanation Tchaikovsky speaks about the rhythmically incisive theme of the slow introduction, that is first intoned by the horns and bassoons in unisono, as being the "main idea" of the symphony. He clarified the semantics as follows:[132]

"This is Fate, this is that fateful force which prevents the impulse towards happiness from achieving its aim, which guards jealously lest well-being and peace should make an appear and that the sky overhead should become unclouded – a power, which hangs over us like the sword of Damocles and unwaveringly and constantly poisons the soul. This force is invincible, and you will never overpower it."

With these so precisely defined semantics, the theme of the introduction (*Andante sostenuto*) appears in several places in the following sonata movement (*Moderato di anima*), either in contrapuntal coupling with the first Moderato theme or even alone, "scaring away the dreams" as Tchaikovsky wrote in his explanation. The music of the introduction then returns (in condensed form) once more in the finale with programmatic significance, as it disrupts the *fiery* music of this movement (*Allegro con fuoco*), which Tchaikovsky conceived as a "picture of a folk festival on a holiday".

From the composer's programmatic entries in the sketches it is clear beyond any doubt that the Fifth was designed as a *Fate Symphony*.[133] Two symphonies on fate? Yet Tchaikovsky did not copy himself. His Fifth reveals namely a completely different musical, 'poetic' and 'philosophical' conception of the idea of fate. It is true that the fate theme appears here motto-like at the beginning of symphony, which also begins with a heavy introduction (*Andante*). The role, however, that Tchaikovsky accords the theme for the rest of the work is quite different. Thus in contrast to the Fourth the *Allegro di anima* following the introduction is not taken up again. It does however appear sporadically in the middle movements (*Andante cantabile* and *Valse*) and in both cases it is used in the manner of Berlioz's *idée fixe*, which musically makes a strange impression in its surroundings. It is fully developed of course only in the finale. Here it forms, now in the major tonality, the "majestic" main idea of the movement (Andante maestoso), representing in Tchaikovsky's interpretation the "complete submission to fate or, which is the same, submission to the inscrutable workings of Providence".

Mahler

When we now turn to thematic relationships in Mahler's symphonies, we must emphasize two things in particular.

1. With respect to the solutions offered by Liszt and Bruckner, Mahler's use of the conception of cyclical form assumed an intermediary position. Mahler did not go as far as Liszt in thematically linking the movements of a symphony yet he decidedly went much further than Berlioz and Bruckner. The thematic links in Mahler's symphonies are more numerous than was previously thought and they manifest themselves in a whole variety of ways. This can only be shown with a discussion of individual works. [134] Our attention is directed to Mahler's method in general.

    For this we must first ascertain that the outer movements in almost all of the symphonies are linked with each other thematically. The two exceptions are the Fifth and the Ninth. The finale of the Fifth is not related to the opening movement in any way but it cites the chorale theme of the second movement, which together with the first movement represents the first "division" of the work. In the Ninth then the connection between the outer movements is only a reminiscence. The finale quotes a single time (bars 122-124) the Leitrhythm of the first movement (see chapter XXIV and table LXVIII).

    Next, we must ascertain that Mahler linked two or more of the preceding movements with the finale in several symphonies. For this the Second, Third and Fourth symphonies can serve as instructive examples. No less remarkable are the thematic connections between the following pairs: the first and the second movements of the Fifth, the fourth and fifth movements of the same symphony and the third and the fourth movements of the Ninth. These three pairs each have some common thematic material.
    We must cite as a specific characteristic of Mahler's symphonies the technique of linking together the movements of a symphony by a characteristic rhythm or sound. Such a function is assumed for example by the so-called motto of the Sixth, a major-minor shift that returns alone or together with a characteristic rhythm in the first movement, in the Scherzo and in the finale.

2. One does not do justice to Mahler's conception of the cyclic form if it is only approached from a musical point of view. The thematic connections in his symphonies are not so much the formal development of musical occurrences as the fulfillment of the requirements of underlying programmatic ideas. Mahler himself understood it as a means for representing extra-musical (intellectual and psychological) developments.

This becomes clear in the following statement about the Third Symphony (BL 41):

> "Nothing became of the broader relationships between movements which I had at first been contemplating: each movement stood on its own as a complete and indivisible whole: there were no repeats or reminiscences. Only at the conclusion of the Tiere section did the heavy shadow of inanimate nature once again appear – the uncrystallized yet inorganic matter. But it was more a return to the lower realm of animal forms of being before making the huge leap in spirit to the highest being on earth, to man. Another relationship that will be hardly noticed by the listener exists between the first and the last movement: what is initially dull and rigid is stretched out up to the highest consciousness – inarticulate sounds are developed into the highest articulation".

Mahler therefore defined the relationship between the conception of cyclic form and the programmatic idea exactly as Liszt had done in his treatise on the Harold Symphony. Also for Mahler repetitions and *reminiscences* (this term indicates the influence of Berlioz) were derived from the program. Mahler even attributes the return of a theme without change from the first movement in the finale of the Third to a modified semantic. How much more must such a semantic then be applicable if the theme recurs in metamorphosis.

"Flashbacks": Six examples from the symphonies of Beethoven, Berlioz, Bruckner and Mahler

When speaking of the innovations introduced in Beethoven's Ninth into the symphonic literature, one must not forget the citation of certain passages from the opening movements at the beginning of the finale. At the start of the initial *Schreckensfanfare* (terror fanfare)[135] the cellos and double basses respond twice with an instrumental recitative. Next there are the three quotations from the first movement, the Scherzo and Adagio. Here each quotation is 'annotated' with a recitative-like phrase in the lower strings. Also on the subsequent anticipation of the theme of the finale, of the "theme of joy", the basses answer with a recitative. Only then does the *hymn* make its appearance.[136]

The question of the meaning of this original design has thus given rise to many speculations. In the 1930's Arnold Schering[137] added a new explanation to the older interpretations. Despite all the challenging attempts to explain all problems, at least there can be no doubt that the "ostensible" reason is Beethoven's search for the appropriate theme. The words (composed by Beethoven) of the later baritone solo reveal what the instrumental recitative

intended to convey, namely that both the *Schreckensfanfare* and the cited themes of the three preceding movements are rejected.[138]

Beethoven's idea inspired many composers. Berlioz was the first to be influenced by it in the Harold symphony. At the beginning of the finale (*Allegro frenetico*) the 'orgy music' is interrupted several times by reminiscences from earlier movements (Berlioz used the term *souvenirs*). Berlioz recalls the fugue introduction, the pilgrimage, the romance of shepherds of the Abruzzi, the theme of the opening Allegro and the Harold theme. These *souvenirs* in the middle of the bacchanal experiences are meant to recall the past. Liszt spoke of them in accordance with the program as "signs of remorse, memories, incantations and exhortations" (GS IV, 91). As a result "the better instincts were driven away and died". It is evident that Berlioz wished to psychologize Beethoven's technique. Beethoven's procedure was then imitated by Bruckner, first in the Third Symphony, or more precisely, in the first version of the work of 1873. In the recapitulation before the epilogue in this version – separated from one another by general pauses – there are three quotations from the melodic section (*Gesangsperiode*)[139] of the opening movement, from the Adagio and from the Scherzo. In his revision of the symphony in 1878 Bruckner eliminated all the quotations except the first. Whether they are meant to indicate programmatic semantics remains to be clarified.

The passage discussed above from the first version of Bruckner's Third was published by Robert Haas[140] in a piano version. A summary of the different versions of the Third is provided by Fritz Oeser in the introduction to his edition of the second edition (Bruckner Verlag Wiesbaden, 1950). In this version of the score only the one quotation (from the *Gesangsperiode* of the opening movement) at Cc bar 555 et seq. is retained. The first printing of the score as well as the piano version for four hands edited by Mahler and Rudolf Krzyzanowski (published in 1880 with Bußjäger Raettig in Vienna) follow the second version and therefore contain only the one quotation. It only remains to add that according to the information in the catalog *Gustav Mahler and his time* (Vienna, 1960, p. 76) the first three movements of the above-mentioned four-hand piano score were edited by Mahler. Krzyzanowski edited the finale.

Even more clearly than in the finale of the Third, Bruckner followed Beethoven's procedure in his Fifth Symphony. In this symphony the beginning of the slow introduction, the main theme of the first movement and the Adagio theme (this together with its accompanying vocal line) are cited tone for tone at the beginning of the finale. After each quotation the clarinets intone the opening motif of the first theme of the finale. Whether these quotations were introduced out of programmatic considerations is an open question.

In contrast, it can be precisely shown that Mahler applied Beethoven's "flashback Technique" in the service of a programmatic idea to the exceptional

design of a passage from the finale of the First Symphony. We refer to the section between the development and the transition to the recapitulation (lines 38-41). As if in a time line very concise reminiscences of the most clearly defined passages from the slow introduction and from the first movement are introduced: one hears the theme of fourths of the beginning, the fanfare, the beating of the quail, the cuckoo call, the Tyrol motif (see chapter XVII) and the main motif of the journeyman theme (bars 553-554 in bassoon). In between we have reminiscences of two motifs of the finale: the motif of the inferno[141] (bars 433-434 in the muted trumpets) and the secondary theme (bars 443-446). The complete passage, marked as piano and pianissimo, is intended to reflect the character of the distant and supernatural as a reminiscence of the past. Mahler himself declared that the reminiscence of the journeyman theme was a reminder to the hero "of his youth".[142]

Our last example, taken from the rondo-finale of Mahler's Fifth, differs considerably from all the others. In this instance it is really not a question of a quotation or of a flashback technique. Horn, bassoon and oboe intone at the beginning the motifs from which the movement is developed. It is true that two diastematic motifs are recognizable as outlining the chorale theme in the second movement. The rhythmic transformation is however so profound that the chorale theme at its first hearing would not be recognized as a quotation or a reminiscence. Nevertheless, it seems appropriate to cite this example in this context. The analogy with Beethoven's model can be seen in the way Mahler searches for and finds the correct setting for the following *Allegro giocoso*.

IX. Musical themes and the "poetical conception"

1. The alteration and ornamentation of thematic characteristics as a means of expression in Berlioz, Liszt and Mahler

The above discussed transformation of the chorale theme into a cheerful and upbeat melody in the rondo finale of Mahler's Fifth Symphony opens up another aspect under which the fundamentals of symphonic program music can be considered. Berlioz and Liszt, the founders of the genre, opened up a new development as a result of their programmatic characterization of the traditional variation technique. They sometimes changed themes and motifs to such a degree that the original character was almost lost.

The initiator of this technique is Berlioz. With the *Symphonie fanstastique* he created a model of the process: the *idée fixe*, the theme of the beloved, appears in the finale (*Songe d'une nuit du Sabbat*) distorted beyond recognition, a feature which attracted the attention of Schumann.[143] From the originally distinguished nobly articulated melody, a dance-like, trivial, grotesque-sounding entity emerges.[144]

Berlioz achieved this with the iambic rhythm in six-eight time, by the instrumentation (the melody is presented first of the C- and then by the E-flat clarinet) and the ornamentation (adding short up-beats and trills). Berlioz did not leave the slightest doubt about his intentions in the program of the symphony. With the disfigurement of the Leitmotif the lover now appears in the ugliest colors "as she joins in the satanic orgy".

"La mélodie aimée reparait encore, mais elle a perdu son caractère de noblesse et de
timidité, ce n'est plus qu'un air de dance ignoble, trivial et grotesque; c'est elle qui
vient au sabbat …: Rugissement de joie a son arrivée … Elle se mêle à l'orgie
diabolique."

The unprecedented distortion of the *mélodie aimée* in the finale of the *Symphonie fantastique* inspired Liszt to create a similar design. The subject of his *Faust Symphony* (1854) gave him the opportunity to experiment with the technique in the broadest possible context. The Mephisto movement is based for the most part on Faust themes. However, by all the means of a refined technique they are often totally transformed beyond recognition through harmonic distortions (see chapter X, 1). Hermann Kretzschmar[145] remarked correctly that Liszt in this work even surpassed the pattern established by Berlioz.

At this point it deserves to be emphasized that the distortion technique used by Berlioz and Liszt – and not only in these cases – was employed in the service of an aesthetic of the ugly. The historical significance of Berlioz is not least the fact that he with the *Symphonie fantastique* and the *Harold Symphony* was among the first composers to pay homage to this aesthetic. That was instinctively recognized in 1835 by Robert Schumann. His dislike of the program of the *Symphonie fantastique* only served as a pretense for his rejection of the "*bile of a Dies irae as a burlesque*" (GS I, 83-85). Even in 1855 the program of the final movement of Berlioz's *Harold Symphony* was criticized by contemporaries as it was perceived as being a monstrosity. This must have been the reason that Liszt diplomatically attempted to justify the concept of ugliness in art in his important treatise (GS IV, 88 f).

Next, it should be noted that even in Richard Wagner's music dramas the technique described above was frequently used for purposes of distorted characterization. The score of *Die Meistersinger* in particular offers some highly instructive examples. In the symphonies of Mendelssohn and Schumann, however one will search in vain for examples for this procedure. Bruckner also never changed his themes, if at all, to such a degree that the original character was lost. It was very different with Mahler. Anyone who studies his work intensively will soon realize that he has a special fondness for the technique developed by Berlioz and Liszt. From the wealth of his examples a few can be singled out.

The Song of the Earth (1908) – corresponding to the underlying ancient Chinese poetry texts – often makes use of pentatonic scales and exoticism. Such a pentatonic melody forms one of the most important elements of the fourth canto, *Von der Schönheit*. It is instructive to trace the metamorphosis of this melody. The form in which it first appears (2 bars after line 1) in the woodwinds serves as a counterpoint to the song of the old singer ("Young girls pick flowers, pick lotus flowers on the edge of the bank") is graceful. In the middle section of the piece however it first takes on a march-like character by means of a simple acceleration of the pace (3 bars after line 8: *Più mosso subito*). A few bars later (at line 12: *Allegro*) it returns to again in metamosphosis: now not only is the scale type changed (C minor instead of the original G major and C major), but its character is disfigured with harsh instrumentation. The originally graceful

woodwind melody is now given to the trombones and the tuba in accordance with Mahler's designation "raw". Thus the music of this orchestral interlude bears (lines 12 to 14) the features a caricature. The melody for the horns 2 bars after line 13 is indicative of this. It is surprising to discover that it is actually a distorted quotation of a phrase from *Von der Jugend* (no. 3). But while the phrase is there (bars 41-44) in G major and entrusted to the violins, it now appears *mit Empfindung* (with feeling), rhythmically diminished and blown fortissimo by the horns in a very clouded C minor.

Another example: the burlesque and the Adagio of the Ninth Symphony (1909-10) are linked thematically linked by a highlighted double stroke motif, which is particularly relevant as an expressive element in the Adagio. The motif appears for the first time in the third Fugato at bars 320/321 of the burlesque, as a 'robust' counterpoint to the "cantus firmus theme". From this motif Mahler developed wide-spanned melodic phrases of great expressivity in the ethereal D major episode of burlesque (bar 347 ff.). (cf. especially the passage at bar 394 ff: *Mit großer Empfindung*). One is then surprised when a little later one is presented with the previously expressively treated motif (bars 444/445 = 2 bars before line 39), while still amidst the ethereal episode, in a horrible distortion. With glaring instrumentation, the E flat and A flat clarinets suddenly intone the motif fortissimo.

Our investigations have shown that Mahler distorted the character of his themes – and in more than a few cases – as a result of extra-musical (programmatic) ideas and associations. The *ugly* is without question an aspect of Mahler's art.

2.   Simultaneous reduplication of contrasting themes as a means of expression in Berlioz, Liszt, Bruckner and Mahler

Hector Berlioz was often criticized for not having a command of the art of counterpoint. Luigi Cherubini[146] contributed the aperçu: "Berlioz does not like the fugue – it is no wonder! He made so few of them." The accusation is unfair, however. His works reveal that Berlioz was an original contrapuntal composer. In almost every one of his symphonic works there are examples of fugues or fugati. Consider for instance the fugati in the finale of *Symphonie fantastique*, the introduction to the *Harold Symphony*, the fugati in *Roméo et Juliette* (*Combats* and *Convoi funèbre de Juliette*), the fugues of the *Requiem* (*Offertory, Hossana in excelsis*) etc.

We wish to direct our attention, however, not to the "academic" side of Berlioz's art (if such a side of him even existed), but rather to "innovative" aspects of his art. Berlioz is the inventor of a contrapuntal technique, which came to have a very important influence on symphonic program music of the

19th century. We are referring to the technique of coupling themes for purposes of programmatic characterizations.

The earliest, prototypical example of the method is to be found in the finale of the *Symphonie fantastique*, the "Dream of a Sabbath Night". Let us recall that this is an enormously daring construction in the realm of the fantastic. In strict accordance with the program this section can be divided into four parts. The first introductory part (*Larghetto*, bars 1-20) describes the satanic milieu in which the dreaming artist imagines himself (The dominant interval is the tritone, the tonal symbol of Lucifer[147]). The dance-like second part (*Allegro*, bars 21-101) is dominated by the melody of the beloved, now distorted, as observed above, almost beyond recognition. The bizarre third part (*Lontano*, bars 102-240), designed as a grotesque funeral procession, is based on the melody of the *Dies irae*, which is achieved in a highly original manner (in diminutions). At the start one hears the ringing bells that accompany the burlesque-like funeral ceremony.[148] The fourth part (*Ronde du Sabbat*, bars 241-524) is based on an original theme, which Berlioz already hinted at in the third part, and which is now developed in several fugati. Towards the end of the movement (bars 414-421) both the *Dies irae* theme and the rondo theme appear in contrapuntal interweaving. Probably fearing that the reader or listener could miss the odd combination, Berlioz specifically stated in the score: *Dies irae et Ronde du Sabbat* (see Plate I).

At his point we should like to draw attention to the fact that among the many compositional innovations of the *Symphonie fantastique*, one particularly noteworthy feature has been ignored in the literature: the theme of the *Ronde du Sabbat* appears in two versions, first in a diatonic version (bars 241-248) and later in a chromatic version (bars 364-367). Each thematic version is developed in the manner of a fugue. This idea of transforming the diatonic original version of the theme into a chromatic variant became a favorite technique of Béla Bartók. Berlioz however was about a hundred years in advance. Peter Petersen[149] was pointed out that Bartók had a special affinity to diatonic-chromatic double versions. Whether Bartók knew about the use of the device in the *Symphonie fantastique* remains to be clarified.

Critics who dislike program music and skeptics might argue that the combination of the themes discussed in the "Dream of a Sabbath Night" can and should be understood primarily as the result of musical considerations, namely as features of a climactic finale. But people of this mind will have to concede that this is not the case in the *Harold Symphony*. The combinations of themes in this work can under no circumstances be justified on exclusively musical criteria. In this work Berlioz interweaves the Harold theme in counterpoint with the pilgrimage march (see Plate II) and later it appears in the serenade of the Montagnards. Berlioz primarily wants to awaken associations in the listener, that is, he wants to recall the presence the Byronic hero in two "scenes". What is

important to him was the simultanity of expressing two contrasting moods: the world of sensation of Harold is contrasted with the emotions of the pilgrims and the shepherds.

Franz Liszt referred to this aspect of the process when he briefly discussed the main innovation of this work on April 11, 1851 – i.e. four years before the publication of his famous paper on the Harold symphony – in a hitherto unnoticed letter to princess Wittgenstein (FLB IV, 87). He wrote that in this symphony, as in *Lohengrin*, Berlioz uses a song to characterize Harold (*un chant charactéristique pour Harold*). This theme is admirably combined with the song of the pilgrims, with the serenade of the Montagnard and even with the "orgy of bandits". He uses this devise on the one hand as a means of control and on the other hand it serves as a crutch, as a relief or as a darkened moment (*toutôt pour les dominer, tantôt pour leur servir des support, de relief ou d'assombrissement*).

It should be added that Berlioz found an model for interweaving contrapuntally two melodies of extremely contrasting character in the Allegretto of the Seventh Symphony by Beethoven. Beethoven's Allegretto incidentally served as well as the archetype of the pilgrims march in the Harold Symphony. The two movements adhere to a basic rhythmic pattern (in Beethoven: dactylus + spondeus; in Berlioz: spondeus + dactylus) and both have the pizzicato effect in common.[150] One can see that historical models and archetypes can be detected even with an artist of the stature of Berlioz. Such parallels do no harm to Berlioz's originality but rather help to clarify what is new in Berlioz's art. In the case of the march of the pilgrims, it is the amazing disposition of harmony, the coloring and the psychologizing of the method of contrapuntally interweaving melodies of contrasting character.

Berlioz's skill in expressing contrasting moods simultaneously through the contrapuntal doubling of themes can be seen in a movement of *Roméo et Juliette* (1839). Berlioz created the *deuxième partie* of this *symphonie dramatique* in accordance with the following short program:

> Roméo seul. -
> Tristesse. -
> Bruits lointains de concert et de bal. -
> Grande fête chez Capulet

The movement is divided into four sections: Andante malinconico e sostenuto, Allegro, Larghetto espressivo and Allegro. Three of these sections can be easily assigned to the programmatic rubrics: The *Andante malinconico e sostenuto* portrays the *tristesse* of the lonely Romeo, in the first short *Allegro* one can hear the sounds of distant dance music, the second *Allegro* depicts the ball scene itself. For the *Larghetto* there is no reference to a particular scene of the drama. Richard Pohl[151] interpreted it in 1857 as a "passionate love song" of Romeo,

who revels in the thought of Julia. It is more likely that the Larghetto refers to that moment in the ball scene (Shakespeare, Act 1, Scene 5) when Romeo sees Juliet for the first time and immediately falls in love with her.

Another very remarkable passage appears in the final *Allegro* at the point where the Allegro theme (i.e. the actual ball scene theme) and the Larghetto theme are contrapuntally interwoven. Berlioz noted this in the score (GA 3, p. 67) *Réunion des deux Thèmes, du Larghetto et de l'Allegro* (see Table III). This section probably applies to the music from that place in the ball scene where Romeo and Juliet kiss. (Pohl's interpretation of the music as the "*love joy*" of Romeo and Juliet would appear to be freely invented.)

"When Berlioz combines different motifs it arises as a consequence of more poetic than of musical intentions. His musical genius only helped him to express his poetic inspirations." This statement in Liszt's essay on the "Sleeping Beauty" [152] of Genast and Raff characterizes better than all the various explanations the specific function of Berlioz's counterpoint.

Berlioz's approach in the Harold Symphony and in the Romeo Symphony inspired Liszt to create a similar design in the symphonic poem *Tasso* (1849). At one point in the minuet movement he combines simultaneously the minuet theme which symbolizes the music at the court of Ferrara with the Tasso theme. The composition takes its cue from the program, "then his countenance [Tasso's] appears, proud and melancholy, as he watches the festivals in Ferrara..." Probably in order to also leave no doubt about his intentions, Liszt noted at this point in the score (GA I, 1, p. 189): *"here the presentation of the orchestra takes on a dual character: the winds [presenting the theme of the minuet] light and flighty, the singing strings [presenting the Tasso theme] sentimental and graceful".* See Plate VI.

The symphonies of Anton Bruckner and program music of Berlioz are still regarded as two such different, incommensurable things that one has never looked at the question of possible relationships. It was therefore all the more surprising that a comparative study revealed that there are actually direct relationships. Bruckner attentively studied the Berlioz technique of contrapuntally interweaving contrasting themes for programmatic characterization purposes and applied the technique several times in his works.

In at least two cases, the programmatic intent is unquestionable: the coupling of a polka-like passage for strings with a chorale-like horn passage in the finale of the Third Symphony (second thematic complex at B, see Table V) shows not merely a striking resemblance to the Berlioz process but it was also interpreted programmatically in this manner by Bruckner himself in a conversation with August Göllerich, that is, as a contrast between the *joy and the sorrows* of the world. [153] According to a statement of Theodor Helms, Bruckner also offered a programmatic interpretation of the double theme of the first movement of the *Romantic* as an image of a contemplation of nature

(second thematic complex at B, see Plate VI): the motifs of the first violin imitate in the manner of tone painting the chirping (*Zizibee*) of a bird, the great tit: the lyrical viola theme, however, expresses the idea of "ones own happiness at being able to listen to the voices of nature in the woods".[154] (The analogy to Beethoven's *Scene by the Brook* is quite obvious.) Whether programmatic ideas also played a role in the conception of the last movement of the Fifth, on the other hand, cannot be answered at the present time. In this composition Bruckner couples (at L) the main theme of the finale with the chorale theme in a magnificent double fugue.

With respect to Richard Strauss, he believed that he had mastered the technology developed by Berlioz and Liszt but he also considered it to be the only legitimate way of using counterpoint. In an essay first published in 1919, he confessed:[155]

> "That's when I realized that counterpoint is only justified if it is deemed *necessary on the basis of a poem* to combined momentarily two or more not only rhythmic but also harmoniously contrasting themes. The most enlightening example of such *poetic counterpoint* is found in the third act of Tristan."

In conclusion we must emphasize that the contrapuntal interweaving of themes and motifs of opposing character in Mahler's symphonies is a very common occurrence. It can be shown that Mahler with this method had in many cases programmatic intentions in mind. These cases will be highlighted in the discussion of individual symphonies. This should not give the impression that every contrapuntal interweaving in Mahler should be interpreted in a programmatic sense. Such a conclusion would be absurd. In many cases, contrapuntal passages can only be understood musically. This is the case for the 'double themes' that Mahler – following Bruckner – liked to construct in his Scherzi. It was a preferred method of his to combine heterogeneous motives in counterpoint at the end of a scherzo in the manner of a synthesis or in order to increase the tension.[156]

X. The Mephisto movement of Liszt's Faust Symphony
A semantic analysis

> "The masterpieces of music are assimilating more and more masterpieces of literature."
>
> FRANZ LISZT (1855)[157]

> "The unfortunate thing is that most of our younger composers think in a foreign language (philosophy, poetry, painting) and then translate what is thought into their native language (music)."
>
> HANSLICK (1892)[158]

> "It is obvious that Liszt's thematic invention here was really not accidental nor was it the result of mere contrapuntal conditions. His motifs are carriers of certain thoughts. In part they highlight the general but yet the most striking characteristics of a chosen subject (the first theme of the first movement is one of the most brilliant examples), and in part they are like the echo of a special poetic moment, often expressed with such a clarity of expression that one could almost say that his motifs spoke (for which we can find a striking example in the second movement)."
>
> RICHARD POHL (1862)[159]

Liszt's Faust Symphony created in 1854 has been repeatedly commented on and analyzed. In 1962 László Somfai[160] was able in a solidly documented study to shed light on the genesis of the work for the first time. Yet it would be audacious to say that this famous symphony, one of Liszt's major works, does not offer any more problems. The central questions posed by this work, namely the questions of semantics and also Liszt's conception of the Faust material remain unclear. The hermeneutic views of the older commentators are often so general that one can confidently leave them out of consideration.

A misunderstood Faust Symphony? Paradoxical as this question may seem initially, its justification is obvious when one considers that Liszt, who usually was not sparing with explanations, did not accompany this work with a program, and it seems that he did not make any statements about his intentions. He let the matter rest with the title *A Faust Symphony in three character pictures* (*after Goethe*). It may be that in view of the fact that Goethe's poem was known in the 19th century to every educated German as hardly any other tragedy, he considered explanations to be unnecessary. He may have overestimated the ability of the listener to associate musical knowledge with the literary subject. The fact remains that the only method available of us for an interpretation of the symphony is a semantic analysis of the music itself.

1.   The themes and Liszt's method of ornamentation

"Doesn't Mephistopheles" I said [Eckermann] "have demonic traits?"
"No," Goethe said, "Mephistopheles is a much too negative
being, the demonic is expressed with a quite positive energy."
GOETHE to ECKERMANN on March 6, 1831

If you want to undertake a semantic analysis of the Mephisto movement (or even the Faust Symphony), it would seem appropriate that one would begin with Liszt's use of the technique of distortion, since - as has already been mentioned - the character of the Faust themes have been fundamentally changed in this work. What was the procedure; which programmatic ideas were served; how do these factors allow conclusions to be made about Liszt's conception of Mephistepheles? These are the questions that arise upon a closer examination of the movement. Let us begin with a review of the thematic inventory. The fact that the Liszt mostly used Faust themes in the Mephisto movement has been interpreted as an indication of Liszt's intention to draw Mephistopheles as a "faceless" figure. The author of this view is apparently Richard Pohl.[161] In 1862, he stated:

> "You cannot call Mephistopheles a *character* - he's just a *principle*, but for that very reason so consistent and logical that he can never be a character. He does not know the tempestuous tossing between conflicting emotions and passions, the oscillation between good and evil, nor does he know self-absorption and absorption in a second self. He has no self-deception and no self-forgetfulness, no love and no desire – so he also always knows exactly what he wants and does not want, and – he knows what he can risk! He dares to be monstrous, - although he loses in the end - but he dares with a boldness that is a really demonic trait, his whole being is precisely characterized.
>
> Thus Mephistopheles is not a real character, he does not have a theme that characterizes him – not even motifs for his moods. His character is based on the absolute *negation*."

This idea was formulated in 1894 by Lina Ramann[162] as follows:

> "While Liszt designed characteristic fixed themes for the image of Faust's soul image and for Gretchen, he did not accord Mephisto a characteristic theme. Evil is indeed the proteus who can take any form, and consequently does not have its own. His character is to be without character. As a consequence Liszt allows him to assume and ridicule the various Faust themes. He takes them one after another, tearing them into pieces, playing with them as captives and distorting them and dissecting them. He does not touch however the two Gretchen themes - he has no power over them."

In 1924, i.e. exactly thirty years later, Max Chop[163] expressed the same view:

> "Mephisto has nothing that he could call his own other than the devil's grimace. He is forever tied to what has been created in order to destroy it. He is the protean nature, which can achieve its purpose by adapting to any shape and capacity in order to deceive, so therefore he has no real individuality. A *character* without character. Therefore, he lacks here in this musical setting his own motif or crystallizing theme."

In 1931 Peter Raabe[164] noticed that Liszt also borrowed for his Mephisto movement a theme from an older composition, which was the posthumously published under the title *Concerto Movement Malédiction for Piano and Strings* (Raabe - Liszt – list no. 452). In 1954 Humphrey Searle[165] clarified Raabe's observation by stating that this was the only new theme of the movement.

However: the full extent of Liszt's borrowings did not end with the Faust themes and with the *Malédiction* theme. Up to now it has not been recognized, first, that Liszt did indeed give Mephisto a personal theme and second, that he also borrowed quite apart from the well-known *Malédiction* theme some other elements from this work.

The Mephisto movement in reality is based on (1) the tonal symbol Lucifer as the Leitmotif of Mephisto, (2) four themes from the Faust movement, (3) the Malédiction theme and (4) a curse rhythm as a rhythmic Leitmotif. We will now discuss these themes in this order. First, however, in interests of the better intelligibility it should be stated that the Mephisto movement is constructed on the basis of the sonata form into introduction (bars 1-53), exposition (bars 54-329), development (bars 330-431), reprise (bars 432-616) and coda (bars 617-674). The conclusion is marked by the *chorus mysticus*, which was later added in 1857. Liszt opened and closed the introduction of the movement with the Lucifer symbol. The tritonus motif (*diabolus in musica*) is sounded three times. The motif that occurs later with significant augmentation in the coda serves as a kind of mark of identity for Mephistopheles, who is "part of Lucifer's race" (verse 11770). The diminished seventh is his harmonic emblem. Liszt took both the motif and its emblem from the finale of the *Symphonie fantastique* by his friend Berlioz.[166] It is worthy of note that several elements of the Mephisto introduction (in addition to the Lucifer motif and the diminished seventh chord symbol and the figures marked veloce in bars 35-46) are already anticipated in the first movement. The Allegro impetuoso (bars 23-44) of the Faust movement corresponds to the passages in bars 1-10 and bars 36-47 of the Mephisto introduction. From this it is evident that Mephistophelean "elements" already played an important role in the Faust movement. Liszt did not simply envision the three movements of the Faust Symphony as *characteristic images*, as has been assumed since Hermann Kretzschmar[167], but he referred specifically to different scenes in Goethe's tragedy. Of the five main themes of the Faust

movement – notably always in a different form – four return again in the Mephisto movement. These are namely the famous twelve-tone theme, the *appassionato* theme, the *affettuoso* theme and the *grandioso* theme. The Mephisto movement only does not make use of Faust's *espressivo* theme. As for the semantics of the four Faust themes we have already remarked that they - as Liszt's expression markings insinuate - characterize four different sides of the Faustian nature: the "twelve-tone" theme expresses Faust's craving" for knowledge, the *appassionato* theme his impulsiveness and self-indulgence, the *affettuoso* theme love and finally the grandioso theme, which Liszt designated with the terms *maestoso* and *nobile*, expresses his "nobility", or more precisely the nobility of his soul.[168]

In his explanation of the Faust Symphony (which has become the measure for all subsequent interpretations) Richard Pohl was of the opinion that the 'twelve-tone' theme denoted the "basic features of the Faust character, his whole essence in its most striking features": "doubt, grief, discontent and dissatisfaction, contempt of the world, of science as well as his own aspirations, the hopeless dreariness of the inner life". There are several indications, however, that the famous theme (it is supplemented by a sighing dolente phrase for oboes, clarinets and bassoons) relates to the beginning of Faust's great monologue (Faust I, verses 354-364) and his thirst for knowledge, or more precisely it symbolizes the futile efforts of the learned Dr. Faust to gain knowledge: "and see that we can know nothing!" Symptomatic of this is the quasi mathematical structure of the themes – a series of four unresolved whole-step triads in symmetrical rhythms. As support for this point of view as a parallel but not in the sense of a further argument it might be mentioned in this context that forty-two years after Liszt Richard Strauss surely signified science with a twelve tone theme under the influence of the Faust Symphony in *Thus Spoke Zarathustra* (1896)!

Moreover it deserves to be highlighted, that Liszt profiled the Faust themes with admirable artistry. The 'twelve-tone theme', although tonally anchored and mediant, defies classification within the traditional tonal 'genders', i.e. it is without gender. The *appassionato* theme, augmented with lush chromaticism, is in a minor key. Then the *affettuoso* theme is principally in the major, but often diverges from the minor key and is also often harmonized with minor tonalities, so that one would not be wrong to state, it would seem to belong more to a major/minor tonality. The diatonic grandioso theme finally is in major. The especially 'pure' pentatonic structure of this opening motif is striking.

When we now look at the Liszt technology of distortion, it is striking, first of all, that Liszt did not basically distort the diastematic nature of the Faust themes. Transformation were achieved with new presentations of the tempi, with new

rhythms, through the articulation and with the ornamentation. (In this regard Liszt followed the procedure established by Berlioz in the finale of the *Symphonie fantastique*). The heavy tempos are converted without exception into lively tempos, the longer note values are consistently reduced, legato is usually modified into staccato, some tones of the theme obtain short up-beats or are decorated with grace notes. Almost all themes are characteristically "dissected" or "decomposed" with pauses or sharp breaks into their component parts. Liszt sometimes extracts one motif from a theme, varies it rhythmically with articulation and then develops it. A very instructive example of this is the treatment of the chromatic motif from the appassionato theme in the Mephisto introduction, bars 11-20.

In this way, the characteristics of the Faust themes were completely transformed (Liszt almost exhausted all possibilities of metamorphosis). Accordingly the themes are often found with new marks of expression. Particularly common in the Mephisto movement are the terms *marcato* and *scherzando*. The expressive themes and motifs of Faust acquire several grotesque or "joking" characteristics. The *dolente* Faust motif (bar 4-5) appears in the Mephisto introduction at bar 22 ff. in a form changed beyond recognition with the rubric *marcato e scherzando*. The *grandioso* theme is now to be presented *giocoso*!

Liszt prefaced the movement with the rubric *Allegro vivace, ironico* - a characterization that can be regarded as an expression of Faust apostrophizing Mephistopheles as a "monstrosity of filth and fire" (verse 3536). The word *ironico* indicates from the outset the tendency of the movement, i.e. satire.

2. The Malédiction for piano and string orchestra as a source for the Mephisto movement

Our discussions should have shown that a closer study of the thematic complexities of the Mephisto movement and Liszt's distortion technique led to interesting insights into the semantic analysis of the composition. Even more significant inferences were revealed, however, first by a detailed study of the Malédiction theme and, secondly, of the concerto movement *Malédiction* from which Liszt borrowed the theme. (cf. the tables VII-X.)

Our analysis is based on the observation that the Malédiction theme in the Mephisto movement is encountered in several forms. In its 'most complete' form – i.e. as a well-rounded phrase – it occurs in bars 188-195 and bars 204-211, where it frames the theme of the famous fugue in three-quarter time. In this form the Malédiction theme comprises eight bars, and it is composed of two (mutually similar) diatonic, but rhythmically precise motifs, together with a chromatic 'spinning-forth'. A comparison of all of the various forms assumed by

the theme makes it obvious, however, that the chromatic 'spinning-forth' does not ever recur, and also that the characteristic feature of the passage is the incisive rhythm of the main motif in this theme. It consists of a half or whole note as a "up-beat", two short accented eighth notes and a quarter note rest, whereby eighth notes are repeated as echoes. (The pause is a constitutive part of the rhythm.) In this form, and in some variations (often reduced to two eighth notes and the pause) this rhythm – frequently even without the motifs of Malédiction theme – appears in such a penetrating manner and so often throughout the movement, that one must assume that it has a tonally symbolic meaning and functions as a rhythmic Leitmotif.[169] In view of the fact that this characteristically structured rhythm is first voiced at the end of the introduction, bars 47-52, in the winds as a complementary element to the Mephisto motif suggests that the rhythm must be semantically related to the motif. It is worthy of note that the diminished seventh chord, the harmonic emblem Mephisto, is now 'dissolved' into a dissonance, i.e. an altered chord consisting of four tones that are separated by thirds.

Liszt borrowed the Malédiction theme, as already indicated, from a piece which was published in the complete edition (I, 13) with the title *Malédiction for solo piano and string instruments* which was based an unpublished concerto in E minor/E Major. Bernhard Stavenhagen, the editor of the work, stated in a revision report of 1915 that the word *Malédiction* was not necessarily the authentic name of the piece. It is found in a copy of the piece by Liszt, which served as a template for the edition, together with the first tempo marking (*quasi moderato*) written by Liszt in pencil - a remarkable marginalia that Stavenhagen considered so important that he did not hesitate to confer the title of *Malédiction* on the concert movement. Stavenhagen's conclusion was sharply criticized by Peter Raabe.[170] He was of the opinion that the word Malédiction was not the title of the work, "but rather an indication that Liszt only wanted to draw attention to the first theme" and he pointed out that Liszt characterized in the aforementioned copy other themes and motifs of the concerto movement with "keywords" such as *orgueil*, *pleurs/angoisses, songes*? (or *vagues*?) and *raillierie*. Keywords such as "*curse, pride, tears, fears, dreams, mocking*" are according to Raabe "instructions for the players"(!) and thus proved that Liszt "early in his carrier created a type of music that would reflect certain feelings, but without any "course of action".

One must however consider, first, that Liszt's '*tags*' in the transcript cannot be meant as "*instructions*" for the players (unfortunately Raabe tended to reduce the importance of programmatic factors in Liszt's works!) but they constitute a kind of program. The situations that they imply blend together into a very 'logical' sequence. Incidentally, it should also be noted that the printed score abounds in rubrics with programmatic significance.[171]

Even more significant is the fact that the motivic and rhythmic elements that constituted the first thematic complex, labeled *Malédiction*, takes on an almost dominant role throughout the movement. Thus a succinct two eighth note rhythm labeled *con furore* reappears again and again and it also forms the characteristic components of the main motif of the second theme (*orgueil*). From another short motif of Malédiction complex at bar 7-8 Liszt then created the "final movement" entitled *rallierie* (sarcasm) in bars 118 ff. (The concerto is constructed according to the sonata form: exposition bars 1-162, development bars 163-228; reprise bars 229-342.)

There can be no doubt that this concert is based on a secretive program around the idea of the curse and there is also no doubt that we have in the *Malédiction* the counterpart to *Bénédiction de Dieu dans la solitude*, a piano piece of 1847 in the *Harmonies poétiques et religieuses* (GA II, 7). *Malédiction* and *Bénédiction*, curse and blessing, evil and salvation: we see that the contrast between good and evil must have fascinated Liszt long before the completion of the Faust Symphony in 1854.[172]

The most surprising result of the study, however, is this: Liszt borrowed from the concerto movement *Malédiction* not only the "theme" of Mephisto movement but also a number of other elements. First of importance is the rhythmic Leitmotif (reduced to a two eighth notes form it is identical to the *con furore* rhythm of the *Malédiction*). Then a short motif from the Malédiction complex (bars 7-10), which is treated by sequencing on ever higher steps in the manner of an intensification (bars 37-45 of Malédiction resembles bars 355-360 of the Mephisto movement).

Finally, there is the three note opening motif of the *Malédiction* complex (this appears in the *allegro impetuoso* of the Faust movement with symbolic meaning[173].) It has been thus proved that Liszt used the concert movement *Malédiction* as an important "source" when composing the Faust Symphony and the Mephisto movement.

3.   The curse as a central idea of the Mephisto movement

In light of the above discussion it is certainly not necessary to go into detail in explaining that Liszt introduced the elements mentioned in this discussion from the concert movement *Malédiction* into the Faust Symphony because of their semantics. There is no question that all the different symbols in the symphony represented the same idea, namely the curse idea. Both the "Malédiction theme" (in all its forms) and the rhythmic Leitmotif of the Mephisto movement furnished Liszt with the semantics of the curse.

Once one has been made aware of these relationships, one can then (not without astonishment) recognize that three of the Faust themes in the Mephito

movement have been set to rhythms in accordance with the rhythm of the Mephisto curse. The model on which this rhythm is constituted (i.e. "upbeat" - two or three notes on the accented time interval - then a pause) shimmers through the Faust themes and gives the movement a high degree of uniformity. The Mephisto curse rhythm is stamped upon all the three Faust themes in an equal manner. (Only the 'twelve- tone' theme is not touched by it.)

The curse is thus in Liszt's conception the characteristic of Mephisto and also the idiom in which he "speaks". Mephisto, the "spirit of opposition" cannot create anything on his own, but can only "negate" and "destroy" (Goethe's Faust I, verse 1338-1344). He destroys the Faust themes and ridicules by cursing everything that their "content" constitutes -- the thirst for knowledge, the passion and extravagance of Faust's love and his nobility, the nobilità.

In Goethe's tragedy the curse idea is blatantly expressed at two points: the first time in the scene in the study (v. 1583-1606), as Faust in despair at his former weakness contemplates suicide, cursing all things earthly and Christian and thus finally comes into the power of Mephistopheles (shortly after he has concluded a pact with him), for the second time in the entombment scene (verse 11735 and verse 11815) as Mephistopheles realizes that he is going to be defeated in the battle with the angels over Faust's soul: "*And, as is right, I curse you all together*!" It cannot be denied that Liszt at least had Faust's curse in mind in the conception of the Mephisto movement. In any case it can surely be concluded that the Mephisto movement also refers to the verses cited above from the entombment scene. In the coda of the movement Liszt describes the "downfall" of Mephistopheles and his *devils* almost pictorially. At bars 645-654 the coda reaches a fortissimo climax with the triple repetition of the Lucifer motif. The Lucifer motif appears here simultaneously in ascending and descending directions and it is coupled with the rhythm of the curse, which is echoed in bars 651-654 in the horns and timpani (see table X). This is followed in bars 655-670 by the downfall of Mephisto (Lucifer): the music "glides" in counter movements from above and from below - initially in the rhythm of the curse motif! - towards the middle. (The passage is built harmonically on the chord progression E flat - G flat - A - C, the steps of the diminished seventh chord, that appears five times in all.[174]) Harp arpeggios mark the change. The horns and cellos anticipate the (Gretchen) theme of the tenor solo,"The eternal feminine draws us upward" from the *chorus mysticus*.

4.   Liszt's setting of the *Chorus mysticus*

Our examination of the Mephisto movement revealed - contrary to common belief - that Liszt did not limit his *characterizations* in his Faust symphony to the three images of Faust, Gretchen and Mephistopheles. It could be shown that

he drew associations with his music of other scenes of Goethe's tragedy. This finding could be confirmed when the other parts of the symphony were subjected to a semantic analysis.

Let us first take a closer look at the final chorus which Liszt added in 1857, that is based on verses of Goethe's *Chorus mysticus* (Faust II, verses 12104-12111). Liszt entitled this part *Andante mistico*.

Two new observations regarding the score help us now realize that the music of the orchestra, which constitutes the "framework" for the tenor solo and male chorus, is not only designed as a "soundtrack" of the *Chorus mysticus* - as one would be inclined to assume - but rather that it refers at certain other points to the famous ravine scene.

Indicative of this is first Liszt's original rubric *schwebend* (floating, soaring) 4 bars after H. Anyone who thinks that this is nothing more than a direction for the execution is wrong. It should be remembered that according to Goethe's "stage directions" the Pater Ecstaticus, the angels "of the higher atmosphere" and the Mater Gloriosa *float* in the Christian landscape of the mountain gorge. Let us recall that in Goethe's verses mention is made at several points of the *floating* of the Mater Gloriosa. Thus it reads right at the beginning of the hymn of the Doctor Marianus (v. 11989-11996):

> Here is the clearest view,
> Of spirit skywards borne.
> There women passing by
> Floating on upwards.
> The splendor I see within
> Garlands of stars,
> There, the Queen of Heaven
> Shines from afar.

And the choir of Female Penitents sings (verse 12032-12036):

> You soar, on high,
> Towards the eternal realm,
> Hear our pleading,
> You, the peerless one,
> You, the merciful one!

It is then very remarkable when at K (a few bars before the end of the work) there is a "flashback" to the theme of Faust *grandioso* theme. Liszt cites at this point – highlighting thereby only this figure from the rich variety of Faust themes – the pentatonic opening motif of the *grandioso* theme three times in the low instruments, which he had once earlier referred to in the first movement with the term *nobile*. This important "memory motif" at this point of the

symphony can only relate to the chorus of angels "soaring in the higher atmosphere" carrying "the immortal part of Faust" while singing (verse 11934 f):

> He's escaped, this noble member
> Of the spirit world, from evil

On the basis of these observations we can conclude by stating that Liszt wanted to characterize the nobility of Faust with the nobile theme, that is the nobility of his "immortal soul". Curiously, this semantic interpretation of the theme was not uncovered by any of the commentators. They all considered the grandioso / nobile theme to be the "theme of the hero".

Richard Pohl[175] interpreted the theme as a motif "of pride, of the powerful consciousness of highest knowledge." Following Pohl Curt Mey[176] interpreted the theme as "the defiance and knowledge motif" of Faust ("Faust wants to bring about thanks to his enormous willpower the revealing of the secrets of the world on the basis of his knowledge"). According to Lina Ramann[177] Faust wanted to "strengthened himself for greatness," rising thereby up to "the superhuman" as expressed in the three themes. Hermann Kretzschar[178] believed the theme expressed the "pride in heroic deeds" ("energy and pride") as part of the Faustian nature. George Goehler[179] calls it explicitly the theme of the hero by relating it to Faust's "in the beginning was the deed". Arthur Hahn[180] talks about the "Faustian pride and defiance" and of the "powerful will of a superman", "who takes on everything" and summons the "Earth Spirit" with his "you must! you must! and it costs my life!" Max Chop[181] finally summarizes the interpretations of Ramann and Hahn.

Part Two

The Universality of the Symphony

XI. Characteristics in general

1.   Fundamentals

Every unbiased listener of Mahler's music will note as a particular trait of his
music that the themes frequently change their *character*. Especially in longer
movements the succession of themes of differing *characteristics* is unmistakable.
This quite curious phenomenon already attracted the attention of Guido Adler[5],
who spoke of the "changing images" and "the most diverse moods of the soul,
each one loosening itself from the preceding mood" in Mahler's symphonies:

"an almost bewildering changing array of visions pushing against each other."
The same was also noticed by Theodor W. Adorno[6] when he spoke about the
world of Mahler's imagery: "Colorfully different, while the protean images play
against each other."

Despite what such aperçus express intuitively, artistic impressions can
only be of scientific value if they are analyzed and precisely documented. In this
specific case, this means that you can only learn to assess characteristics in
Mahler after first studying and describing exactly their properties and
phenomenological properties. The conditions for this are readily at hand.
Frequently the same or similar characteristics recur in movements of various
symphonies, thereby offering good possibilities for comparisons. In addition,
Mahler's characteristics are not adverse to scientific analysis. The more
intensively one deals with this matter, the clearer it becomes, that every passage
in Mahler's music which can be said to represent a character can be broken down
into specific types of movements and into genres with prominent stylistic
features and expressive values.

That means: Mahler's symphonies are quite often linked to vocal genres,
i.e. the recitative, the arioso, the chorale, the hymn or song. Not less frequently
they are based on genres of instrumental music, such as the march (including
military and funeral marches), the pastorale, the serenade and the particular type
of *music from a great distance away*. They also often exhibit many scherzo and
dance characteristics, such as the minuet, Ländler, waltz and valse.

The above applies *mutatis mutandis* for the entire symphonic repertoire of
the 19th century from Beethoven on. Most of these above named types and
genres can be identified in the works of many symphony composers. Mahler
continued therefore this tradition and developed it further.

The task of the following chapters will be to develop a typology of
symphonic characteristics. With respect to the concept of "character" we must
note that we always refer to it from the perspective of movement types and
genres, but not as categories of aesthetics and expression (as *heroic, frightening,
grandioso, cantabile, dolce* or *pathetique*, etc.).[7] We must first collect and
investigate characteristics from the complete works of Mahler. Their properties
both in general and in particular will need to be classified. We place great value
in this investigation on historical conditions.

As for the question of what would be the benefit from this investigation: it
is no more and no less than to reveal the detailed specifications of numerous
sections in Mahler's music and in the symphonic music of his predecessors,
regardless of whether they belonged to the composers of symphonic program
music or to the composers of "absolute music". Our examination of the
characteristics opens up many prospects for a completely new interpretation of
the entire symphonic music of the 19th century.

2. Regarding Adorno's conception of the "material theory of form in music"

In his stimulating book on Mahler, Adorno tried to deal with Mahler's symphonies from the viewpoint of the "materialen Formenlehre", which can be translated as "material morphology" or "material theory of form".[8] He explains that he developed this expression because he wanted to criticize the manner in which "theory of form" was being taught in the academic tradition. Adorno accuses this discipline of being content "with abstract classificatory divisions such as main movement, development, subordinate movement and the final movement" while failing to understand the relationship of these sections to their functions. For this reason he sets up the ideal of a new discipline called "material morphology" as a counterweight. With this method he hoped to realize a dream, namely, to allow "music to speak by way of a theory". The object of the substantive theory of form or material morphology would therefore make up for that which the academic tradition failed to achieve, i.e. the "deduction of categories of form based on the rationale [of the work]." A substantive theory of form would consequently deal with sections of the form, "so that rather than being viewed as being filled with characteristics, the definition of the form would be formulated according to the nature of the characteristics themselves." This meant that every material form category was immanently a characteristic. (Adorno's definition of the concept of character therefore differs substantially from ours.) Adorno divided Mahler's work into four main form categories (*characters*) on the basis of the terms "*breaking through*", *suspension, fulfillment* and *collapse*.

With respect to his theory it should be noted, first, that at least some of the alleged perpetrators of Adorno's "academic theory of form"" were already beginning to understand the function of musical form. In this context one could refer in particular to Ernst Kurth, who had developed in his voluminous book on Bruckner the concept of a dynamic theory of form, a work which Adorno did not take into consideration. Even Paul Bekker discussed material categories of form. He was the first to associate Mahler's music with terms such as" breaking through", fulfillment, "Abgesang" and episode.[9] Kurth was also the first to write about collapse and collapse sections in Bruckner.[10]

We do not wish to dispute that the terms such as breakthrough, fulfillment and collapse (i.e. Adorno's material categories of form) admirably characterize certain phenomena in Mahler's music. Mahler himself used the term "*breakthrough*" to identify decisive disruptive passages in the first movement of the Third Symphony (see BL 40 f.). It is doubtful, however, if these phenomena should be understood literally as categories of form. Mahler's "*breakthrough*" and "*collapse*" passages could just as well be attributed to programmatic considerations. It seems however that Adorno wanted to exclude programmatic

intentions in his new approach. In the final analysis, he said, the nature of Mahler's music lay in the unexpected musical events that occur in his symphonies, which were "beyond their own musical motion".[11]

XII. Characteristics derived from vocal music

> "[The symphony] must encompass the cosmic, it must be as inexhaustible as the world and life, if its name is not to be mocked."
>
> MAHLER 1901 to NATALIE
> BAUER-LECHNER (BL 171)

1. Speaking parts: Recitative and Arioso

> "When Spohr gave a violin concerto the form of a vocal scene – animated in feeling with the violin singing as if it were speaking – the concert piece essentially acquired a new and successfully applied form; but it was not the form as such that was new and praiseworthy but rather the novelty lay in the appropriateness with respect to the content."
>
> ADOLF BERNARD MARX (1855)[12]

If ever a comprehensive study of the stylistic elements of music were to be written, then a chapter on instrumental recitative would have to be included. In considering this genre one would not only have to study the fascinating phenomenon of the interaction of words and instruments but it could also highlight the evolution of the importance of vocal elements in instrumental music from the Baroque to the Late Romantic period. An idea of this is conveyed in a recently published meritorious work by Paul Mies, which gives a first survey of the form and the history of the genre.[13] Mies emphasized that he had not sought a complete representation. Such a survey was beyond the scope of his study. Every expert on the subject can understand that to investigate recitative-like elements in symphonic program music from that perspective would require the study of almost every other work of Liszt, Berlioz and R. Strauss. Thus it is not surprising that Mies did not mention the name of Mahler in his study. However, a historian familiar with instrumental recitative could not exclude Mahler, because it can be demonstrated that his symphonies offer superb examples of this genre. The finale of the Second, the opening movement of the Third, the second movement of the Fifth, the opening movement of the Seventh, the second part of the Eighth, and the drinking song about the *Jammer der Erde* contains extremely impressive passages in the style of the recitative and arioso.

If one were to abstract from the wealth of phenomena the common characteristics, we must begin by first isolating the various types of monodic movement. All the characteristics of the recitative and arioso are well known. The 'singing' stands out strongly from the 'accompaniment'. As in 'monody', the movement is distinguished by a rhetorical, melodramatic, gestural character. The

movement is articulated by means of 'spoken', declaimed motifs of great expressive power, which are set apart from each other by pauses. The repertoire of motifs includes expressions of 'sighing', calls, exclamations and expressionistic 'screams' (see chapter XVIII). The 'accompaniment' congeals into string or brass tremolos. Note durations become flexible. Recitative and arioso often freely alternate; a sharp line can hardly be distinguished between the two. Some passages can be - as paradoxical as that may sound - described as being examples of *polyphonic recitative* or *arioso*, which involve the contrapuntal interweaving of two, rarely three voices, underlined by long drawn out tremolos. The following examples should clarify these distinguishing features.

The finale of the Second Symphony contains three recitative, arioso sections, all of which are expressions of 'religious thought'. The singing of the alto solo *O glaube, mein Herz, o glaube* (O believe, my heart, O believe) (lines 39-42) is twice anticipated in the orchestra (lines 7-10 and lines 21-27). All three passages have the same underlying substantive motif, developed from sigh formations and all three sections are designed as magnificent accelerations. A comparison makes it clear that Mahler, who directed criticism at recapitulations *(*"For each repetition is already a lie," BL 138 f.), would never exactly repeat passages. The first and the second passages relate to each other as if they represented the exposition and the development. In shaping the second passage it would seem that the first passage was to be regarded as merely the opening statement. This can be precisely illustrated. In the first passage there is a single reciting voice. At the return on the other hand it is joined by a second contrapuntal voice. As the same time trumpet fanfares of a remote orchestra announce the apocalypse (see table XI). Even the course of the acceleration is different. While increasing waves subsided quickly in the first passage after the climax, it culminates in the second section after a very steep climb (from ppp to fff) in a *Schreckensfanfare* = frightening fanfare (see Chapter XXV, 3). In contrast, the third section (the alto solo line 39-42) is shorter and it has the feeling of a varied recapitulation.

No fewer than four passages in the opening movement of the Third Symphony exhibit recitative-arioso characteristics. The first and the second (lines 2-11 and lines 13-18) appear in the introduction, while the third (line 29 until 5 bars before line 35) and fourth (lines 57-62) lead into the development and the reprise respectively. (See the diagram of the movement in chapter XV.) The movement might be sketched as follows. If we exclude the development section, then every passage is introduced with funeral march-like rhythms and with increasingly rigid ostinato repeated short motifs. (Note the rubrics in line 2: '*schwer*' = heavy and '*dumpf*' = dull). They often serve as the 'accompaniment' for the monody while beginning a little later each time. The motifs are then

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followed by tremolos. The actual monody, a kind of declaimed singing, is first presented by the woodwinds, horns, trumpets and trombones.

Melodramatic traits appear in the Third Symphony at the points of greatest excitement. This occurs in the opening movement at the climax of the exposition (7 bars before line 29) and in the recapitulation (line 74) as well – to a much higher degree – in the parallel passage in the finale (4 bars before line 23 to line 25). The same applies to the midnight song (from *Thus Spoke Zarathustra*). If one disregards the introduction with its mystical harmonies (from line 1 and correspondingly in lines 6/7), then one could say that the song is consistently defined by its arioso character.

A most remarkable recitative passage is found then in the second movement of the Fifth Symphony. Approximately in the middle of the movement (before line 12) the violoncellos present a "wailing" arioso accompanied by a drumroll. This motif is developed from a three-note motif, which appeared at the beginning of the movement (bars 6-9) as an outcry, and later, in the development (at line 11), it takes on the character of a cry of pain (see table XLII). For its design semantics see chapter XVIII. Even here it should be noted with respect to this "*plaintive*" arioso that the cellos certainly recall the trombone solo from the *Oraison funèbre* of Berlioz (second movement of the Symphony *Funèbre et triomphale*).

The slow introduction of the Seventh Symphony unfolds in a recitative-arioso style (until line 6). Only the eighth-note phrase is "a little less slow, but it is always very measured" (3 bars after line 3) and it has march-like traits which resemble certain themes of Bruckner. The role of the reciter is taken over here by the tenor horn, trumpet and later the trombones and horns . The 'speech' is introduced with rhythms resembling a funeral march accompanied by with tremolos. The declamatory nature of the music appears more clearly once again in the modified repeat of the introduction before the reprise (5 bars before line 43).

The Adagio from the second part of the Eighth Symphony could be designated as a polyphonic arioso. Recitative-arioso voice leading, tremolo accompaniments and frequent contrapuntal structures are combined. 'Declamatory' motifs of extreme conciseness and expressiveness are often embedded in a dense network of voices. In two places the arioso of the Adagio gives way to other traits: a chorale and a hymn. Lines 21-23 could be classified as a chorale. The passage anticipates the chorus of young angels *Ich spür' soeben, nebelnd um Felsenhöh', ein Geisterleben*. The aria of Pater ecstaticus *Ewiger Wonnebrand* is designed as a hymn (lines 31-38). Hymn-like traits appear as well in the repetition of the Adagio (l. 53-56).

Recitative and arioso characteristics also appear in the development-like middle part (lines 25-34) of the first song from the *Song of the Earth* (*Trinklied vom Jammer der Erde*). Also here the main impression is conveyed by the contrapuntal voices of the melodic line. Incidentally, a recitative-like delivery is evident at several points in the final movement of the *Lied von der Erde* (*Der Abschied* = The Farewell). Among these are the passages: "*Die Sonne scheidet*" (line 2), "*Es wehet kuhl*" (line 22) and "*Er stieg vom Pferd*" (line 48). At two points Mahler inserts the rubric: "*In erzählendem Ton, ohne Ausdruck*" = in a narrative manner, without expression.

If we now look back from the perspective that we have reached at recitative and arioso elements in instrumental music before Mahler, so we need to emphasize first of all that the expressive designations *recitativo* or *quasi recitative* appear in almost every second or third major work of Berlioz and Liszt. As an expansion of the examples from Berlioz cited in the study by Mies we might mention: *Roméo et Juliette*, op. 17 (1839), 3rd movement, *Scène d'amour*, which has a cello solo *col carattere di recit.* and the *Symphonie funèbre et triomphale* op.15 (1840), 2nd movement, the *Oraison funèbre* (GA 1, p. 184 et seq.). From Franz Liszt we have: *Vallée d'Obermann* (Album d'un Voyageur), *Pensée des morts* (Harmonies poétiques et religieuses), *Malédiction* (GA I, 13, p. 201), *Après une lecture du Dante. Fantasia quasi Sonata* (1849, GA II, 6, p 105), *Dante Symphony* (1856), *Purgatorio* (8 bars after K). Recitative elements also play a role in Mendelssohn's *Scottish Symphony*, op 56. Reference can be made to the Andante con moto (bar 17 ff.) and the beginning of the Adagio. Of especial relevance for our investigation is the observation that the above-described "monadic" movement employed by Mahler is already often encountered in Bruckner's symphonies. Several of Bruckner's main themes are expressed in a recitative, arioso style. It deserves to be strongly emphasized that the Bruckner symphonies exhibit an abundance of hitherto overlooked musical and dramatic elements.

2.   The Chorale

Regarding the meaning of genres in the symphonies of Berlioz, Mendelssohn, Liszt, Bruckner, Brahms and Mahler

> "The *chorale*, the simple chant, traces its origins back to the oldest times of the Christian religion. As if music were a higher form of language with which we honor and speak to the sacred as in the beautiful custom our ancestors of using music to accompany prayer – a custom that will cease only with the disappearance of Christianity itself. Without regard to a specific meter or expression it is the audible prayer of the individual in the church and it proceeds in the most worthy of chords that emphasize each syllable."
>
> SCHUMANN (1834) (GS II, 208)

> "We already had the example of Luther's chorale [*Ein' feste Burg*] embedded in the role of Marcel in the *Huguenots*, which personified not only his faith, but also the whole inflexible exaltation of his mind and the whole meaning of his actions."
>
> LISZT (1850), GS III/2, p. 93

When speaking of chorales in the symphonic literature, we generally refer to Bruckner and almost always only to him. However, the assumption that Bruckner was the first to introduce chorale-like structures into symphonic music is erroneous. In a short article Wilhelm Altmann[14] already drew attention to chorale-like themes in the chamber music of Mozart, Beethoven, Mendelssohn and Schumann. According to Altmann, Bruckner "undeniably deserves credit", however, "for having deliberately inserted chorale themes as an expression of his deep religiosity into the symphony". There is no question that some properties of Bruckner's symphonies can be attributed to the very exceptional religiosity of the composer. But where did Bruckner get the idea to give such superior relevance to the chorale-like formations in his symphonic works? Researchers have up to now not been able to supply an exhaustive answer. According to Alfred Orel[15] we must take several reasons into consideration, namely influences of Mendelssohn, Bach and organ music.

During his lifetime, and for some years after his death Anton Bruckner was - wrongly - taken to be an imitator of Wagner. Rudolf Louis, Max Auer and Ernst Kurth, i.e. the Bruckner protagonists in music literature, were able to destroy this stereotype. But at the same time they contributed significantly to the emergence of a doctrine in which Bruckner - also wrongly - was seen to be the prototype of the absolute musician. This view is still accepted today with the result that the literature on this important question has not investigated conceivable relations of Bruckner's symphonic programmatic music to Berlioz and Liszt. If one decides to make up for this loss, so you can begin with a new

set of observations that can shed new light on the question of the provenance of Bruckner's 'chorales'.

Let's start with a survey of the use of chorales in symphonic program music.

Gregorian melodies are already to be found in instrumental works by Joseph Haydn and Wolfgang Amadeus Mozart.[16] Yet the introduction by Berlioz of the *Dies irae* into the final of the *Symphonie fantastique* (1830) was a novelty. On the one hand it was the sequence of the Mass for the Dead; on the other hand, the liturgical melody was introduced and treated in an amazing manner. The third part of the finale is, as we have explained, a grotesque funeral procession.

Following the example of Berlioz, Liszt designed in 1838/39 a set of variations on the *Dies irae* as a *danse macabre*. The imaginatively crafted composition, completed in 1849, was published in 1865 with the title *Totentanz. Paraphrase über Dies irae für Pianoforte und Orchester* (GA I, 13). The inspiration for Liszt's composition was said to be the famous mural *The Triumph of Death* by Orcagna in the Campo Santo at Pisa.[17]

Berlioz was also an innovator in other respects. With the pilgrimage march of *Harold Symphony* (1834), he created the archetype of an entity with chorale-like traits, but which were remodeled in accordance with the composer's own conceptions. Structure, harmonization and instrumentation of the pilgrims' march are truly original. The first part of the movement, which we want to focus on here, has - when we except the introduction (15 bars) - an ABA' scheme based on the model of the three-part song. Section A (40 bars) is divided into four 'lines' of 10 bars, section B (48 bars) in six 'lines' of 8 bars, section A' (65 bars) in six 'lines' of 10 bars. (The remaining five measures serve as a link to the *Canto religioso*.) If we single out the formal and stylistic elements which give the underlying theme its chorale-like character, then we would have to mention the simple, diatonic melody, the uniform rhythms, the strict periodisation and the division into 'lines'. The tune is alternately played by the violins, violas or (in the B-section) by the cellos and double basses, while the remaining strings supply the pizzicato accompaniment.

In the outer sections the 'lines' consist of 10 (8 + 2) bars which are all thematically related. They all start in E major, but mostly cadence in other keys. Thus, in the third section line 1 concludes in D sharp-minor, line 2 concludes in E major, line 3 in F sharp minor, line 4 in G sharp minor, line 5 in A major and line 6 in B major.

It is now astonishing to discover that Berlioz's chorale-like movement-type appears again several times in Bruckner's symphonies. He often used it as a model for the construction of so-called thematic complexes. A very instructive example of Bruckner's use of Berlioz' technique appears in the *Andante* of the Fourth Symphony, the *Romantic*. The second thematic complex (at C) shows a startling similarity to the tectonics of Berlioz's chorale. One notes: Bruckner also

divides the subject into six 'lines' between which there are multiple melodic correspondences. Four lines begin in C minor (line 3 in F sharp minor, line 4 in D flat major); each line cadences however in a different key: line 1 in B flat major, line 2 in G flat major, line 3 as A flat major, line 4 in E flat major, line 5 in G-sharp minor (= A flat major), line 6 in C major. The lines 1 through 5 are each 4 bars long. Line 6 has 12 bars. The melody is here in the violas with the remaining strings supplying the pizzicato accompaniment.

It is worthy of note that Bruckner designated this theme as *Ständchen* (= serenade) in a copy of the first version of the Romantic Symphony.[18] In the first version this passage has the title *Adagio* and it was notated with shorter note values. Robert Haas [19] correctly captured the character of the movement intuitively, when he spoke of a "veiled procession-like serenade atmosphere".

Other examples of the procedures imitating Berlioz' chorale-like movement-types can be found in Bruckner's Third and Fifth Symphonies. We are referring to the second thematic complex in the finale of the Third Symphony at T (the chorale melody in the cellos) and the second thematic complex in the first movement of the Fifth at C. (Here the chorale melody is in the first violins.)

Melodies of the Catholic rite and Protestant chorales also play an important role in the programmatic symphonies of Spohr and Mendelssohn.

First we can refer to Spohr's *Weihe der Töne* op. 86 (Symphony No. 4 in F major), a work composed in 1832 that the composer called a "characteristic tone painting in the form of a symphony".[20] The third movement of the work closes with a prayer of thanksgiving which is based on an Ambrosian hymn of praise. The first part of the fourth movement is intended as *funeral music*, recapturing the essense of the chorale *Nun lasset uns den Leib begraben*.

Reference can be made as well to the *Lobgesang* op. 52 (1840) by Mendelssohn, a *symphony-cantata on words of the Scripture*. The work consists of a three-movement sinfonia and an eight movement cantata. The first movement of the symphony is largely based on a motif that is modeled on psalm intonations.

The introductory Andante and the finale of the *Reformation Symphony* op. 107 (1829/30) are constructed on chorale melodies.[21] The Andante is based on no fewer than four highlighted 'motifs': a four-note psalm motif that is treated in the lower strings in a fugato manner; a chorale-like structure in the winds (bars 5-9 and bars 14-18), a psalmic 'intonation' in the winds (bars 22-32 and bars 36-37) and finally the Dresden Amen, which Wagner later used in *Parsifal* (cf. chapter XXII, 3). Both the motifs of the psalm 'intonation' as well as the Dresden Amen return again in the Allegro con fuoco. The finale is largely based on the Lutheran hymn tune *Ein' feste Burg ist unser Gott*, which is processed in various ways. Obviously, the intention was to glorify the Lutheran faith.

The Andante and Finale of the *Reformation Symphony* offer interesting insights into two different aspects of Mendelssohn's historicism. [22] In the Andante Mendelssohn presents the technical and stylistic devices of the older music (harmony based on the church modes, imitation technique, coro-spezzato technology) with such originality that the result is genuinely romantic. In the finale, however he does not always succeed in freeing himself from the model of the Bach chorales.

Gregorian melodies and Catholic hymns hold a special place as well in the works of Franz Liszt. One should be aware that Liszt was a religious composer par excellence. Long before 1865, when he took on in Rome the four minor orders, he was in Paris affected by the religious spirit of French Romanticism.[23] As a young artist he dreamed of a church music of the future, which should unite in a colossal manner the relationship of theater and church.[24] Not only the Abbé Liszt but already the young composer was energetically agitating for a renewal of Catholic Church Music.

If you keeps these facts in mind, it may be possible to examine the 'chorale' in Liszt's works more closely: The *Nächtlicher Zug* (1858/59), the first of the two *Episodes from Lenau's Faust* (GA 1, 10), uses the melody of the Gregorian hymn *Pange lingua gloriosi corporis mysterium* to characterize the pilgrimage procession ("at this point a solemn procession enters"), the sight of which moves Faust deeply. In the *Battle of the Huns* (1857), a symphonic poem based on a painting by Wilhelm Kaulbach of the same name, Liszt uses for the personification of Christianity the melody of the hymn *Crux fidelis inter omnes*. The 'victory' of the melody at the end of the work symbolizes the victory of the Cross over the heathens (see chapter XXI).

The *Andante religioso* of the *Mountain Symphony* (*Ce qu'on entend sur la montagne*) represents a sui generis case because Liszt did not base it on a liturgical melody but he invented the chorale-like melody himself. The section in question is in the middle of the work and it is presented again at the end. Thus, the structure of the symphonic poem divides itself into two nearly equal sections almost automatically.

Of the many properties of the Andante religioso the periodic structure and the instrumentation deserve to be especially highlighted. Three choirs, i.e. a trombone ensemble (or in the 'reprise' a brass choir), a woodwind choir and a string choir alternate in presenting the chorale. The melody of the trombone choir forms a period of 10 bars with a clear correspondence between the antecedent and consequent melodic phrases. It begins in G major and concludes in B minor. (In the 'reprise' the chant is in E flat major, the first period cadences in G minor). The woodwind choir is a repetition of the passage. Then the chorale melody is taken up by the string choir in two seven-bar phrases. An eight-bar coda forms the finale.

Particularly significant for Liszt's sometimes peculiar relationship to his literary sources for the programs of his works is the semantics that accompanied the creation of the *Andante religioso*. The poem of Victor Hugo, upon which the *Bergsymphonie* is based, has as its subject the dualism between Nature and Humanity (*Nature* and *Humanité*) and it concludes with the philosophical aporia of why was God attempting to forever merge "the singing of nature with the cry of the human race in a disastrous marriage"? In the earliest versions of the *Mountain Symphony* Liszt followed Hugo's poem more or less faithfully. When composing the final versions in March of 1854 in Gotha he realized, however, that the poem had to be ultimately 'designed' in a more personal manner. Only in this version did he add the *Andante religioso*, based on his belief that the solution of the aporia was to be found in prayer and religious beliefs. According to the brief programmatic statement which he included in the first edition of the score he indicated that the closing of the *Mountain Symphony* was meant to symbolize that the conflicting voices of Nature and Humanity "grew nearer and nearer" and that they "drew together and combined" and at the close "consolidated and rang out in consecrated contemplation".[25]

Turning now to the vocal works of Liszt, we have to mention that he drew on the Gregorian melodic tradition in these compositions to a far greater extent than in his instrumental music. One could refer to works such as the *Missa choralis* (1865) or the oratorios *Christus* (1866) and *The Legend of Saint Elizabeth* (1865).[26] In this context it should be mentioned that a chorale-like passage, namely the initium of the *Magnificat*, reappears as an intonation in numerous works of Liszt, thereby serving as a semantic Leitmotif of a "*tonal symbol of the cross*". Liszt's innovation was so impressive that Wagner, Bruckner, Mahler and Tchaikovsky also followed his example and they accorded the cross symbol an important place in their music.

It might be mentioned as well that Liszt was working on a Revolutionary Symphony in 1830 which was to include the *Marseillaise*, the *Hussitenlied* and the the chorale *Ein feste Burg*.[27] Thus Liszt was in some ways 85 years in advance of Claude Debussy! Debussy's Triptychon *En blanc et noir* (1915), created as an epitaph for Jacques Charlot, was inspired by battle scenes of the First World War with the *Marseillaise* and the hymn *Ein feste Burg* symbolizing the French and German nations. Liszt's intention was certainly quite different: the *Marseillaise*, the *Hussitenlied* and the Protestant chorale were more likely used as symbols of the Latin, Slavic and Germanic worlds in order to represent the brotherhood of the peoples in their struggle against oppression.

In the consciousness of music historians Johannes Brahms is generally regarded as the prototype of the absolute musician, the autonomous creative artist. His compositions are regarded in music literature and in the teaching of music schools as "autonomous, works expressing purely musical concepts".[28] As

a consequence researchers have seldom been prompted to search for extra-musical elements in his instrumental works.

The conception, however, that Brahms had always worked autonomously cannot be sustained. New perspectives for any discussion of his music arise when one examines the history of the origins of many of his works and especially when one discovers the many genres of vocal and instrumental music which Brahms drew upon and when one takes into consideration the wide range of musical symbols in his instrumental works.[29]

Let's first focus on the chorale-like elements in his symphonic works.

Max Kalbeck[30] was probably been the first to point out that in the development of the first movement of the First Symphony (bars 232-260) the closing measures of the chorale *Ermuntre dich, mein schwacher Geist* played a role, but he left it as an open question as to "whether the composer himself derived the theme from the introduction or whether he à la Beethoven came upon the idea while composing *the* work". Kalbeck's first assumption is certainly untenable: even analysts who specialize in bringing to fulfillment the true nature of art works by means of motivic transformations would have difficulty in deducing the structure of the chorale from the introduction. Instead on closer inspection it becomes clear that the melody of the passage is almost identical with the final line of the chorale (which reads: "*als seine Braut zu freien*"). The hypothesis that this is a quotation with programmatic semantics thus presents itself. One notes that the chorale-like passages appear only in prominent places in the development (it is played by the strings three times on various tone levels) and that its harmonization is quasi modal.

If this structure in the first movement of the First Symphony is to be designated only as chorale-like, then the dramatically moving introduction to the finale of the symphony is a typical, even if short 'chorale'. It is harmonized in an archaic manner and intoned by the trombones, bassoons and horns (bars 47-51). Brahms deployed the passage as a Più Andante and framed it with the famous alphorn melody. Detached from this framework the chorale appears once more towards the end of the movement (bars 407-416). At this point it is intoned by the strings together with the brass choir. It should be mentioned as well that Brahms's First Symphony is full of programmatic intentions.

With respect to the C major Andante of Brahms' Third Symphony it can be said that the combination of ballad-like with chorale-like elements gives the work its characteristic physiognomy. Ballad-like is primarily the narrative tone; chorale-like or church-like, however, is the structure and treatment of the main theme, an even-toned broad melody that is divided into four lines which are primarily modally harmonized in four parts. Even the instrumentation of the section (clarinets, bassoons and sometimes flutes and horns) has chorale-like traits. Chorale-like as well is the melody in ten bars with which the central portion of the movement begins (bars 41-50).[31] The high priority accorded to it

in the overall conception of the symphony can only be recognized when one has first noticed that it – in a metamorphosis – returns in the finale (bars 18-29) where it is prominently featured in the development (bars 149-171) and in the coda (bars 280-297).[32]

Turning to Gustav Mahler, so we must emphasize at the outset that chorales and chorale-like passages are encountered in his symphonies far more frequently than one would have suspected. Except for the Fourth, Ninth and Tenth, all the other symphonies make use of 'chorales'. As for the general characteristics of Mahler's chorale type one could mention: regular bar periods, simple, diatonic melodies, regular rhythms (half and quarter notes) and homophonic harmonizations, distinct periodization with evenly distributed antecedent and consequent melodic phrases (eight or sixteen bar periods are the norm), wind sounds as color (if the strings have any role it is as an accompaniment). Two further factors deserve to be mentioned in this context: Mahler's chorales, apart from the "*tonal symbol of the cross*" and the *Dies irae*, appear to be his own 'inventions'. Borrowings, whether from Gregorian, or from Protestant church music have not can be detected. Equally noteworthy is that some chorale melodies "wander" from symphony to symphony - in metamorphosis.

The chorales in the Second, Sixth and Eighth Symphonies were conceived in accordance with the above mentioned traits. In particular the Second Symphony contains many original chorale-like pieces and chorales. Let's start with the *Resurrection Chorale* (finale, line 31). The wide sweeping melody that underlies it is Mahler's own invention. In the Protestant hymnal of 1803 the text for Klopstock's *Auferstehn, ja auferstehn wirst du, mein Staub* (= Rise again, yes you will rise again, my dust, after a short rest) is provided with a completely different melody than Mahler's. With respect to Mahler's chorale we must note several things: first, that the four verses are set off from each other by solo or orchestral interludes (we note the designation *misterioso* at line 31, line 42 and line 43): secondly, that the chorale is greatly varied in the second, third and fourth stanza: thirdly, that it has a periodic structure with clear correspondences between the antecedent and the extended consequential melodic phraseology; and fourthly, that Mahler already gave the first chorale line of the resurrection theme in the first movement and in the instrumental part of the finale an important role.

The counterpart of the resurrection theme is the *Dies irae* theme, an eight-bar chorale theme of which only the first four notes have anything to do with the Gregorian melody (the 'rest' is freely composed). The theme appears for the first time in the development of the opening movement (8 bars before line 17). Here it functions as the antecedent phrase of a chorale section, whose consequential phrase is composed of several motives: the cross motif, a resurrection motif, the motif for eternity (see chapter XXII) and the actual *Dies*

irae motif (see table LV). Between the antecedent and consequential phrase a four bar phrase with a motif from the main theme of the opening movement is inserted – an unusual feature for Mahler. A 'striding' motif in the basses serves as the foundation of the chorale melodies.

The *Dies irae* theme then appears twice in the finale (8 bars before line 5 and line 10). Both times it is followed by the resurrection theme. The *Dies irae* theme is the antecedent, the resurrection theme forms the consequent phrase, thus building a chorale of 16 bars, which at its first appearance is intoned by the winds in unison accompanied by pizzicato strings. The second appearance is more "typical" because the chorale is played by the brass in a broad harmonization (cf. table XII). (At the same time is should be noted in parenthesis that the *Dies irae* theme in the Second Symphony is treated not only in a chorale-like manner but also is transformed into a march. Mahler used the theme as well in a very elaborate contrapuntal interplay with other themes and motifs.)

Equally chorale-like are also the beginning and the conclusion of the fourth movement, *Urlicht*. Mahler's rubrics characteristically read "*Sehr feierlich, aber schlicht (choralmässig)"* (= "Very celebratory, but simple (chorale-like)". Especially the brass section of the introduction resembles in construction and with its archaic harmonization a "real" chorale. The five-bar antecedent phrase cadences in a plagal modality, the six-bar consequent phrase closes in an authentic modality. It has remained unnoticed until now that Mahler provided in addition to the melody of the antecedent phrase, the words of the text "*lieber möcht' ich im Himmel sein!*" (I would prefer to be in heaven!) (line 2) as well as the text "*(das) ewig selig Leben!"* (the eternal holy life!) at the close.

We earlier indicated that "wandering" chorale melodies frequently occur in Mahler. As an example the chorale-like melody four bars before line 17 might be cited. It is a highlighted eight bar melody, which is intoned by the trumpets over the foundation of the 'striding' basses and it is then played by the violins and the woodwinds. Not without surprise, we encounter the archetypal chorale melody – of course in a metamorphosis – in the middle part (line 6) of the fifth movement of the Third Symphony with the text *Es sungen drei Engel* and later in the recapitulation (after line 7). Likewise, the "wandering" chorale melody is met in a metamorphosis in the first part of the Eighth Symphony in the section with the text *Hostem repellas longius, Pacemque dones protinus* (lines 42/43). The eight-bar archetype is stretched out by very curious cry-like interpolations by 14 bars. Idiosyncratic ostinato phrases in the basses (seven bar and other rhythmic configurations impinge on the 4/4 beat) emphasize the drama of the section. In this Mahler anticipated a means of increasing tension which later became a preferred technique of Stravinsky.

We will now consider the three chorales of the Sixth Symphony. The first, a broadly harmonized, periodically structured chorale (8 + 8 bars), is one of the three main ideas on which the first movement is based. It is first intoned (line 7) by the woodwinds, 'accompanied' by pizzicato strings. It is directly linked to two important symbols, the 'Leitrhythm' and the major-minor cachet (see chapter XXV, 2). This chorale[33] plays an important role in the development and in the recapitulation of the movement both as a contrast to the two other main themes and as a component of a contrapunctal section with them.

The two other chorales of the Sixth are to be found in the finale: one in the slow introduction, the other in the Allegro section. The chorale of the introduction (line 106) is a 16 bar, periodically structured pure brass section with the unmistakable characteristics of a Requiem. It is initially intoned *pianissimo* and '*heavily*' in C major / C minor, and it leads by means of a short increase in the dynamics to a major-minor segment (G major/G minor). The archetype of this chorale can be identified as a four-bar passage for strings in the fifth movement of the Third Symphony – i.e. the string passage in line 3 which leads into the third strophe of the song: *Und sollt' ich nicht weinen, du gütiger Gott.*

The other chorale in the finale of the Sixth is already hinted at a single time in the introduction (line 108). It is intoned in the Allegro section both in the exposition (lines 113-116) and in the reprise (line 157 until 4 bars after line 160). Just as the chorale of the opening movement, it is also – in the exposition – positioned between the 'main theme' and the 'secondary theme'. The melody of the chorale, composed of the period of 32 bars (between the antecedent and consequent phrases a three-bar phrase is interpolated), is combined contrapunctually with motifs of the march-like main theme. The tonality is A minor; the antecedent phrase cadences in C major, the consequential phrase in A minor. For several lines the profile of the melody is distinguished by leaps of an octave or a twelfth. Phrases such as the trumpet melody in line 114 are related on the other hand, to the chorale of the introduction. This chorale of the Allegro, greatly modified, also plays a prominent role in the development (lines 129-131 and lines 140-143).

Pure chorales do not appear in the Seventh Symphony. However, chorale-like brass sounds determine the sound roughly in the center of the first movement. One can point to the passage in lines 38-39: *sehr gehalten* (very much drawn out) and *sehr feierlich* (very celebratory) as well as the passage four bars before line 45.

Some chorales of the Eighth Symphony have already been mentioned. The *Hostem repellas* (first part, lines 42-44) refers back, as already observed, to an archetype in the finale of the Second Symphony. In the second part, the choir of the younger angel with the text *Ich spür' soeben, nebelnd um Felsenhöh'*

(lines 21-23 and lines 81-85) features many of the above-mentioned chorale properties but at the same time also exhibits traits which recall hymns, just as charactistics of a church-like nature determine many melodies of the second part. This applies to the choruses of the blessed boys *Hände verschlinget* (lines 58-60), *Freudig empfangen wir* (lines 85-89), *Er überwächst uns schon* (lines 161-165) and the *Rosenchor* (lines 63-73).

As already mentioned, no chorales can be found in the Ninth Symphony and the Tenth Symphony. One cannot even speak about chorale-like structures. The Adagio themes in the finale of the Ninth, and the first movement of the Tenth are in every way much too differentiated that they could be designed as being chorale-like.

The chorales in the First and Fifth Symphonies differ in detail from the typical Mahler chorale. Therefore they will now be discussed at this point.

There are no less than three chorale-like sections in the finale of the First Symphony: the first two in the development (lines 26-28 and lines 33-37), the third at the end of the recapitulation (lines 53-59). It is clear just on the basis of the bars numbers that the sections became increasingly longer, so that one could undertake a semantic analysis of the composition to show that they actually gain increasingly in important and weight within the overall design of the movement: i.e. the religious idea which they express becomes increasingly stronger. Mahler based the three sections on the same motivic and thematic material but the design is different every time. The first section consists of his version of Wagner's theme of the Holy Grail, which functions as a symbol of the cross and heaven (see chapter XXII, 3), and he composed a chorale-like melody that is played by the trumpet and the trombone in unison. In the second and in the third section this idea is followed by an actual "chorale". Atypically for Mahler, the actual chorale melody is not fully harmonized. It is usually performed in unison by the horns and sometimes it is interwoven with counterpoint with the theme of the Holy Grail. The term "*triumphal*" in line 56 is to be understood programmatically: i.e. the "triumph" of the cross and heaven.

The chorale section in the second movement of the Fifth Symphony (just before the coda lines 27-30) cannot be considered typical of Mahler even though it is a periodically structured and fully-harmonized chorale. The more conventional melody shows a very close resemblance to the Pilgrims' Chorus from Wagner's *Tannhäuser* and the instrumentation ('radiant' string figurations embellish the chorale) also recalls Wagner's Pilgrims' choir. Actually the passage has an intrinsically theatrical undertone. Equally indicative of this are the last trumpet fanfares before the consequent phrase that lead to the "highpoint" (explicitly referred to in the score as such) of the movement. Important for the correct evaluation of the chorale is the impression that it is a foreign element within the agitated ("*sturmisch bewegten*") second movement.

The chorale does not bring about a 'change' in the mood. The situation is different however when the chorale is reintroduced in the finale (immediately before the coda, 6 bars after line 33). Within this context it determines the magnificent conclusion of the symphony.[34]

Finally, a word about the semantics of chorales in Mahler. In his monograph on Bruckner Ernst Kurth expressed the opinion that the chorale in Bruckner's symphonies not only served as an expression of religious solemnity, but also of the Bruckner's "*nervousness*".[35] We consider such a narrow semantic interpretation of the chorale to be questionable. Solemnity and anxiety are just two partial aspects of the extremely diverse religious world. Thus when speaking of Mahler's chorales it can be said that they represent various shades of the religious experience.

3.   Hymns

The Hymn in Bruckner and Mahler as well as in Beethoven, Schubert and Brahms

That we would want to discuss here hymn-like movement types and characteristics in Mahler's symphonies could, at first at least, cause consternation. Mahler and 'hymns': is such a relationship at all conceivable? We not only believe that we can answer this question in the affirmative but also that one can only speak about hymns in the true sense of the word once one has investigated the origins of this vocal type in Mahler's works.

With respect to the properties of the hymn we should begin by listing the most prominent traits: melodies of a diatonic cantabile character, a languorous pace, calm progressive rhythms, distinct periodization. If these characteristics are also commonly found in the chorale, the following traits apply only to the hymn: the hymn lacks the 'severity' of a regular homophonic chorale harmonization. Each main note of the melody is not necessarily provided with a chord. Rather in Mahler the accompanying voices are usually developed independently in such a way that it results in a polyphonic texture. Add to this the feature that the hymn is not associated with the brass sound. Mahler's hymns are mostly played by strings or by the complete orchestra. And one last feature: the hymn-like type gives preference to the strophic form. The characteristic melody is taken up after the first appearance again and again. It is repeated, modified or developed further.

An example of the type is provided by the Finale of the Third Symphony. Although only the first thematic complex exhibits typical hymn-like traits, it would be more correct to refer to the complete movement as a hymn. In several places in the finale one is reminded of the *Benedictus* from Bruckner's *F minor Mass*. Thus, it can be revealed where the type originated. Bruckner's Benedictus-theme must have had an enormous influence on Mahler from which he apparently could not free himself (see table XIII). In the *finale* of the Sixth it appears briefly in the trumpet (8 bars before line 116) and then it literally dominates the two hymn-like sections at the end of the development section (line 139) and at the end of the recapitulation (lines 161-163). In parenthesis it might be noted as well that not only the melody, but also the harmony and indeed the complete instrumentation of these two brilliant passages testify to the strong influence of Bruckner on Mahler.

Mahler also had Bruckner's Benedictus-melody in mind when composing the hymn-like sections of the Eighth Symphony. Among these are the aria of the Pater ecstaticus (lines 31-38), the orchestral interlude that leads from the Adagio to the Allegro deciso (lines 53-56), and the section which Mahler himself labeled "*hymnenartig*" (lines 176-199).

The aria of the Pater ecstaticus is divided into five periods (four eight-bar periods and one of ten bars) that all start with the Benedictus motif and give the impression of being stanzas. (The complete Beneditctus theme is 'quoted' by the violins 4 bars before line 36). The orchestral interlude is based in turn on the aria of the Pater ecstaticus and Benedictus motif. It is divided into three periods (of 8, 7 and 8 bars). The Benedictus motif also plays a role in the *hymn-like* section (namely the phrase of the Doctor Marianus to "look to the Saviour" in line 178). The thematic basis of this section form is composed however of the "*Blicket auf*" motif and the theme of the Mater Gloriosa.[36]

Hymn-like traits finally appear in the opening movement of the *Third* at the close of the exposition (4 bars before line 28), in the *Fourth* in the second thematic complex of the first movement (line 3), and especially in the first theme of the slow movement.

Gustav Mahler was not the first composer to introduce the vocal genre of the hymn into the symphony. As the initiator of this innovation one must name Beethoven with the finale of the Ninth Symphony (more precisely, the creation and development of the *Ode to Joy* in the purely instrumental part of the movement). Beethoven served as the model for Schubert's slow introduction (Andante) of the great C major Symphony and Brahms based the finale of the First Symphony (or more precisely, on the Allegro non troppo, ma con brio) on Beethoven. Comparing these three examples with Mahler's 'hymns' one will notice that they have several features in common: the hymn-like passages in Beethoven, Schubert and Brahms are all characterized by lyrical melodies of diatonic character, by calmly progressing rhythms, by distinct periodization, by multi-voiced polyphonic movements and by the strophic divisions. Only with respect to the tempo do they deviate: Beethoven and Brahms give their hymns a lively pace.

We shall now consider these three examples in more detail: Beethoven's hymn consists of four stanzas of equal length (each has 24 bars) and a coda. In the first stanza the melody of the *Ode to Joy* is intoned by the cellos and basses in unison. In the three following verses the subject is repeated unchanged one octave higher. In the second and third stanza contrapuntal voices are introduced. The fourth stanza is kept homophonic. Heinrich Schenker's interpretation of the section as a theme with three variations does not reflect Beethoven's intentions, because it ignores the hymn-like nature of the music and the strophic arrangement.[37] If one really must speak of variations, one must not forget that Beethoven - as Joseph Hayden in the slow movement of the C major String Quartet opus 76, no. 3, i.e. the famous set of variations on the Austrian imperial anthem – mostly wrote contrapuntal variations.

Schubert's hymn consists of four 'verses'. The strophic arrangement however is somewhat obscured by diverse variations. The theme of the horns in

unison in the first 'verse' (8 bars) is in the following three verses (they consist of 20, 32 and 17 bars) arranged, accompanied and developed in various ways. Brahms' hymn finally, comprising three stanzas, differs from the anthems of Beethoven and Schubert, insofar as the subject is not intoned in unison at the beginning, but it is immediately presented with contrapuntal voices. The first two verses, each 16 bars in length, are musically the same and differ from each other essentially only in the instrumentation. A very different approach is applied to the third part (bars 94-101), which is a 'verse' only in its outline. It develops the main motif of the melody, and then without bringing it to a conclusion immediately launches into the transition to the sonata movement.

The similarity of the Brahms' theme to Beethoven's *Ode to Joy* has prompted many comments. Max Kalbeck [38] interprets it as deliberate demonstration of Brahms' desire to link his music directly to Beethoven's Ninth. It is curiously that no one has observed that Brahms also had Schubert's Andante in mind when he wrote the finale of his First Symphony. As Schubert, Brahms accompanied his hymn-like melody in the first two stanzas with pizzicato cellos and basses.

4. Lieder

That there is a relationship between Mahler's symphonic oeuvre and his songs was recognized long ago. Even the very first Mahler interpreters were aware of this relationship.[39] Mahler introduced 'Lieder' into several of his symphonies and he worked songs into the fabric of many instrumental movements (see chapter IV and V). The thematic material of his symphonies often exhibit distinctive 'Lied' qualities and it can be demonstrated that 'Lieder' are quite frequently quoted or hinted at in his instrumental works.[40]

Paul Bekker[41] was the first to draw far-reaching implications from this phenomenon. In this regard he formulated two theories, of which the one suggested that in his search for 'monumentality' in his 'Lieder' and symphonic works Mahler incorporated two contrasting principles which influenced each other and which should be understood as an expression of the polarity between "subjective feeling" and the relationship with the real world. The other thesis was that the songs were in essence "the emotional seeds of his symphonic works" but they also provided the stylistic foundation. Bekker summarily attributed Mahler's thematic to the melodies of 'Lieder'. The relationship between 'Lieder' and his symphonies has been recently examined within a wider context by Monika Tibbe, who also discusses the question of the song quotations and song-like elements in greater depth.

'Lieder and Gustav Mahler's symphonies' have been therefore quite often the object of scientific investigations. Nevertheless, the topic should not be considered to be exhausted. It would seem that further research can reveal many new aspects.

1. When speaking of the close connection between vocal and symphonic elements in Mahler, one must remembered that a similar relationship existed with other composers before him. One only has to refer to Schubert, Mendelssohn, Schumann and Brahms. One should not forget that in as far as gaining a deeper understanding of his instrumental output, Schubert research would be lost without taking into consideration his Lieder. Very early Moritz Bauer[42] pointed out that "the character of the song" can be detected in many passages in Schubert's symphonies, string quartets and piano sonatas. Mendelssohn was not only the creator of a new genre, the *Songs without words*[43], but he also incorporated Lied characteristics into the slow movements of his most famous symphonies. Of the two themes in the Adagio of his Scottish Symphony, the first is hymn-like and the second has a ballad-like quality. The ballad *Es war ein König in Thule* resonates through the Andante con moto of the Italian Symphony.[44] Lied-like characteristics are also exhibited in several slow movements in the symphonies of Schumann and Brahms. One can cite the Larghetto of the Spring Symphony,

the third movement (*Nicht schnell*) of the E flat Major Symphony and the Romance of the Fourth Symphony of Schumann as well as in the slow movements of the Third and the Fourth Symphonies of Brahms.

2. Paul Bekker's thesis that Mahler's themes have their origin in Lieder ist however so vaguely formulated that it cannot be accepted. As much as Mahler's symphonic style is indebted to his Lieder, such a broad generalization is not appropriate. Our investigations will demonstrate that the Lieder quality in Mahler's style and in his works is just one of many characteristics.

3. Themes and passages distinguished by Lied-like qualities in Mahler's symphonic oeuvre are far more numerous than previously assumed. Once the material was collated, it became evident that many vocal and symphonic themes were created in accordance with specific models that Mahler modified from case to case. This can be exemplified by a few examples.

   One such model, for example, served as the basis for the following themes and phrases: a phrase from the *Lied des Verfolgten im Turm* (bars 80-84), several phrases from the first thematic complex in the first movement of the Third Symphony (4 bars after line 11, 8 bars after line 18, 6 bars after line 23), certain phrases in the last of the *Kindertotenlieder* (lines 1 and 2) and in the secondary thematic complex in the burlesque of the Ninth Symphony (bars 288-303). Except for the first-mentioned example the other melodies exhibit pronounced march-like characteristics.

   Another group of related approaches can be exemplified by the Adagietto theme of the Fifth, the secondary theme in the opening movement (lines 8-10) and the finale (lines 117-120) of the Sixth and the *Mater gloriosa* theme of the Eighth (lines 106-109). The same approach was applied to both secondary themes of the Sixth, which were said to personify Alma Mahler.[45] The themes of this group exhibit a lyrical exuberant quality. Paul Bekker[46] drew attention to the fact that the Mater glorisosa theme replicates almost note for note Schumann's *Schlummerlied für Klavier* (Album Leaves, op. 124, no. 16).

   A similar duktus is found as well in the *Guten-Morgen*-motif in the second song of the *Wayfarer* and in the main theme of the rondo finale of the Fifth. Both have a pastoral thematic coloration.

   Another group consists of the melody of the transitional section of the first movement of the Fourth (line 2) and the counterpoint of the flutes and violins in the fugato from the finale of the Fifth (9 bars before line 3). Both resemble the songs of children and both are accompanied by the same rubric: *frisch* (= fresh).

4. The Lied-like character of entire sections is expressed not only in the melodies but is also evident in the formal arrangements. Symphonic structures with distinct Lied-like characteristics which adopt the bar form or the three-part Lied form can be identified.

The development of the first movement of the Third Symphony is divided into four self-contained sections with differing characteristics. The third section (lines 39-43), in G flat major could be seen as a *Song without Words*. The main melody 'wanders' through various instruments. The melody and its 'accompaniment' are quite distinct. Formally it can be viewed as two 'verses', the first of which (lines 39-41) is longer than the second (lines 41-43) (see table XIV).

The main theme of the Andante moderato of the Fifth Symphony, which we have already referred to in connection with its relationship with the second song of the *Wayfarer*, has an extended passage (antecedent phrase – consequent phrase – Abgesang) which resembles the bar form (Stollen – Gegenstollen – Abgesang). Cf. table XV.

The main thematic complex of the rondo finale of the Sixth Symphony exhibits unmistakable Lied characteristics. The ambiguous major/minor tonality, the piano-like form of the accompaniment in the cellos (interrupted by triads) and the frequent parallel sixths suggest a kinship with the fourth of *Kindertotenlieder* (*Oft denk' ich, sie sind nur ausgegangen*!). The form of the symphonic complex resembles the three-part song form with the Abgesang: A section through to line 47, B section line 47, A' section lines 48-50, Abgesang line 50. It is interesting that the B section anticipates the theme of the second complex.

Finally the thematic complex in the *burlesque* of the Ninth Symphony likewise recalls a *Song with Words* - a remarkable passage in where in addition to the simple rhythmic structure (built on the anapestic rhythm) calls to mind the melodies of a street musician. The form has the layout of the varied verse form: stanza I (bars 109-130), stanza II (bars 131-146), stanza III (bars 146-168), stanza IV (bars 169-179). The number of verses is reduced to three at the return of the thematic complex: stanza I (bars 262-275), stanza II (bars 275-295), stanza III (bars 295-310).

Two other features should also be noted: first, that the aria of the Magna Peccatrix, the Mulier Samaritana and Maria Aegyptiaca as well as the subsequent trio in the second part of the Eighth Symphony (lines 117 to 2 bars before line 148) have a Lied-like character. In addition, Mahler mixes Lied-like and march-like characteristics. An instructive example of this can be found in first movement of the Third Symphony (lines 23-28). A comment by Bruno Walter[47] is revealing in this regard, namely that when he and Mahler were playing Schubert marches on the piano for four hands, Mahler occasionally "*invented texts*" that "*he sang while playing*".

XIII. Characteristics derived from instrumental music

> "A symphony is like a world and must encompass everything."
> MAHLER to JEAN SIBELIUS, 1907

1.   March (*marziale*) and funeral march

The meaning of the category in the symphonies of Berlioz, Liszt, Bruckner and Mahler

> "Now if music is to be considered as an expression of individuality,
> then it holds true that snappier rhythms evoke a military
> environment which apart from the marching also recalls the harsher
> rhythms which accompany the life of the soldier."
> E. TH. A. HOFFMANN
> *Briefe über Tonkunst in Berlin* (1815)
> SW v. 283.

Mahler's Lieder and symphonies are filled to an amazing degree with marches, march-like passages and themes and march-like rhythms. Even during his lifetime Mahler interpreters sought to find an explanation for this curious fact. No less than three theories have been proposed. All three accept Mahler's preference for marches as a "drive" but they explain it in different ways. It is said to have been derived from childhood experiences, from his "tribal atavism" or from Mahler's wish to express certain fundament ideas relating to form.

The originator of the first theory was Mahler himself. In a converstion with Richard Specht[48], he expressed the opinion that "in artistic creativity those impressions which eventually become final and decisive are almost exclusively created between the ages of 4 until 14, i.e. until the onset of puberty; everything later rarely contributes to the creation of a work of art". Mahler therefore ascribed to one of the fundamental tenets of psychoanalysis. According to Specht, Mahler must have made this statement in order to justify his propensity for "the romantic of the soldier". In Iglau, where he spent his childhood, an Austrian garrison was stationed. He learned hundreds of popular and soldiers' songs from the soldiers. Indeed it was said that people became aware of his musical aptitude from the fact that at the age of four he could sing more than two hundred such songs.[49]

According to the second theory, which originated with Max Brod[50], Mahler drew "from his own subconscious wellspring" of Eastern European Jewish Hasidic popular music. The Hasidic Jews liked to express their "joyful as well as their deeply painful experiences in march tempo (of course, in all the

various shades and characteristics*)*". Unconsciously Mahler seized upon this "old inheritance and carried it forward in his music".

Paul Bekker[51], the representative of the third theory, was of the opinion that Mahler's procedure was determined by his commitment to a specific form, the march, which he was drawn to up to the completion of the Sixth Symphony: "the march expressed the idea of progress, of movement, of creative activity, of continual change. Based on this conception, the march was integral to the essence of Mahler's symphonies".

However ingenious the above discussed hypotheses might seem, they do not offer an explanation for the phenomenon at issue here. All three do not take into account one factor of crucial importance, namely, the fact that Mahler was by no means the first symphonic composer who had a predilection for the march. Marziale or military music had served as a musical category since it had been introduced into classical symphonic music and so that Mahler could build on an existing tradition.

At the same time one should remember that military music – as Alfred Einstein[52] had demonstrated – was considered to be a common widely distributed concerto type. Giovanni Battista Viotti was among the first composers to make use of the form. Wolfgang A. Mozart's most famous contributions to the type are the two "military" piano concertos in E flat major, K. 415 and K. 467. Einstein does not hesitate to classify all Beethoven's concertos to this type (with respect to the Fourth Piano Concerto and the Violin Concerto he seems to go too far), and he rightly points to the importance of the "military" in the finale of the Eroica, in the Agnus Dei of the Missa solemnis and the choral finale of the Ninth. Einstein did not notice, however, that Beethoven created with the Marcia Funebre of the Eroica a new type of symphonic funeral march, which served as an inspiration for the later composers.

If one were to name the most important representatives of the marziale element in the field of symphonic music between Beethoven and Mahler, one would have to cite Berlioz and Liszt among the first. A direct line of evolution can be traced from them down to Mahler, and they must be taken into consideration if one is understand Mahler's use of marziale material in his symphonies.

Hector Berlioz was one of the most important composers after Beethoven, who delved in depth into the social function of music. Several of his greatest works owe their origin to national events. Both the *Requiem* (1837) as well as the *Symphonie funèbre et triomphale* op.15 (1840) are written for large military orchestras. The *Symphonie funèbre* was commissioned officially by the French government on the occasion of the transfer of the remains of those who had been killed during the July Revolution in 1830 for reburial beneath a memorial column near the Bastille.

Thus one must realize that certain innovations of Berlioz would be hard to imagine without the special occasions which gave rise to some of his works. At the same time it would be inappropriate to want to deny that other innovations arose as a result of his eccentricity and his affection for the grotesque and fantastic. Thus we must take it as a given that Berlioz had a special predilection a priori for marching and for the sound of the military orchestra. Alone the fourth movement of the *Symphonie fantastique* (*Marche au supplice*) provides a proof of this. What constitutes the originality of this movement is not just the enlargement of the percussion section, which consists of four timpani, cymbals and drum major, but rather the thematic and the instrumentation. The piece is scored basically for military orchestra. Of the strings only the cellos and double basses play, if at all, only a minor role. Of more importance is the feature that in some passages the sound of military orchestra is mimicked 'naturalistically '. With respect to the march of the brass (bar 62 ff.) one does at first not know which aspect is more admirable; the triviality of the themes or the coarseness of the instrumentation. One only has to listen to the sounds of the deep tenor trombones and the tuba!

That Mahler had Berlioz's *Marche au supplice* in mind as a model for the composition of the *Tambourg'sellen* is revealed by its instrumentation: the score is written for brass, a strong percussion section and the lower strings (cellos and double basses). The upper strings are omitted and as in Berlioz's march the horns are muted at the beginning. The funeral march of Mahler's Fifth Symphony is also mainly based on the sound of the military orchestra. It would not be an exaggeration to describe this movement as a composition for large military orchestra with strings.[53] The strings appear in only a few passages. In general, they fulfill a role only as an accompaniment (doubling of wind instruments). For long periods (for example in line 12) they are silent altogether. Thematically they are often aligned as a complement to the sound of the military band, as in the first trio (lines 7-11), whose accompaniment could be cited as a prime example of the 'trivial'. We would like to emphasize that Mahler's funeral march cannot be understood or appreciated without taking into consideration Berlioz's *Symphonie funèbre et triomphale* and the two examples of funeral music composed by Liszt, namely the *Tasso, Lamento e trionfo* and the *Héroïde Funèbre*.[54]

Turning our attention to Franz Liszt, we cannot imagine his output without consideration of the category of the marziale . It is one of the major genres of his music. March and march-like sections are found in most of his symphonic poems. Among these one would first cite his *Hungaria*, Liszt's symphonic tribute to the Hungarians, especially as it allows us to see Liszt's development of this particular type of march music. *Hungaria* presents no less than three different types of march movements: the Andante marziale, the funeral march

(at M) and the Allegro marziale (at N). What are the distinguishing features of the three types?

Of the features that distinguish Liszt's typus of Marcia funebre, the rhythm is the first to be noticed: a pithy, but faltering rhythm returns again in the manner of an ostinato as the 'accompaniment'. The melody is usually in a deep voiced instrument, it is very expressive (the rubrics *dolente, lamentoso* and *flebile* occur) and it stands out distinctly from the accompaniment. The processional music is frequently interrupted by recitative-like passages of dirge-like character. This type of march appears in the Marcia funebre of *Hungaria* (1854), in the Marcia funebre the *Héroïde Funèbre*, in the Andante maestoso from second movement (*Enttäuschung*) of the *Ideale* (1857) and for the funeral march-like conclusion of *Hamlet* (1858).[55]

It is more difficult to distinguish the types of the Andante marziale from the Allegro marziale. In *Hungaria* Liszt based both on the same thematic material. The main difference seems to lie in the tempo. Only by taking into account other examples can one arrive at a more precise definition. The Andante marziale is accompanied by regular smooth rhythms, while the rhythms of the Allegro marziale are more concise and sophisticated. And another, even more pronounced difference is that the Allegro marziale give preference to the percussion instruments of the military orchestra. Thus the Allegro marziale of the *Hungaria* is written for the timpani and the military drum to which is later added the triangle, cymbals and bass drum. The final movement of the E flat major concerto, an Allegro marziale animato, calls for, as the most energetic movement of the work, in addition to the drums, also cymbals and the triangle. The Allegro marziale in *Les Préludes* stands out from the others 'movements' of the symphonic poem, not least through the inclusion of the percussion, which apart from the timpani, calls for military drums and the bass drum.[56]

The march types described above are also naturally found in Liszt's piano music. Thus in the *Funérailles* (1849), a major composition of the *Harmonies poétiqus et religieuses* (GA II), the slow introduction is followed by a Marcia funebre, even if it is not designated as such. A *Marche funèbre* from 1867 in memory of the Emperor Maximilian I (*Années de pèlerinage, troisième année*) consists of an introduction, an actual Marcia funebre, a recitative and an apotheosis (*trionfante*). Even the *Great Concert Solo* (1849) consists of an *Andante, quasi Marcia Funebre* (GA II, 8). The type of the *Andante marziale* then occurs in the *Canzonetta del Salvator Rosa* (*Années de pèlerinage, deuxième année*) in its purest form. The march from the composition *Scherzo and March* (GA II, 8) of 1851 begins with an *Allegro moderato, marziale*.

Connoisseurs of Mahler's music will therefore not be surprised to learn that the three march types used by Liszt discussed above are equally important in Mahler's marches.

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Representative of the type of Marcia funebre in Mahler's Lieder are the fourth journeyman's song *Die zwei blauen Augen von meinem Schatz* and the *Wunderhorn* song *Der Tambourg'sell*. In the autograph of the orchestral version of the journeyman's songs (formerly owned by Dr. Hermann Behn, now owned by the Mengelberg Foundation in Amsterdam) the fourth song is accompanied very significant by the rubric: "in the tempo of a funeral march - with a mysterious and melancholy expression". (The printed score omits the indication "*in the tempo of a funeral march*".) Among his symphonic movements the type of Marcia funebre can be recognized in the funeral march of the Fifth Symphony and in the section of the "*Abschied*" which is accompanied by the rubric "*schwer*" (lines 38-48). Funeral march-like rhythms and passages can also be found in the first movement of the Third and the first movement of the Seventh Symphony (see Chapter XII, 1).

Whoever wants to be convinced, as to what extent Mahler was committed to Franz Liszt in his symphonies, only needs to compare the C-sharp minor passages from the funeral march of the Fifth Symphony with the Andante mestoso from the second movement ("*Enttäuschung*") of the *Ideale* of Liszt. The relationship is not only in the common movement type (Marchia funebre), but is even more apparent in the numerous melodic 'reminiscences'!

Mahler himself designated the slow movement of the First Symphony as a "funeral march" or "funeral accompaniment". It is a Marcia funebre - admittedly with one notable difference: instead of the typical steady rhythms Mahler introduced here a heavy monotonous pounding timpani rhythm, the rhythm of pendulating fourths. With respect to this movement one could say that he – as in some of Bruckner's funeral marches – united the Marcia funebre with the basic features of the Andante marziale. Is it just a coincidence that the rhythm of Mahler's Andante marziale also underlies Liszt's *Hungaria*[57]?

The march-like passage in the first "night-music" section of the Seventh Symphony exemplifies the type in the Andante marziale in its purest form. Mahler accompanied the music with the rubric Andante molto moderato (l. 72), and he provided the score at intervals with reminders not to accelerate the tempo.

Finally the type of the Allegro marziale was made use by Mahler quite frequently. Among the most prominent examples are in the *Revelge* and *The Sentinel's Night Song*, the march in the first movement of the Third and the outer movements of the Sixth. The scores of all these compositions require more or less the employment of the percussion of a military orchestra: timpani, bass drum, triangle, snare drum, cymbals, as well as the tam-tam in several passages. The 'death march' in the finale of the Second Symphony could also be classified as an Allegro marziale which introduces in a longer section (10 bars after line 15 to line 20) march-like variations on the most important themes of the movement (the Dies-irae theme, the resurrection theme, the horror motif , the cross motif and the eternity theme). With respect to Mahler's relationship to Liszt, it is

significant that the beginning of this section (see table XVI) has similarities with the Allegro marziale from *Les Préludes*. The percussion group of Mahler's 'death march' deviates however from the usual type of Allegro marziale: the great and the small drum are not involved. Mahler makes do with timpani, tam-tam, triangle and cymbals.

Finally, a few comments about Bruckner. First, it should be emphasized that the march-like passages in his symphonies differ from those of Liszt. For the type of Allegro marziale one can cite at least one example in Bruckner: the beginning of the First Symphony. (Mahler linked the first movement of the Sixth directly to this beginning.) It is worth noticing, however, that Bruckner does not require here nor anywhere the obligatory type of percussion instrumentation used by Liszt and Mahler. Several march-like movement passages in Bruckner can be classified as a sui generis type, which is characterized by the 'mixing' of the Marcia funetre and the Andante marziale – as in the slow movement of Mahler's First Symphony. Features of this mixed type can be found in the second movement of the Fourth Symphony (tempo marking: Andante quasi allegretto), the beginning of the expressive section in the finale of the same symphony (bars 93-104 and bars 413-430)[58], and the third thematic complex in the Adagio of the Sixth (bars 53-68 and bars 133-140). The close relationship of all of these passages with Mahler's music cannot be mistaken.

A special case is the end of the Adagio of Bruckner's Seventh Symphony. The tubas and horns section at X, which was apparently written in the wake of news of the death of Richard Wagner, was conceived by Bruckner as "Funeral Music in memory of the Master's passing".[59] It seems so far to have been overlooked that Bruckner's funeral music resembles Wagner's funeral march on the death Siegfried (*Götterdämmerung*) in the design, structure and expression. Bruckner's funeral music is divided into three sections. The section for tubas and horns in C sharp minor (at X) is followed by a threnody for violins, flutes, oboes and clarinets (at Y) and in conclusion at Z there is again a section for tubas and horns in C sharp major. Similarly Wagner ends the threnody of his funeral march played by soloists of woodwinds (English horn, clarinet, oboe) and the horns with a section for tubas. And another parallel: The sluggish rhythm of the pizzicato cellos and double basses in Bruckner (bar 199) can on closer inspection be recognized as a funeral march rhythm which resembles Wagner's timpani rhythm (see table LXIV).

2.   Entombment music: "like a very slow funeral procession"

The instrumentation of Mahler's funeral marches differ technically from his other marches in one aspect: they are the only marches that require the tamtam. Beginning with this observation and investigating all similar passages in his symphonies which call for the tamtam made it clear that Mahler in many cases employed this instrument not as a coloristic element but rather deliberately as the sound symbol of death, especially to characterize the departure of the dead (and death). The specific semantics of the passages in question must await the discussion of the individual symphonies at the end of this study.

It should be noted as well that several of these passages have common traits quite apart from the sound of the tamtam. They all could be classified as belonging to a certain type, which we will refer to as "entombment music". This type is related to the funeral march as well as to the chorale, but this is not always the case and therefore the relationship cannot be taken as an identifying trait. It must first be noted that Mahler rarely uses the tamtam in his funeral marches and when he does it is always in an economical and targeted manner. In the funeral march of the Fifth Symphony (rubric: "*at a measured pace. Solemn like a funeral procession*") it is heard only three times at the end (line 19). The deep chorale-like sounds of the winds shape the character of the passage accompanied by the rubric "*schwer*". Also in the *Tambourg'sell* the tamtam is heard only once (in second part of the song with the rubric "*significantly slower*"). It is more frequently heard in the funeral march of the song "*Abschied*" (*Lied von der Erde*, no. 6). A special case is the slow movement of the First Symphony (*Todtenmarsch in "Callots Manier"*). In the actual funeral march-like parts of the movement (lines 1-5 and 1 bar before line 17 to the end) Mahler introduced the tamtam regularly and incessantly or at least at regular intervals.

Both the coda of the exposition of the first movement of the Second Symphony (line 6) as well as the coda of the recapitulation (lines 24-27) exhibit the characteristics of entombment music. Both passages are based on recurring ostinato rhythms played by the basses or drums in the manner of a procession. Over this foundation the brass intone striking motifs and /or threnodic melodies which resemble sighs. The tamtam determines the nature of the sound (see table XVII). The character this movement-type is aptly mirrored in the marking "*schwer*" (in the coda of reprise).

Requiem-like traits are also featured in two passages with the rubric "*schwer*" in the finale of the Sixth Symphony. The first is found in the slow introduction (line 106) in the already discussed austere brass chorale. The other section, at the end of the symphony (lines 165/166) is a similar austere passage in which the long notes of the trombones and the bass tuba are underscored by the drum-roll of the timpani. Both passages do not involve the tamtam.

Characteristics of the requiem appears in the first movement of the Ninth Symphony at the end of the development (bars 319-336, beginning after 3 bars after line 15). Mahler's performance instructions read: "drawn out" and later "like a ponderous procession". As in the two passages in the Second Symphony, the section is built upon the ostinato rhythms of the basses and the timpani. The motifs are distinguished by isolated sighs in the winds complemented by signals of the muted trumpets. The tamtam is called upon twelve times (see table XVIII).

3.   Pastorale

The genre in Beethoven, Berlioz, Mendelssohn, Liszt, Bizet, Brahms and Mahler

> C'est dans les sons que la nature a placé la plus forte
> expression du caractère romantique.
> SENANCOUR, *De l'expression romantique*
> *et du ranz-des-vaches* (OBERMANN, Lettres)[60]

> "If the music imitates the underlying drone of fifths characterstic
> of the bagpipe or melodies reminiscent of the alphorn, then a
> listener will not be mistaken in assuming that the composer
> intended to convey a pastorale atmosphere…"
> W. A. AMBROS
> *Die Grenzen der Musik und Poesie*
> (Leipzig 1855, p. 70).

People have become so accustomed to viewing the pastorale as a typical manifestation of the 18th century that it would certainly cause astonishment if one were to maintain that the genre was also among the most important categories of the 19th century. Symptomatic of this state of affairs is that the history of the instrumental pastorale in musicological encyclopedias actually stops with Beethoven's Pastoral Symphony.[61]

First and foremost one has to realize that the Romantic period had a different relationship to nature than the age of reason. Rousseau's philosophy of nature experienced in the 19th century a completely new reinterpretation. If his call "Back to Nature" provided an incentive to search for a lost originality, then in the Romantic period it implied a feeling for the natural as expressed in a longing for deeper, more creative experience. It was interspersed with religious inclinations. The rise of man in nature lay at the heart of the romantic Gospel of nature, especially in France.[62]

It would be a miracle if the new orientation did not manifested itself in the music of the time. The fact is that the musical romanticism opened up new artistic means with which creative artists could give an appropriate expression to their understanding of nature. That the traditional movement type of the pastorale was taken up and refined does not detract from their creative work. The development of art is mostly evolutionary.

The key features of the pastoral type of movement can be exemplified with Beethoven's Sixth Symphony. Among these features are diatonic major key melodies, which could take on many forms but tended towards the pentatonic, exclaiming triadic motifs ('alphorn calls') and phrases colored by the Lydian mode ('paganismus'), drawn out burden-like passages in the basses, single and

double pedal points, which recalled the so-called bagpipe fifths, representing thereby the ancient musette and finally the sound of the woodwinds as a dominant color. The pastorale type is not bound by a specific time signature or a predetermined tempo.

Three movements in the Pastoral Symphony have these characteristics: the first movement, the scherzo (only partly) and the finale. It is probably not necessary to cite specific examples of burden-like basses or the instrumentation. In contrast, it should be pointed out that the 'alphorn theme' of the pastorale melody recalling the shawm already appears in the opening movement at the end of the exposition (bars 115-127) where it is anticipated by the woodwinds (see table XIX) and that it is precisely at this point that the violins introduce passages colored by the Lydian mode. Also one other peculiarity must be noted here. The very slow harmonic changes in the Sixth give rise to long harmonic sections yet Beethoven does not shy away from contrasting shifts of tonality as in the development of the opening movement between B flat major and D major or between G major and E major. With good reason, it has been said that Impressionism had its origins in Beethoven's Pastoral Symphony.[63]

Adolf Sandberger was the first to have illuminated the historical origins of the pastorale.[64] Willi Kahl was the first to examine thoroughly in a fundamental study Beethoven's conception of nature.[65] Sandberger provided evidence that Beethoven's 'alphorn theme' in the finale of the Pastoral was a pastorale topos, which could be traced back in German music to the capriccio *Der steyrische Hirt* by Johann Kasper Kerll (1627-1693). Wolfgang Heinz Hamann[66] has also shown that Beethoven's 'pastorale theme' already appeared almost note for note in a piano fantasy of Mozart's pupil Franz Jacob Freystädtler which was published in 1791.

Undoubtedly, the most important contribution to the genre of pastorale was Beethoven's Sixth, but this was not the only one. In other works Beethoven repeatedly made references to the genre, such as the piano sonata op. 28, which later received the epithet "pastorale"[67], the finale of the Violin Concerto op. 61 and the trio of the scherzo of the Ninth. Strangely, all the above mentioned movements are in D major.

Of the symphony composers of the romantic Berlioz and Mendelssohn cultivated the pastorale genre. A prime example is the *Sérénade* of the *Harold Symphony* (1834). Berlioz[68] himself claimed that he was inspired by folkloric songs of Italian shepherds from Campagna when composing the melody of the Allegro assai. Typical pastorale features can be identified – at least for short passages – in the second scherzo-like movement of the *Scottish Symphony*. The pentatonic colored main theme in the woodwinds may reflect impressions which Mendelssohn remembered from Scottish folklore.[69]

Liszt had a special fondness for the pastorale. Schering[70] placed him right next to Mendelssohn, Berlioz and Wagner at the forefront "among the nature poets of the musical Romantic". Liszt's piano works are particularly rich in images of nature as well as in musical passages having pastorale implications. For example the pastorale of the first book of the *Années de Pèlerinage* (GA II / 6) is a prototypical piece. Typical features of the genre appear then in the pastorale allegretto from *Les Préludes*. Sustained sounds and burden-like basses, pentatonic phrases and "call" motifs resembling the shawm in the woodwinds are characteristic. "Voices of nature" and "recollections of quiet of country life" serve as key elements in Liszt's program in this movement, the third of the symphonic poems (see chapter VII and table XX). Even the Quieto e sostenuto assai from the first movement (*Aufschwung*) of *The Ideals* has several pastorale-like passages. The unusually colorful section illustrates the following verses from the poem of Schiller:

> Then each tree, each rose seemed alive to me,
> Then sweetly sang the waterfall for me,
> And e'en the soulless in that hour
> Shared in the heavenly bliss of my life.

Finally two pastorale movements are the first part of the oratorio *Christus* can be added, namely the *Pastorale* (no. 2) and *Shepherds at the Manger* (no. 4).

Movements with a pastorale flavor are frequently also met in the works of Georges Bizet, a master of character pieces and it can be shown that they had a considerable influence on Mahler. Several of Mahler's symphonies clearly show that he had studied not only *Carmen*, his favorite opera, but also Bizet's suites from the incidental music to *L'Arlésienne* and the Fantaisie Symphonique *Souvenirs de Rome*[71] very closely. Bizet's model can be precisely identified in specifics features of the instrumentation, the dynamic disposition of the sound in certain movements, in characteristics of rhythm, in the musical approach taken in some movements (Bizet's second suite to *L'Arlésienne* contains an Adagietto for String Orchestra in F Major!) and in the 'cultivation' of certain genres such as the pastorale. The very first piece of the second suite to *L'Arlesienne* Suite is a typical pastorale. His "Trio", an imitative duet between flutes and English horn over a burden played by the bassoons drew Mahler's attention. Even in the first suite to *L'Arlésienne* there is a typical pastorale. The trio of the Minuet can be cited as one example.

Pastorale elements also played a role in the symphonies of Brahms. This applies first of all for the D Major Symphony, which has been interpreted by some of the older researchers as a Pastoral Symphony. Erich Schenk[72] pointed out that both the wide sweeping main theme of the first movement as well as the obligatory theme of the basses can be perceived as a stylization of an ancient

alphorn call. To avoid misunderstandings, however, we must add that the original conception of the movement as a pastorale is not particularly convincing. The situation is different with respect to some sections from the Third Symphony. The secondary theme of the first movement (bars 36-46 and bars 149-155) with the rubric *grazioso* bears all the characteristics of the archetype (see table XXI).

Incidentally it might be mentioned here that pastorale elements can often be observed in the tone poems of Richard Strauss. Shawm-like 'alphorn calls' are used here to characterize rural and alpine backgrounds, such as in *Don Quixote*, op. 35 (variation II and X), in *Ein Heldenleben*, op. 40 (lines 99-101), and especially in the *Alpine Symphony*, op. 64 (*auf der Alm*), 3 bars before line 51 until line 56 and line 116.

If we now proceed to a consideration of Mahler's symphonies, then we need to emphasize first of all that the pastorale is one of his basic characteristics. The type is represented in almost all his symphonies – only in the Eighth and in the Tenth does the type not appear. Despite all the differences in design in all these examples the typical features of the pastorale are so pronounced that there can be no doubt about identifying the pastorale passages. The term pastorale is however not used by Mahler. More frequently the passage in question are accompanied by rubrics such *gemächlich, behaglich* or *comodo*.

An early and good example of the topos is the second journeyman song *Ging heut' morgens über's Feld*. The first three of its four stanzas reflect scenic impressions. There is talk of the singing finches, of flowers in the fields and of the beauty of the sparkling world. Certain aspects of the presentation reveal that Mahler was thinking about Beethoven's Pastoral when composing this song (the key is D major and the rubric reads "in a more leisurely manner"). One should note as well the slow changes of harmony, the abrupt switch from D major to B major (6 bars after line 13) and the multiple repetitions of the "natural fourth". These features can be compared to the opening movement of Beethoven's Pastoral, bars 105-135).

Mahler took over the music of the first three verses of the second *Wayfarer* song in the first movement of the First Symphony. He drew on this song for the entire exposition as well as for parts of the development and the reprise. Thus for long sections the pastorale character of the song is maintained. Its relationship to Beethoven's Sixth is quite apparent because Mahler introduced Beethoven's cuckoo into the movement. One can compare the passages in lines 4 and 5 of Mahler's First with the cuckoo in the opening movement of the Pastoral, bars 187-190 and bars 233-236.

The character of two sections in the first movement of the Second Symphony is thus pastorale. The first section can be found in the development (lines 8 to 4 bars after line 9), based on a 18 bars long held fifth sound (e / b)

beginning with an English horn motif that resembles the magic sleep motif from Wagner's *Die Walküre* and it is repeated later (see tables XXII / XXIII). The main melody wanders from the oboe to the clarinets and later to the horns. It is noteworthy that this pastorale episode returns in the recapitulation. Here it is joined directly onto the second subject, with whom it forms a coherent unit (10 bars after line 22 to line 24). Several elements now appear in transfigured form. The drone on the fifth e / b and the motif of the English horn are not affected.

In the summer Mahler composed the main part of the scherzo of the Third Symphony which is based on the music of the *Wunderhorn* song *Ablösung im Sommer*. The middle section of the scherzo and trio, however, was newly composed. The transition is so successful that even the experienced listener, who is not aware of the genesis of the movement, must think that Mahler wrote the whole composition all at once. Our interest here is in the central part of the scherzo (lines 4-6 and lines 23-25) because it has a pastorale character. The long chains of trills give rise to connotations of a flock of birds (see chapter XVII). Shawm-like triad motifs of the oboe and the clarinet provide the background sound. The flutes accompany this with passages in the Lydian mode (as in Beethoven's Pastoral Symphony!), while violins play an accompaniment with a series of fifths and fourths based on pentatonic scales.

The finale of the Fourth Symphony, *Das himmlische Leben* (= The Heavenly Life), can serve as a model for a pastorale. Especially the first and last verses of the Lied are set in the most genuinely pastorale style. Themes, motifs, sounds – everything fits into the type (see table XXIV). Both the movement and the style help us to realize, therefore, that Mahler's paradise is here presented as an Arcadian landscape and the *musica coelestis* of the 'angelic voices' is represented as a pastorale. The music of the middle stanzas is (lines 4-11), however – corresponding to the text – touches on other areas. The pastorale character gives way to some 'painful' minor accents and to some coloristic effects.

For Mahler's conception of the Fourth symphony, it is significant that due to its special semantics the theme of his pastorale theme of paradise is already anticipated in the three opening movements. It appears in these sections in various stages of metamorphosis and partly with a completely altered physiognomy. The pastorale character of the theme is retained at its appearance in the epilogue of the opening movement (line 7 and in the reprise bars 323-338) and especially in the A major section of the development (lines 10 to 6 bars after line 11). Also in the D major section of the scherzo (line 11) it retains its character. However at other points in the first movement it occurs in an almost distorted form, as for example in bars 148-154 (cellos and double basses) and in the solemn E major section of the slow movement (line 12) there is no trace of the pastorale. At this point (bars 320-323) the "head" of the theme and the accompanying obligatory counterpoint by the horns and trumpets are intoned

pesante. A comparison of this section with the parallel section in the finale bars 142-144 (1st violin and singing voice) helps us to understand Mahler's intention was to allow the *musica coelestis* to glow in all its radiance in the slow movement.

In the Fifth Symphony, the pastorale is not represented as a genre. Only in the rondo-finale does the treatment of main theme have a pastorale tinge (see table XV). In contrast there are two sections in the Andante of the Sixth Symphony which exhibit the typical features of the pastorale: the E major section (lines 54-54), and the A major section (line 57). At the gloriously orchestrated E major section Mahler introduced the sound of the cowbells (see table LXXX). For the symbolism of this sound see chapter XXVI, 6.

Pastorale characteristics can be found as well in the first secondary theme in the rondo-finale of the Seventh Symphony. This theme is similar to the paradise theme of the Fourth Symphony and depending on the formal requirement of the movement it is repeated several times in different keys and disguises: 3 bars before line 230 to line 233 in A flat major (with the rubric: "*behaglich*"), line 242 to 5 bars after line 246 in A minor, 1 bar after line 249 until 3 bars after line 250 in A minor (in this case, however, cadencing in C major) and finally 2 bars before line 262 until line 268 in G flat.

Two further examples are two songs from the *Lied von der Erde*: *Von der Jugend* (no. 3 = Of Youth) and *Von der Schönheit* (no. 4 - Of Beauty). In no. 3 ("*behaglich heiter*" = pleasantly cheerful) the pastorale character is consistently maintained, in no. 4 (*Comodo dolcissimo*), however, only the outer sections reveal a pastorale coloring. Also a verse from the *Lied des Verfolten im Turm* (= Song of the Persecuted in the Tower) can be described as a pastorale, namely the sixth stanza *Mein Schatz, du singst so fröhlich hier, wie Vöglein im Grase* (= My darling, you sing so cheerfully here, as if you were a bird in the grass).

We have reached the end of our discussion about the pastorale in Mahler's symphonies. To round out our discussion we need to add two things. Again it should be stressed that Mahler in many cases blended pastorale characteristic with Ländler characteristics. Instructive examples of this appear in the scherzi of the First (lines 7-11), Fourth (lines 3-4, lines 9-11) and Ninth Symphonies. On the other hand it must be pointed out that Mahler's special fondness for the pastorale was already quite pronounced even in his youth. We have two witnesses for this. Paul Stefan[73] told the following anecdote. The young Mahler was once with friends and they came across a shepherd with his flock. His question about what a shepherd was likely thinking was answered by one of his companions with the flippant remark: "about the next church jamboree!" Mahler then replied angrily: "The shepherd lives with nature, he dreams and thinks; it all has a meaning ...". The other witness is the following passage from the letter to Josef Steiner, June 19, 1879 (GMG 9 f):

"Six clock in the morning! I was out in the pasture, and I sat with Fárkas, the shepherd, and have listened to him playing his schawm. Oh, how sad was the sound of the folk tune that he played and yet so passionately ecstatic."[74]

Gustav Mahler believed that a work such as Beethoven's Pastoral Symphony could only be understood by those who have a special relationship with nature (BL 100 et seq.).

4. "Music from afar"

Orchestra in the distance or illusion of an orchestra in the distance

> "But the last ray of the sun soon disappeared behind the mountains, and now the twilight spreads its glow over the area, then *from far away*, a rough deep voice cried out..."
>
> E. TH. A. HOFFMANN
> *The Golden Pot,* Vigilie 1 (SW I. 184)

Of the major orchestral works by Mahler two stand out with a particular characteristic. *Das Klagende Lied* (= Song of Lamentation) and the finale of the Second symphony require at certain points a small remote orchestra in addition to the full orchestra. Taking the underlying text into consideration it is not difficult to assume that Mahler had a specific programmatic and dramatic intention in mind with the introduction of the remote orchestra.

In all the rest of Mahler's symphonies a remote orchestra is not called for. It is therefore all the more surprising to discover that the idea of music being heard in the far distance played a role in the musical idea of staging a remote orchestra. As an illustration we should recall that in certain parts of the Third, Sixth, Seventh, Eighth and Ninth Symphonies, Mahler treated the large orchestra as if it were a remote orchestra. Comparing all these sections together, then it became clear that one was dealing with a type of movement which must be deemed to be one of the most original ideas of Mahler and be classified as unique in the entire symphonic literature. Our study certainly must begin with the sections for a remote orchestra in the *Klagendes Lied* and in the Second Symphony.

First a few remarks on the *Klagendes Lied*. The original version of the *Märchenspiel*, completed on November 1, 1880, consisted of three parts which were provided with the following titles: *Waldmärchen*, *Der Spielmann* and *Hochzeitsstück* (= Forest Legend, The Minstrel and Wedding Piece). In a first revision, from 1888, the work took on the shape of a two-part cantata: Mahler omitted the *Waldmärchen*. The version printed in Vienna in 1899 by Weinberger contains only the parts *Der Spielmann* and *Hochzeitsstück*.[75] The problems of the genesis and the different versions of the work have been studied in detail by Donald Mitchell[76] and Jack Diether.[77]

The ballad-like text of the *Waldmärchen* was composed by Mahler himself, based on stories and fairy tales of the Brothers Grimm and Bechstein. The text of the *Waldmärchen* was first published by Hans Holländer.[78] Mahler sent the text of the poem under the title *Ballade vom blonden und braunen*

Reitersmann (= Ballad of the Blonde and Brown Horseman) to his childhood friend Anton Krisper.

The first part of the fairy tale, *Waldmärchen*, includes nine stanzas. *Der Spielmann* and *Hochzeitsstück* are composed of five or seven double stanzas, each consisting of a quatrain and a tercet. The individual stophes were linked together with the refrain *O Leide, weh, o Leide*! (= O sorrow, sorrow! O woe!). In the two stanzas (the first two of the *Hochzeitsstück*) the refrain is: *O Freude, heia, Freude*! (= O joy, heia! Joy!).

The wedding piece begins with a magnificent festive opening reminiscent of Wagner (lines 39-42).[79] It is played by the full orchestra and serves as a prelude to the first verse of the choir (lines 42 to 4 bars after line 46). From the text the listener learns that the loud music originates from a brightly lit castle. Then in 4 bars before line 47 the music of the remote orchestra is introduced. It is composed of a small wind band which must be stationed in such a way "in the distance" that when "the musicians blow ff, they are heard only as p".[80] One notes that together with the music "in the distance" a choir or individual voices from the full orchestra are heard. At that point (2 bars before line 48)[81], the "distant music" is rudely interrupted by the dramatic intervention of the large orchestra.

What function does the remote orchestra have? To address this question, we must take the plot and the drama of the work into consideration.
The minstrel is playing in the forest. He discovers the grave of a knight who was killed by his brother – in a dispute over a flower. From the dead men's bones he carves a flute, which as a "singing bone" (Grimm) reveals the murderer and the motive for the deed. Meanwhile in a castle wedding music is being played for the marriage between the queen and the murderer. The text of the second verse reveals the festive music of the large orchestra and the music "in the distance" heard later celebrate the wedding. The introduction of the orchestra in the distance indicates a change in the scenario: The loud 'jubilant' wedding music fades into the distance; the village musician enters the royal hall and accuses the murderer. By the third verse, the drama resumes its course.

The drama of the wedding piece arises from the polarity of the contrast between the magnificent 'world' and the inner drama. The castle symbolizes the 'world', the minstrel is the witness to the inner drama. The confrontation of the remote orchestra with the full orchestra carries this antithetical statement: The wedding music of the remote orchestra is assigned to the level of the castle; the large orchestra itself – from line 53 – reveals the inner drama. This shows that Mahler wishes to express a very essential concept by the staging of the remote orchestra in the *Klagendes Lied*: remoteness and withdrawal from the world as the central spiritual and intellectual content of his music.[82]

The remote orchestra is embedded in two sections in the finale of the Second Symphony Orchestra. The first appears in the middle of the second of the recitative-arioso passages which anticipate the idea of faith (lines 22-25, see table XI). Here Mahler united both a remote orchestra consisting of trumpets, triangle, cymbals and big drum "stationed in the far distance" and the large orchestra. The instructions for the conductor read: [the remote orchestra] "must play so softly that it does not affect in any way the character of the melody of the cellos and the bassoons. The author was thinking at this point of barely audible scattered sounds of music being carried by the wind." Other instructions such as "already a bit louder" and (4 bars before line 25) "here the music should be more audible" indicate that the barely audible far-off music comes nearer. From other remarks of Mahler it is clear that the distance sounds of a trumpet fanfare announce the apocalypse.[83]

The second time that remote orchestra is introduced is just before the intonation of the resurrection chorale by the chorus (lines 29-31, cf. table XXXVII/XXXVIII). Mahler marked the passage in the autograph (now in the Willem Mengelberg Foundation in Amsterdam) with the title: "*Der grosse Appell*". [84] The remote orchestra consists of four trumpets, four horns and timpani. This group is enlarged with three instruments of the larger orchestra: a large drum, a flute and a piccolo. Mahler's explanations and the semantic analysis of the motifs help us understand the mearning of the "music from afar". At the beginning the brass intone in unison the "crier in the desert" (cf. line 3). The double call of thirds by the trumpets in bars 452/453 can be identified as the call of an owl (*bird of the night*, cf. chap. XVII and table XXXVI). In bar 454 the flute should sound "like the song of a bird". In bars 455-459 four trumpets, which must "be directed in opposite directions" blast forth a fanfare. Mahler's explanation of the passage (AME 269) reads: "the trumpets of the apocalypse call." In bar 459 the flute and piccolo imitate the song of a "faraway nightingale". Mahler's interpretation was that "amidst the terrible silence we think we can hear a nightingale far far away, like the last zittering echo of the end of life!" The voice of the crier in the desert and a signal of the trumpets in bar 465 once again accompany the song of the nightingale.[85]

Mahler's performance instructions for this section indicate that the remote music should begin softly, come nearer and then should fade away in the distance. The remote orchestra with the four trumpets positioned "in opposite directions" indicates as well that Maher was employing a 'stereophonic' concept of sounds which Berlioz had already experimented with in his *Requiem*.

We can now consider the movement-type "music from afar". We have already mentioned that Mahler in the Third, Sixth, Seventh, Eighth and Ninth Symphonies treated the orchestra at specific points in such a way as to give the illusion of a remote orchestra. Most of the passages in question seem like unreal,

atmospheric sounds. The dynamic seldom leaves the *piano*-sphere; on occasion it calls for up to three or four times *piano*. The harmonies and instrumentation is exceptional. One special technical feature is that the basses generally do not participate but remain silent for long periods. (For the phenomenon of "Basslosigkeit" (absence of the basses) in Mahler these sections offer excellent examples.) [86] Broad harmonic surfaces, drone-like voices, tremolos and trills in the strings and woodwinds often determine the image. The strings are usually muted; the usual instructions are on the fret board, and (rarely) on the bridge. In the clarinets the echo tone is often called for. For harps the plectrum is required. Most of the central motifs of the movement in the winds as well as the signal and call motifs appear as if enveloped in a veil of sounds.

The features described above can all be observed in the first movement of the Third Symphony. The second development section of this movement (5 bars before line 35 until line 39) can be described as a model for the type. The rubric 5 bars before line 36 is noteworthy: "*ppp! As from very far away*".

Characteristic features of the type can be identified in no fewer than seven passages in the Sixth Symphony. The first three passages appear in the first movement, i.e. in the development (lines 21-25), in the recapitulation (lines 33-35) and directly before the coda (line 41). The other four passages appear in the slow introduction of the finale, or specifically at the beginning of the exposition (lines 104-106 and line 107), at the beginning of the development (lines 120-123) and at the beginning of the recapitulation (lines 144-147). Characteristically for the sound, all images in these sections are colored by the celesta and / or the harps. In addition – in four sections – we heard the sounds of the ringing of cowbells or deep bells. According to Mahler's instructions they should always sound as if "in the distance".[87]

No less characteristic is the example provided in the first part of the Eighth Symphony with the orchestral interlude at the beginning of the development (lines 23-30). The passage is based on organ-point drones of the cellos, double basses and the organ on the tones B, A sharp and E flat and then again A sharp. A deep bell sound resounds twelve times, and after a long break three times. The motifs of the leading winds come from the main theme of the movement. As in the corresponding parts of the Third and Sixth, so here, the sound is colored by impressionistic touches.

A typical example of "music in the very far distance" appears in a section in the *burlesque* of the Ninth Symphony, i.e. the very strange D major episode (bars 347-521) which appears within the movement like a foreign body. It follows on the third fugato and suddenly the music is interrupted by a cymbal crash and a tremolo in the violins and flutes repeating the note A three times. The dynamics, timbre, sound - everything imparts to the episode characteristics of the dream-like, ethereal, the unreal. A thematic conflict develops between the two ideas of

the third fugato[88], the cantus firmus-like motif and the ornamental 'turn' design. Mahler treats the latter in a manner that recalls the slow motion replay technique. Besides the previously discussed typical examples one encounters in Mahler's symphonic works several passages that in addition to the characteristic features of the movement-type "music from far far away" also incorporate individual features of other characteristics.

Three sections in the first movement of the Third Symphony offer instructive examples. The first section (lines 11/12) begins with a 16 bar chorale in the woodwinds. It is accompanied by a lyrical melody as a counterpoint played by an oboe and then the solo violin. Muted strings 'accompany' this *ppp* on the bridge with trill-like tremolos which are characteristic for "music from a great distance". This is followed at line 12 by a sudden *fortissimo* fanfare of clarinets (Mahler inserted at this place in the autograph the title *The Herald*) which the bassoons, horns, cellos, double basses and drums bring to a conclusion. The dynamics decrease rapidly to *pppp*. The second section (lines 18/19) is a shortened and modified repetition of the first section. In this section the instrumentation (with the harp) resembles "music from great distance" even more distinctly. The third section finally (lines 20-22) provides a prototypical example of a characteristic march heard far far away in the distance.

The posthorn episode in the scherzo of the Third Symphony (lines 14-17 and lines 27-30) is also – as already remarked in connection with line 14 – an example of "music from far away". A specific feature of this section is that there is no development of the motifs. The posthorn, accompanied in part by an 'obligato' accompaniment, presents a fairly long cantilena-like melody.

Some of the traits of the topos "music from a great distance" appear as well in two remarkable thinly orchestrated sections in the first *Night Music* episode of the Seventh Symphony: i.e. the two 'digressions' 4 bars before line 84 until 4 bars after lines 85 and 95. Calls with reverberations and echoes of voices from the march determine the sound. At line 84 there appears a bell sound "in the far distance".

Finally an affinity for the "*music in the distance*" can be identified in a section of the second *Night Music* of the Seventh Symphony (lines 187-190).

Now that we have reached the end of our investigation, we need to discuss two questions. The first is: is this type of movement used by Mahler to be regarded as absolute music or do the sections discussed above have a programmatic significance? This will not be difficult to answer when two things are taken into consideration: first, it is clear the use of a remote orchestra in the *Klagendes Lied* and in the finale of the Second Symphony arise out of programmatic intentions. In addition Mahler used the cowbells as a symbol suggesting "loneliness far from this world" (see chapter XXVI, 6).

The second question is whether parallels for Mahler's movement-type can be found in earlier music. The answer must be 'yes'. Examples of "music from great distance" can be found in Wagner's *Tannhäuser* and in Schumann.

In the Venusberg scene from *Tannhäuser* a choir of sirens is associated with a wind orchestra consisting of two flutes, clarinets and bassoons which is positioned "in the theater, very distant in the background". The siren choir and wind orchestra are – according to Wagner's stage directions – to sound as if "far away". This music relates to the words of Venus: "out of the blessed distance sweet sounds are enticing". Several details in Mahler's score for the *Klagendes Lied* (see especially the motifs and the rhythms of an orchestra in the distance) reveal that he composed the wedding music while recalling Wagner's Venusberg scene.

Attention should also be directed at two piano pieces by Schumann which Mahler surely knew: *Wie aus der Ferne* and *Stimme aus der Ferne*. *Wie aus der Ferne* (= As if from a distance) is the title of the seventeenth of the *Davidsbundliertänze* op. (1837), which in its first part (in B major) is entirely composed of the magical sound of underlying voices and poetic echo formations. A voice heard in the distance appears in the final of the *Novelletten* op. 21 (1838), more precisely in the D major trio, a hunting piece that begins loudly and finally gently fades away. It is a cantilena-like melody with long drawn held notes that recalls the slow motion technique and it seems to have been introduced without any connection to the dotted haunting rhythm of the left hand. The parallelism to the posthorn episode in the scherzo of the Third Symphony of Mahler is obvious.

Schumann must have been fascinated by the idea of "music from a distance". This is revealed not least by his remarks on certain passages in works by other composers, which he believed expressed this idea. In his review of the *Symphonie fantastique* he specifically drew attention to the soft drawn out horn tone in the development of the first movement (after the three-bar general pause) which he described as (GS I, 72): "A horn in the far distance." The horn passage in the second movement (bars 148-159) of the great C major Symphony of Schubert seems to have also impressed him deeply. It is the only passage in this Andante con moto that he specifically drew attention to in his review of the symphony (GS I, 464): "There is also a passage where there are calls like a horn from a distance; it seems to come down to us from another sphere. Here everything is listening, as if a heavenly guest were passing through the orchestra".

We were finally state that the characteristics and the fantasy of Mahler's type of music in the distance seems even stronger if the examples cited in Wagner and Schumann are drawn upon for comparison.

5. Crescendo (and diminuendo) as sound dynamics expressing musical form: March music from afar, gradually coming closer

Nine examples in works of Mozart, Beethoven, Berlioz, Wagner, Bizet, Mahler and Debussy

Among the most original features of the *Harold Symphony* (1834) is without doubt the conception of form created by the march of the pilgrims as *a crescendo-decrescendo* arch. The music begins in triple *piano*, increases (at bar 131) to *forte*, then becomes quieter and fades into triple *piano*. So as to leave no doubt about his intentions, Berlioz noted in the score:

> Si deve eseguire questo pezzo crescendo poco a poco fin
> Al forte ed allora diminuendo poco a poco fin alla fine.

This conception of form arises from pictorial, even theatrical ideas. Harold hears in the distance the ringing of the convent bells, he then sees the pilgrims slowly pass by and go off into the distance. At the end, he hears the sound of the monastery bells.

To illustrate the above, we must note here several things:

1. First Berlioz himself wrote in his memoirs that the harp tones introduced at the beginning and end of the pilgrims' march (i.e. the note *B* repeated two times as well as the succession of *C* and the double *B* in bars 16 f., bars 24-25, bars 34-37, bars 46-47, etc.) represent the ringing of the convent bells (LW I, 255).

2. The march of the pilgrims has a five part structure in the form of an arch (ABCBA): bell ringing as introduction - march - *Canto religioso* - abbreviated recapitulation of the march - bells ringing as coda.

3. Berlioz implemented this original sound and form design into other works. A very instructive example is the chorus of the young Capulet at the beginning of the third part of *Roméo et Juliette* (1839). The music begins with a quadruple *piano*, then builds up to a *fortissimo* and then steadily decreases to a triple *piano*.

   Charles Malherbe and Felix Weingartner commented in their notes for the complete edition (Berlioz GA 25, p. 82) that the autograph contains a statement about the choir, which was not reproduced in the French edition. It reads: En imitant l'effet de voix éloignées qui s'approchent, se font entendre tout près, et s'éloingnent de nouveau. This can be translated as "imitating the

effect of voices in the distance which approach and sound as if very close and then move away again".

4. In his feuilleton *Concerts de Richard Wagner* (1860) Berlioz admired the sound dynamics created by the crescendo decrescendo arch in the prelude to *Lohengrin*.[89]

It may be taken as certain that the resounding success of the pilgrimage march already at the first performance of the Harold Symphony on November 23, 1834 can be attributed to the above described sound dynamics. However, we must note that Berlioz was not the initiator of this idea. The initiators were, if I am not mistaken, the composers of the *Opéra Comique*. They had a fondness for music behind the stage, for picturesque sound dynamics and for marches which faded away to diminuendo.[90] In second march of *Idomeneo* (Act II, no. 14) Mozart directly followed in the path of French models. The music of this march begins *pianissimo* with muted tones and increases gradually up to *fortissimo*. An even more famous example of this procedure is exemplified by the wedding march from *Figaro* (Act III, no. 22).[91]

The idea of the sound of a march approaching from a distance, however, was first expressed in symphonic music by Beethoven. He created with his *Alla marcia* of the Ninth Symphony a much-admired model. The music begins *pianissimo* and increases in intensity after the introduction of the tenor solos to *fortissimo*, which is reached eight bars before the double fugato. The instrumentation of this section drew a lot of attention. The score calls for a military orchestra (with piccolo, contrabassoon, triangle, cymbals and a large drum). Apart from the cellos and double basses the strings are used only for short echo-like passages. The peculiar instrumentation gives the piece an exotic flavor. Formally, the section consists of two "variations" on the "*Ode to Joy*" which treat the melody in a very elaborate symphonic manner. Both the dynamics of the music and the words of the soloists reveal that Beethoven wanted to give the idea of a procession approaching in the distance. His *Allegro marziale* was conceived as a victory march.[92]

Beethoven's *Alla marcia* must have impressed Mahler greatly. That he was fascinated by the idea of marching troops approaching from a distance is confirmed by a report by Emil Nikolaus Freiherr von Reznicek (1860-1945) which reflects Mahler's bold views on an appropriate performance of the *Marcia*.[93]

"In his view, this piece should give the impression of a military orchestra in the outdoors which begins very far away and then comes ever closer, leading to a mighty crescendo. "You will probably" he concluded "consider me to be an idiot, but I do believe that such is the proper approach." I do not remember whether he actually did

that or if it was his intention to perform the work in such a manner at a future performance."

From a detailed report of Bruno Walter[94], we learn as well that Mahler did indeed perform the Alla marcia at the beginning of the double fugato of the Ninth with a remote orchestra. Here is what Walter wrote about it (the paragraph was omitted in the English translation by James Galston):

> "One performance of Beethoven's Ninth Symphony remained unforgettable for me, less because of Mahler's certainly remarkable conducting than because of the strange design that Mahler introduced in accordance with his thoughts at the time: he directed that the march in B flat in the finale should be played by a remote orchestra while the tenor solo and male choir sang their parts on the stage and he only reintroduced the main orchestra again at the beginning of the following fugato. This was not a whim. He believed that in looking into Beethoven's process of creation he discovered that by beginning the march with a faltering pianissimo which increased in intensity via the crescendo to fortissimo Beethoven wanted to describe the victory of the youths in accordance with Schiller's invocation by depicting them as approaching from a distance and drawing nearer. Mahler was convinced that Beethoven had this conception but he could not fulfill it due to the more limiting conditions of his time. Of course, Mahler was on the wrong path with his bold intervention in the score and he subsequently also never repeated the experiment."

Beethoven's *Alla marcia* also encouraged Mahler creatively. The opening movement of the Third Symphony contains two long sections using the topos of march music approaching from afar. The exposition (lines 20 to 7 bars before line 29) and the recapitulation (lines 62-74) were constructed in accordance with this idea. They both begin in triple *piano* and build up gradually to triple *forte*.

At this point, we must point out that the sound dynamical conception of music as a crescendo-diminuendo arch plays an important role in Bizet's *Carmen* (1875), Mahler's favorite opera. Two pieces in this opera are designed strictly according to this model, and both are military marches. In the *choeur des gamins* (Act I, no. 3) the setting is the ceremonial changing of the military guard. The music, a coloristic instrumented marche militaire, illustrates the approach of the *garde montante*, the replacement of the guard and the withdrawal of *garde descendante*. The dynamic spectrum ranges from triple *piano* up to a triple *forte* and back to the softest possible *pianissimo*. In the duet between Carmen and Don José (Act II, no. 17) a fanfare of trumpets positioned off stage represent the *retreate* as a kind of soundscape. The marchers are heard at first in the distance, they come closer and eventually they move away again.[95]

Examples of the conception of sound dynamics in music as a crescendo-diminuendo arch can also be cited from the dramas of Richard Wagner. The most impressive example is the *Tannhäuser* overture (1845). The music of the Pilgrims' choir at the beginning of the piece draws such an arch.[96] Wagner's

Pilgrims' Chorus, however, has the character of a *hymn* in three 'verses'. A clever trick is that the third verse is not carried forward to the end, but is interrupted by the sudden intervention of the *Venusberg* music.

Another impressive example of the type of movement of a march approaching from a distance is offered by the middle section (line 10 to line 14) of Debussy's *Fêtes* from *Trois Nocturnes* (1899). It is built on a pedal point and composed of six 8-bar phrases and a 10-bar phrase and draws a crescendo arch from a triple *piano* to *fortissimo*. The melody is performed by three-part fanfares of trumpets or the woodwinds and horns. In his "official" explanation of the *Trois Nocturnes* Debussy interpreted this dynamic arch as "the interplay of a festive procession (a surprising and whimsical vision … that passes through a festival and then merges with it." [97] Privately in a letter to Henri Lerolle of August 28, 1894), he admitted however, that he received the inspiration for the composition of this middle part in the Bois de Boulogne after hearing the Republican Guard perform the *retreate* at night by torchlight.[98]

From the above it should have become clear that the idea of sound dynamics that forms the basis of Ravel's famous *Boléro* (1928) has a very long and interesting history.

XIV. Scherzo, scherzando and dance characteristics

1.   Fundamentals

If one wants to investigate Austrian components in Mahler's symphonies it would be best to start with his Ländler. It should be emphasized that Mahler's scherzo and scherzo-like movements contain both Ländler-like passages as well as many individual Ländler melodies and motifs. If one wants to systematically compare Mahler's relationships to these genres with those of Schubert and Bruckner, i.e. the representatives of an "Austrian heritage" in symphonic music, then one should begin with Mahler's scherzi and scherzo-like movements. This has already been recognized by several researchers. Only Donald Mitchell[99] however has attempted to redefine the relationship between the scherzo characteristics and the Ländler in Mahler's symphonies in greater detail.

Mitchell started with the viewpoint that Mahler in his early symphonies usually kept the characteristics of the scherzo and the Ländler strictly separated. Only the scherzo of the First Symphony with its undoubtedly Ländler-like traits presented a special case. In the Second Symphony Mahler followed a Ländler (second movement) with a scherzo (third movement). In the Third Symphony a minuet (second movement) is followed by a scherzo (third movement).[100] In the Fourth Symphony he set up a contrast between the scherzo and the Ländler in the second movement: the main 'movement' is a scherzo, the trio is a Ländler. In the Fifth Symphony he fundamentally changed the relationship of the characteristics. In the Fifth the scherzo is entirely taken over by the Ländler genre and in the scherzo of Mahler's Sixth the Ländler characteristics are "savagely" transformed.

According to Mitchell two traits distinguished Mahler's treatment of the Ländler in his late period from all other composers: one was just this "savage" metamorphosis of the Ländler character, especially in the scherzo of the Sixth ("*Mahler, in a sense,* murdered the Ländler, but in so doing lent it a new life"): the other was the complete replacement of the scherzo by the Ländler, as in the scherzo of the Fifth. In contrast, Bruckner always distinctly separated the characteristics of the scherzo and the Ländler. In the main sections of his scherzi Bruckner continued the scherzo tradition established by Beethoven. He retained however Ländler characteristics in his trios.

In many respects Mitchell's comments are often illuminating. However, we believe that the question must necessarily be expanded. The particular nature of Mahler's scherzo and its relationship to dance characteristics can only be resolved if a number of important issues are taken into consideration. These are: How can the scherzo and the dance characteristics of the minuet, Ländler and the waltz be differentiated from one another? What are the common

characteristics and what the distinguishing features? Can a typology of characteristics be developed for Mahler's dances? And finally: to what extent did Mahler's treatment of the scherzo and dance characteristics differ from Schubert's and Bruckner's?

The following investigations will deal with these questions.

1. While Anton Bruckner designated the scherzo movements of all his symphonies as scherzi, this was not always the case with Mahler. In the published scores the title scherzo appears as a title only in the Fifth and Sixth Symphonies. The scherzo-like movements of the other symphonies remained "unnamed". However in many cases they have other revealing designations.

   Of interest in particular are the differing names for the second movement of the First Symphony in the printed score and in the autograph. While the movement in the printed score has the simple rubric: "*Kräftig bewegt*" (*stormily agitated*), the autograph score (now in the possession of Yale University) has on page 77 the indication: *Nro 3: "Scherzo". Kräftig bewegt! (Langsames Walzertempo) = no. 3: "Scherzo". stormily agitated! (Slow waltz tempo)*. It is worthy of note that that Mahler wrote the word scherzo in parenthesis. The third movement of the Second Symphony is untitled but Mahler understood it to be a scherzo. Then he wrote at the beginning of the finale: "*Im Tempo des Scherzos. Wild herausfahrend*" = "in the pace of a scherzo. Wildly driving forth". (The *Schreckensfanfare* with which the finale begins draws on a passage in the third movement, cf. the passage 9 bars after line 50). Turning now to the third movement of the Third Symphony Mahler designated it with the terms: *Comodo. Scherzando. Ohne Hast = comfortable. scherzando. without haste*. The rubrics for the second movement of the Fourth are similar: *In gemächlicher Bewegung. Ohne Hast. = at a leisurely pace. without haste.*[101] In addition the title of the third movement of the Seventh Symphony is remarkable: *Schattenhaft =* Shadowy. (The terms employed for the second movement of the Ninth will be discussed later.)

2. Anton Bruckner's scherzi are all arranged in accordance with the three-part scheme: scherzo - trio – scherzo. This form was the exception in Mahler. It only was employed for the 'scherzo' of the First Symphony. In the 'scherzi' and 'interludes' of all his other symphonies, however, we find five-part or five-part arrangements. We can distinguish two groups of movements.

   The movements of the first group follow the scheme: main movement – trio – main movement – trio – main movement. They have, therefore, only one trio that is repeated. This disposition applies to the scherzi of the Fourth

and Sixth, the Andante con moto of the Second, Tempo di menuetto of the Third and - with some irregularities - even to the 'scherzi' of the Second and the Third Symphony. The third movement of the Seventh Symphony follows this type even though the scheme is here disguised in a sophisticated way.

The movements of the second group (Scherzo of the Fifth, the Night Music of the Seventh, the second movement of the Ninth) in contrast have the basic scheme: main movement – trio I – main movement – trio II – main movement. They have, therefore, two different trios. But it should be noted as well that this scheme is never strictly followed. All three examples exhibit veiling, modifications or extensions of the scheme.[102] Whoever wants to investigate the unadulterated form of this topos must look at a different movement: the funeral march of the Fifth Symphony.

At this point, we must recall that Beethoven was the first to modify the traditional three-part design of the scherzo by repeating the trio and the main movement in order to create a five-part design in the Fourth and Seventh Symphonies. The scherzi of both symphonies have the same design: main movement – trio – main movement – trio – main movement.[103] Schumann adapted this system by the introduction of a second trio. The scherzi of the Spring Symphony and the Symphony in C major are constructed in according to the scheme: main movement - trio I – main movement – trio II – main movement. It may be taken as certain that Mahler used Schumann as a model in creating a similar structure for the scherzo of the Fifth. It is significant that shortly before beginning work on the Fifth (1901/02) Mahler had intensively dealt with Schumann's symphonies and rescored their instrumentation.[104] Natalie Bauer-Lechner noted in her records from 1899 (BL 110-112) that Mahler performed the Spring Symphony on January 15, 1899 in Vienna. He raved about Schumann's symphonies and found it inconceivable that Wagner did not recognize these "wonderful works" but rather condemned them.

3. Particularly instructive for the delineation of dance characteristics are Mahler's statements concerning the second movement of the Ninth. Three contrasting dance types can be distinguished, not least on the basis of their tempos. Tempo I is – as cited in the printed score – the tempo of a leisurely Ländler ("somewhat awkward and very rough") (see Table XXVII). Tempo II is a *Poco piu mosso subito* (score p. 66 and 78). Tempo III is titled "*Ländler, very slowly*" (score p.75 and 85) (see Table XXIX). In the autograph score of the three movements of the Ninth[105] we find both more precise and varying elucidations of tempos. Tempo II is here expressly defined as a waltz (autograph score II/28). Mahler designated the Tempo III with the terms minuet or menuetto (autograph score II/23 and 30).

The autograph score proves that it was Mahler's intention in the second movement of the Ninth to exhibit three different character dances in secession, namely a Ländler, a waltz and a minuet. In the printed score Mahler replaced the word minuet with "*Ländler, very slowly*" - for good reasons because the dance is really a Ländler and not a minuet. The disclosures of the autograph score help us to understand, however, that Mahler saw the primary differences between the minuet, Ländler and waltz in the tempos. The tempo of the minuet seems to him to be slower than the pace of the Ländler while he thought of the Ländler had a slower tempo than the waltz. It is certain that the characteristics of minuet, Ländler and waltzes – even with Mahler – lay not only in the agogics but also in the melodic structure, in the rhythm and in the metric structure.

4. Mahler's scherzo differs from the Ländler mainly with respect to a livelier tempo and a more regular rhythm and articulation. A preference for the staccato is probably the most obvious defining feature of the scherzo. This articulatory feature also shaped the character of those movements to which Mahler gave the title *scherzando* due to their more leisurely pace and regular rhythms. As an example we can refer to the third movement of the Third Symphony (see Table XXVI) and the scherzando section in the second part of the Eighth (from line 62 on).[106]

5. In some of his symphony movements Mahler turned the traditional relationship between main movement and trio on its head. While normally the trio had a quieter tempo than the main movement, Mahler sometimes reversed the relationship. He gave the main movement the character of a minuet and trio or the Ländler the scherzo characteristics! We can cite two examples of this:

    The main movement of the A flat major Andante moderato of the Second Symphony bears unmistakable Ländler characteristics. The G sharp minor trio has however the character of a scherzo. Mahler directly drew upon the scherzo of Beethoven's Ninth Symphony. As in Beethoven's scherzo, Mahler began his trio with a fugato for the strings. Mahler's articulated staccato theme corresponds almost note for note with the second four-bar phrase of Beethoven's theme (see Table XXV).

    In order to not give rise to a false impression, we must add as well that despite the borrowings Mahler's G sharp minor trio has a totally different sound and design than Beethoven's scherzo. While Beethoven's scherzo is primarily driven by rhythmic forces and is largely based on the fugato theme, Mahler's fugato for strings functions in part as an 'accompaniment' for the expressive cantabile melody in the woodwinds, which in turn is modeled after the second subject of the Andante con moto of Schubert's Unfinished

Symphony. There is also another difference between the compositions. Beethoven's scherzo begins, after the four-time intonation of the octave motif, *pianissimo* but soon attains while passing through the subsequent presentation of the now homophonically harmonized theme a contrasting dynamic level of *fortissimo*. In Mahler's trio the strings remain on the level of a triple *piano*. From the conceptual point of view, Mahler's trio exhibits a tendency to mysterious Romanticism in the truest 'Schumannian' manner.

Our second example is the Tempo di menuetto of the Third Symphony. Here the main movement has a minuet-like character while the 'trio' displays all the typical features of the scherzo or scherzando.

6. In some cases, scherzo and Ländler characteristics cannot be clearly distinguishable from one another in Mahler. An instructive example of this is the third movement of the Second, the famous Sermon to the Fish. As already explained Mahler wanted the movement to be understood as a scherzo. It is noteworthy, however, that Ländler melodies also appear in this composition. Thus Mahler's eight-bar melody in line 31 corresponds almost note for note with the melody of Ländler-like trio of Bruckner's Fourth (see Table XXX).[107]

7. In Bruckner's scherzi, especially in the trios of movements, one often encounters Ländler melodies. The Ländler is undoubtedly one of the typical Bruckner dance characters. Yet in Bruckner's symphonies one encounters neither the minuet nor the waltz. That Mahler also includes these characters in his music, testified again his tendency to universality.

2. Minuet

The genre in Mahler, Bizet and Liszt

Mahler was not frugal with performance instructions for the *Blumenstück* (flower piece) of his Third Symphony. The piece is accompanied with many tempo indications ("*tempo di menuetto. Sehr mässig. Ja nicht eilen*!" = tempo of a menuetto. Very moderate. Yes do not rush!) and at the beginning it has the rubric *grazioso*. Even a glance at the technical design suffices to realize that the music is meant to convey typical minuet-like characteristics. The essentially diatonic melody gives a preference to 'small steps' (*menu pas*!) and the melody stands out clearly from the 'accompaniment'. Rhythmically the piece is distinguished to a high degree by dotted rhythms and triplets.

Mahler had a reputation as an avant-garde composer. Therefore one has to ask what may have caused him to utilize a genre that had long been regarded as

antiquated. It would be wrong to impute an interest in historicism. He was anything but a strict disciple of classicism. One could say that Mahler's introduction of the *Blumenstück* offers us a deeper insight into Mahler's creative process.[108] It helps us to understand that he often thought in pictures. In the case of the Third Symphony it is revealing that he wanted to write a children's or floral piece from the outset and for this reason the idea of an elegant and graceful minuet must have arisen. We can draw this conclusion on the basis of his comments concerning the lightheartedness of the piece and the specifics of the instrumentation (pizzicato in the basses, elimination of the timpani) (BL 33 f). Secondly, we have a parallel case in *Von der Schönheit*, the fourth movement of the *Lied von der Erde*. This composition conveys a picture or image of girls picking flowers. Mahler was therefore prompted to give the song (*Comodo dolicissimo*) a minuet character.

Mahler's choice of the minuet could have been influenced by Bizet's fondness for this dance. The two suites of *L'Arlésienne* each contain a minuet. Of particular interest, mainly because of its instrumentation, is the E flat major minuet from the second suite. Bizet's main movement is essentially a solo for flute and harp. Only towards the end is an oboe, a horn and a pizzicato bass introduced. We have already pointed out several times that Mahler was strongly influenced by Bizet's suites. The *Blumenstück* supplies another example. It is noteworthy that Mahler's minuet-like melody – like Bizet's –is accompanied by harp-like and pizzicato string sonorities and furthermore the first theme of the scherzo-like trio (line 3) resembles the Andantino theme from Bizet's *Pastorale* (cf. Tables XXV / XXVI). It is also noteworthy, incidentally, that Bizet's *L'Arlésienne* minuets function as an e*ntr'actes* i.e. as interludes and that in a letter to Dr. Richard Batka Mahler called the *Blumenstück* the "intermezzo of the composition" (GMB 214).

In conclusion we must mention as well that the composers of progam music did not make use of the minuet unless it was for the purpose of characterization. This is the case with the minuet which Liszt added to his *Tasso* after he had completed the composition (see Table IV). Liszt wrote it in order to describe the historical milieu of the court in Ferrara ("Then his face appeared to us [Tasso's countenance], proud and hard observing the festival in Ferrara ..."). Both the title of Liszt's movement *allegretto mosso con grazia (quasi Menuetto)* as well as the accompaniment of the minuet melody with pizzicato cellos suggest that Mahler was well acquainted with Liszt's composition.

3. Ländler

Two types in Mahler: the "leisurely" Ländler as main movement and the "slow" Ländler as a trio - Ländlers of Schubert and Bruckner

Our title already indicates that there are two types of Ländler in Mahler's symphonies. The terms *gemächliche* (leisurely) and *langsame* (slow) Ländler are derived from Mahler himself. He uses them in the second movement of the Ninth Symphony, but not only there. The leisurely Ländler usually only appears as a 'main movement' of dance-like compositions, the slow Ländler only in the trio.

Mahler's leisurely Ländler adheres to the topos of the country dance. Its most important feature is its rhythmic accenting. Not only is the first beat of the bar emphasized but also the second – even if somewhat lighter. (In the score marcato signs frequently appear). The melody gives preference to small intervals and triadic formations rarely appear, if at all. It is worthy of note that the ornamentation increases – especially trills and mordents.

The type of the gemächliche Ländler appears first of all in three dance-like songs from the collection *Des Knaben Wunderhorn*, namely in *Verlorne Müh'* ("*gemächlich heiter*" = leisurely cheerful), a varied strophic song, *Wer hat dies Liedel erdaht* ("*Mit heitrem Behagen*" = with cheerful pleasure), a three-part composition (here however, the Ländler character is highly stylized) and the *Little Rhine Legend = Rheinlegendchen* ("*gemächlich*"). It should be noted that the melody which opens the *Rheinlegendchen* resembles a Ländler from Stumm / Tirol, which Sabine Schutte[109] cites as an example of a Ländler with a step-like melody (see Table XXX).

With respect to symphonic movements we could mention: the main part of the "*Andante moderato. Very leisurely. Never rushed*" from the second movement of the Second, the *lustige* (= jocular) Ländler theme in the trio of the Fourth Symphony (lines 3-4 and lines 9-11), which, however, is a special case. Then the main part of the second movement of the Ninth ("*Im Tempo eines gemächlichen Landlers. Etwas tappisch und sehr derb*" = in the tempo of a leisurely Ländler, somewhat awkward and very rough). See Table XXVII.

If the above mentioned examples are characteristic for the type, then the main part of the second (originally the third) part of the First Symphony (*kräftig bewegt*) exhibits many more individualistic traits. Nevertheless the rustic dance can be identified. This involved the 'stomping' ostinato accompaniment figures with the written-out warble trills in line 4 and even more clearly in lines 5-8.

The above described leisurely Ländler cannot be found in the symphonies of Bruckner. However this type of dance appears frequently in the works of Schubert. We refer to the *Twelve Ländler* op. 171 (D. 790), especially no. 10 in

B major, and no. 11 in A flat major as well as in the *Seventeen Ländler* (D. 366), especially no. 10 in B minor and no. 13 in B flat minor.[110] The resemblance with Mahler becomes especially obvious if one compares the musical examples presented in Table XXVII.

Mention must still be made of a special distinction with regard to Mahler's gemächliche Ländler in his symphonies. In two instances the Ländler is first presented with a homophonic harmonization. When the melody is later repeated the Ländler appears as a melody contrapuntally interwoven with a counter-melody. (Technically we refer to this phenomenon as a contrapuntal reduction). The cases that we are referring to are the second movement of the Second Symphony and the second movement of the Ninth. One can compare the beginning of the Andante moderato of the Second with the Ländler at line 5 (contrapuntal counter-melody in the cellos) as well as the beginning of the second movement of the Ninth with repetition of the Ländler 10 bars after line 17 (contrapuntal counter-melody in the second violin).

Leisurely and slow Ländler types are distinctly differentiated in Mahler. Just the opposite of what is true for the leisurely Ländler seems to be the case for the slow Ländler: the rhythm is weakly accentuated – only the first beat of the bar is stressed. The melody also features triads. Larger intervals are articulated in such a way that their expressive values are emphasized. The slow Ländler has a cantabile, swinging and floating quality. Particularly significant are the double themes. The main melody even on its first appearance is accompanied in counterpoint by a second quite independent melody.

The topos of a *slow Ländler* is represented by the trios of the First, Fourth and Ninth Symphonies.[111] In all three cases there are double themes, wherein the first theme is of an expressive character. Regarding the theme of the First Symphony (4 bars after line 16) Mahler commented: "*sehr zart, aber ausdrucksvoll*" = very delicate but expressive. He marked the theme of the Fourth (at bar 87) *cantando espress.*, and the theme of the Ninth (score p. 75) is marked *espressivo*. With respect to the treatment of the double themes there is certainly a difference between the First and the other two symphonies. In a trio of the First the expressive quality can be found in both the main theme and in the counter-theme. However the counter-themes of the trios of the Fourth and the Ninth Symphonies has strongly contrasting characters: they are leisurely Ländler. In the trios of the Fourth and the Ninth Mahler contrapuntally combines a slow Ländler (main theme) with a leisurely Ländler (counter-theme)! See Tables XXVII / XXIV.

Double themes are however a distinction of Bruckner's style.[112] The trio of the Third Symphony, the first movement of the Fourth (*Gesangsperiode* at B, see Table VI) and the Scherzo of the Fifth (*Gesangsperiode* bars 23-46 marked "*significantly slower*") provide instructive examples of this. In all these cases Bruckner's melodic lines each have their own profiles. It would be an

exaggeration however to say that their contrasting characters were very pronounced.

The more intensely one deals with Mahler's Ländler and his contrapuntal techniques, the clearer it becomes that he studied the art of the double themes in Bruckner's works and he adopted the technique. The proof is provided by the trio of Mahler's First Symphony. Its beginning is modeled after the trio of Bruckner's Third Symphony. (Mahler had edited the piano score of Bruckner's symphony so he knew it well).[113] A glance at Table XXX suffices to recognize the similarity of the design: in both cases there are double themes and in both cases the relationship of the subject and counter-subject is complementary. And like Bruckner, Mahler begins the counter theme two bars after the main theme.

The trios in Mahler's Fourth and Ninth Symphonies document in an impressive way just how far Mahler had moved from Bruckner's method. The themes that Mahler wove together in these compositions contrast as extremely as conceivable. Bruckner never combined a leisurely with a slow Ländler. He apparently never made use of the leisurely Ländler.

We cannot conclude our examination of the use of the Ländler in Mahler, Schubert and Bruckner without mentioning that the folksong from Kärntner *Ein Vogerl auf'm Zwetschgenbam*[114] was used by Alban Berg in his Violin Concerto of 1935 (Part 1, bars 214-228). It is a typical slow Ländler. A comparison with the slow melody in the trio Ländler (bars 84-94) of Mahler's Fourth Symphony (1900) reveals conspicuous structural but also melodic similarities. In bars 256-249 of Berg's Violin Concerto incidentally there is a suggestion of a passage from the "slow Ländler" of Mahler's Ninth Symphony (1908-09). It is certainly remarkable that this 'whole-tone' passage in Mahler (directly before the waltz) finds much more than a mere echo in Berg's concerto (part 1, bars 214-217).

4.   Waltz and Valse

Waltz and waltz-like passages appear in several symphonies of Mahler, in the First, Fourth, Fifth, Seventh and Ninth. A comparison of the various passages with the aim of distinguishing the similarities and differences revealed that three types could be identified, i.e. two types of German-Austrian *waltz* and the *valse*, the French or European version of the waltz.

Of the two German-Austrian waltz types, the character of the one is determined principally by the rhythm while the other type is characterized principally by the melody. For the first type, the penetrating accompaniment of the quarter-note appoggiaturas is especially significant. The melody of the waltz is rhythmically quite strongly differentiated.

Among examples of this type we can cite: the D major / D minor waltz in the third movement of the Seventh (the waltz here forms the central part of the main movement: lines 118-120, lines 126-131, 2 bars after line 156 until 3 bars after line 161 and 2 bars after line 163 to the end); the E flat major waltz in the second movement of the Ninth (score p. 70-72 and p. 90-96).[116] The D major waltz of the scherzo the Fifth also belongs here, although the penetrating accompaniment of the quarter-note appoggiaturas in this instance is cleverly veiled due to the intricate rhythmic structure involving rhythmic displacements, so-called hemiolas. See tables XXXI / XXXII.

The character of the second waltz type is primarily determined by the melody. It is frequently articulated in ostinato repeating eighth-note figures and can thus be compared to the *perpetuum mobile*. An essential feature is that the eighth-note figure circumscribes a circular movement. The main notes of the melody are manipulated in many different ways. In a very pictorial or quaint manner the melody gives expression to the rotating movements of the 'watlzed' round dance. Quarter-note appoggiaturas are as a rule not utilized.

Examples of this waltz type in Mahler include the C sharp major / D flat major waltz in the second movement of the First (lines 7-11, noteworthy is at line 8, the term *wild*), the circulating eighth-note figure in the third movement of the Seventh (5 bars after line 130 to line 131 and line 161); the D-major waltz in the second movement of the Ninth (see score p. 78-82). Also the figures marked *Più mosso subito* in the trio of the third movement of the Seventh, which are inserted in the manner of a parenthesis (lines 134 ff.), belong here.

Longer waltz passages in Mahler are created by the stringing together of several periods, where often all are based on the one and the same model. Two

examples: main section of the "scherzo" of the Fifth (from the beginning to line 6), in reality a quite long waltz in D major, comprises seven such passages. Then the D major waltz of the Ninth (score p. 78-82) is divided into three periods (15 + 15 + 18 bars), which are composed of regularly constructed antecedent and consequent phrases. Each half sections begins with the chord progression D - A - B flat - F - G flat.

Turning now to the *valse* – it developed as the result of the creative confrontation of the non-Austrian composers with the waltz. Of the great symphony composers of the Romantic period it was especially Berlioz and Tchaikovsky who wrote valses. The second movement of the *Symphonie fantastique* has the title *un bal* and the tempo designation *Valse* Allegro non troppo. In Tchaikovsky a valse (allegro moderato) forms the third movement of the Fifth Symphony. In both cases, the valses have a cantable, tender, lyrical character. (Berlioz described the melody with the expression *dolce e tenero*, Tchaikovsky with *dolce con grazia*.) Compared with the gusto, the elemental violence, yes, '*wildness*' of the Austrian waltz are used by Mahler, these two valses seem to be quite tame.

Yet Mahler did not disdain the valse genre. He made use of the valse in three instances: in the first trio of the "scherzo" of the Fifth Symphony (line 6, cf. Table XXXIV), the middle part of the trio of the First Symphony (line 20 to 4 bars before line 23) and in the Poco Adagio of the Fourth. In this instance a variation of the main theme, the allegro subito (bars 238-262), can be described as being valse-like. In the latter two cases, we find almost note-for-note reminiscences of Tchaikovsky's valse (see Table XXXIII).

Looking back finally on the results of our investigation about Mahler's dance characters, it is not possible to conceal one's amazement about the variety in the types used by him. Mahlers symphonies include minuet-like types, two types of Ländler, the leisurely and the slow, two types of waltzes and the French valse! In certain movements we find several dance characters. One gets the impression that Mahler wanted to create a synthesis of the various types.

One can cite two astounding examples of this: the second movement of the First includes two types of Ländler, a waltz and a valse; the outside sections of the main movement belong to the type of the slow Ländler, the middle section is a waltz; the outer sections of the trio exhibit the slow Ländler type, the middle section is a valse. In the second movement of the Ninth then two types of Ländler and two waltzes are represented, the main section is a leisurely Ländler, trio I has the two waltz types and the Trio II can be classified as a slow Ländler!

XV. Conclusions

As a result of the preceding investigation six fundamental conclusions can be drawn.

1. Although it may seem surprising, Mahler's symphonies are based on a large number of musical characteristics. Besides categories of instrumental and dance music, genres which were based on vocal models could be identified. Like almost no composer before him (with the exception perhaps of Hector Berlioz and Franz Liszt) Mahler broadened the sphere of symphonic music by adopting various genres. Essentially this was determined by a tendency to monumentality and at the same time to universality.

2. With respect to Mahler's place in history the investigations of this question also delivered a differentiated picture. Mahler's symphonies could be linked to several composers and various movements. Recitative and arioso, chant, march, funeral march and the pastorale are genres in which Mahler's manifest relationship to the programmatic musical direction of Berlioz and Liszt is revealed most clearly. Mahler's relationship with Bruckner can be most impressively demonstrated with respect to the genres hymn (*Benedictus!*)*,* chorale (only partly) and the Ländler (double themes). Mahler's predilection for the Lied and the leisurely Ländler points in the direction of Schubert. The original movement-type *music from afar* recalls parallels with Wagner and Schumann. Beethoven's symphonies offered Mahler numerous 'direct' suggestions. The pastorale, Beethoven's scherzi, the finale of the Ninth (one need only recall the *Alla marcia*!) are compositions to which Mahler is always looking for orientation. Finally one should mention his relations with Bizet (pastorale, minuet) and Tchaikovsky (valse).

3. In a certain sense Mahler was the culmination of the symphonic tradition of the nineteenth century. This does not mean that he was an eclectic and an imitator or that his historic achievement lies only in the synthesis. Although in many cases Mahler followed an existing tradition he nevertheless treated the various movement types and characters in these instances with astonishing originality. He converted, further developed and introduced completely new traits to what he had inherited. We can cite for example innovations in the polyphonic arioso (!), a particular new type of chorale, the funeral march and the entombment music, the idea of music from a great distance away and the contrapuntal interweaving of Ländler melodies of contrasting character.

4. The musical characteristics that are revealed in the symphonies of Mahler and his predecessors imply a particular semantics (i.e. a particular substantive meaning) and should not therefore be construed as categories of absolute music. Each character defines intrinsically a certain semantic field. There is a correlation between non-musical content and specific musical characteristics. One should recall Schumann's definition: "A musical composition can be said to have character, if a specific disposition is so pronounced that no other interpretation is possible". Many composers of symphonies in the nineteenth century translated extra-musical ideas and images into musical characteristics.

5. In order to be able to tackle the central task of developing a scientific interpretation of the music of the nineteenth century, musical exegesis must take into consideration an analytical technique which involves the concept of character. The breakdown of the compositions according to their component characters offers a new opportunity for being able to specify the 'content' of such works which are generally considered to belong to the category of absolute music.

6. Mahler's characters often appear within one and the same movement in rapid succession. In this way, those protean pictures of the world were created which Adler earlier drew attention to. We can see in the second movements of the First and the Ninth Symphonies that sometimes the most diverse dance characters (Ländler, waltz, valse) followed one another. Our method of distinguishing compositions in accordance with their characters can be applied not only to dance-like and smaller middle movements but even to extended opening and closing movements. This approach can be exemplified by a breakdown of the first movement of the Third Symphony.

Structure of the opening movement of Mahler's Third Symphony
Analysis in accordance with the characteristics

Introduction

bars 1-10 (the title WECKRUF = REVEILLE in capitals appears only in the autograph score)	Introduction of the march theme (recalling Schubert's Great C major and Schumann's Spring Symphony
3 bars before line 1 to line 2	*misterioso* (anticipation of the Night Music)
line 2 to 8 bars after line 4	Funeral march ("*schwer und dumpf*")
8 bars before line 5 to line 11	Recitative / Arioso (sleep motif 3 bars before line 10)
line 11: PAN SLEEPS	Chorale (with a Lied-like melody as a counterpoint)
line 12: THE HERALD	flourish that fades into distance
line 13-18	Recitative / Arioso (at lines 13-16 rhythm resembles funeral march as accompaniment / 6 bars after line a sleep motif)
line 18/19 (… line 12/13)	Music from afar (Chorale with a Lied-like melody, later a flourish "disappearing completely"
lines 20-22	March "*as from far far away*"

Exposition

lines 23-28	March from afar, coming ever closer (with a Lied-like beginning)
4 bars before line 28	Hymn-like, then a catastrophic-like high-point

Development

line 29 to 4 bars before line 35	Recitative / Arioso
4 bars before line 35 to line 38	Music from far away
lines 39 - 43	Song without words (in two verses)
lines 43 – 55	March / titled as such by Mahler in score
THE MOB! (l. 44) THE BATTLE BEGINS (l. 49) THE SOUTH STORM (l. 51-5)	representation of a real storm

Reprise

line 55 to 3 bars before line 56	Introduction of march theme
3 bars before line 36 to line 5-7	*Misterioso*
lines 57- 62	Recitative / Arioso (beginning as a funeral march)
lines 62-74	March (drawing nearer from afar)
line 74	catastrophe-like high point
line 75	Victory Fanfare

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Third Part
Elements of the Symphonies

XVI. The symbol in music

"If there is absolutely no connection between the representation and the conception signified by it – when one proceeds from the subsumption of the concept or from the association of ideas – but rather that the signs and the things signified are combined in a purely conventional manner, i.e. by positive, arbitrarily introduced associations, then I designate this arbitrarily generated kind of allegory Symbolism. Thus […] the cross is the symbol of the Christian religion."

ARTHUR SCHOPENHAUER
The World as Will and Idea (London 1909) I, 308.

"Symbols are mystifications."
NOVALIS, *Logologische fragmente* no. 1954

"Everything can only be understood symbolically, and everywhere something else is hidden behind it."

GOETHE to the chancellor VON MÜLLER (8.6.1821)

"The symbol is merely the superficial relationship of image and content by way of a point of comparison."
F. TH. VISCHER (1887)[1]

"All communication between the composer and the listener is based on a convention that this or that motif or musical symbol, or whatever one might otherwise call it, functions as an expression of this or that thought or actual intellectual concept. This will be especially obvious to everyone in Wagner. But also Beethoven and more or less every artist has a particular manner of expression for what the artist wants to say which can be comprehended by the public. But my language is not yet understood by the public. They have no idea about what I'm saying and what I mean and it seems to them to be meaningless and incomprehensible."
MAHLER 1896 to NATALIE BAUER-LECHNER[2]

The more one delves into the symphonic music of the 19th century, the clearer it becomes that it harbors an incredibly rich musical wealth of symbols, the existence of which is generally unknown or is not even suspected. Not only the symphonic works of Berlioz, Liszt, Tchaikovsky and Richard Strauss, but also the symphonies of Brahms, Bruckner and Mahler are based on a level of symbolism that is so significant that one can bluntly say that without an understanding of the basic symbolism in these works this music must remain in its essence enigmatic and it will appear to the unenlightened listener as that which it is definitely not, namely, as *absolute music*.

1.   Explanation of the concept

When speaking of symbols, one cannot avoid beginning with a definition as much as one would not like to. The fact is that the concept of symbols is one of the most ineffable in the field of research. The relevant art theoretical, philosophical, psychological and psychoanalytical literature is characterized by a terrible confusion. If one wanted to contribute to a clarification of the confusion from the perspective of the musicologist then one would have to come up with a longer treatise. Therefore we will have to content ourselves with only stating what we mean by the term *symbol*, i.e. a consciously employed musical signs with a particular not immediately recognizable *contextual significance*. Such signs may be recurring themes, rhythms, chords and chord progressions and tonal colors. Three factors must be considered in connection with a definition of the concept:

1. Symbols are not under any circumstances to be confused with idioms of style. Stereotypical formulas in Mahler's musical language are usually not symbols. Recurring characteristic phrases and chord progressions may, but need not have a symbolic meaning. The investigations of the last chapters showed that Mahler often worked with thematic models which he transformed individually. Such thematic models have nothing in common with symbols.

2. The crux of the definition of the term symbol rests with the explanation of the contextual significance. One can only speak about a symbol when the meaning of the essence of the matter which is to be distinguished is not immanent. That is in other words when the "contextual significance" is not obvious and cannot be generally recognized without mediation. Transferred to the music, this means that musical *signs* such as calls and signals whose meaning is immediately recognizable do not represent symbols. Descriptive music that mimics acoustic processes (i.e. *tone painting*) is not necessarily symbolic.

3. Essential for the concept of the symbol is the element of consciousness. The musical *sign* that represents a symbol must be consciously understood as such by the composer. There must be an intention. Only when it can be demonstrated that such an intention and meaning exists or can be ascertained on the basis of sound reasons can one speak about symbolism. In no case may subjective notions of the interpreter or listener be imposed on the artwork. It is important to reconstruct the importance of the work for the composer, not for the interpreter or for the listener.

A survey of the historical development of older research on symbols is given by Max Schlesinger, *Geschichte des Symbols. Ein Versuch*, Berlin 1912. See also his *Symbolik in der Tonkunst*, Berlin 1930. The confusion about the concept of symbols is so great that specialists have recently decided tentatively to refrain from defining the term. See Julius Schwabe, *Geleitwort des Herausgebers* (foreword by the editor), Symbolon (Jahrbuch für Symbolforschung) I (1960), 9, as well as A. Fischer-Barnicol, *Die Präsenz in der symbolische Erfahrung*, Symbolon VI (1968), 107-136.

The basic (and still useful) study on tone painting is from the pen of Paul Mies: *Über die Tonmalerei*, Zeitschrift für Ästhetik und allgemeine Kunstwissenschaft VII (1912), 397-450 and 578-618. Mies' definition of tone painting is as follows: "We designate tone painting as music which reflects ideas in such a way that the relationship between imagination and music can be comprehended solely on the basis of comparing tonal, rhythmic and dynamic analogies and can be replicated in words". Cf. the more recent study by Ludwig Misch, *Die Mittel der Tonmalerei*, in: *Neue Beethoven-Studien und andere Themen*, Munich-Duisburg 1967, 201-206.

The following music psychological studies deal with issues of the reception of program music: Calvin S. Brown, *Music and literature; a comparison of the arts*. Athens, Ga. 1948, 237-241; Ernst Křenek, *Über die Bedeutung von Musik* (= About the meaning of music), SMZ 93 (1953), 103-113; Albert Wellek, *Musikpsychologie und Musikästhetik; Grundriss der systematischen Musikwissenschaft* (= Psychology of music and music aesthetics; outline of systematic musicology), Frankfurt am Main 1963, 217-242; Horst Berner, *Untersuchungen zur Begriffsbestimmung und zu einigen Fragen der Rezeption von Programmusik. Ein Beitrag zur Musikerziehung und zur musikalischen Populärwissenschaft* (= Studies on the definition and on some questions about the reception of program music), Phil. Diss. Leipzig 1964, 13-99.

In philosophical, art historical and also in the psychoanalytical literature, Ernst Cassirer's theory of symbols has been especially influential. See his *Philosophy of Symbolic Forms, 3 vol., New Haven 1970, as* well as his *Wesen und Wirkung des Symbolbegriffs* (Nature and effect of the term symbol), 4th ed., Darmstadt 1965. Susanne K. Langer based her theories on Cassirer: *Philosophy in a new key: a study in the symbolism of reason, rite and art*, Cambridge, Mass. 1951. A critical evaluation of Cassirer's theories on symbols was undertaken by Lorenz Dittmann*, Stil, Symbol, Struktur. Studien zu Kategorien der Kunstgeschichte* (= Style, symbol, structure. Studies on categories of art history), Munich 1967, 101-108.

The terms sign, signal, signification, meaning and symbol are also discussed in detail in the semiotic literature. See Umberto Eco, *A Theory of Semiotics*, Bloomington 1976; Adam Schaff, *Einführung in die Semantik*, Reinbek bei

Hamburg 1973; Wilson Coker, *Music and Meaning. A Theoretical Introduction to Musical Aesthetics*, New York/London 1972.

2.   Schering's conception of the symbol

In musicology it was Arnold Schering who especially excelled in the study of the symbolism. He saw the establishment of a *musical theory of the symbol* as one of the chief tasks for musicology in general. The posthumously published volume of Wilibald Gurlitt *Das Symbol in der Musik*[3] contains a representative collection of Schering's scattered essays on the topic in his research report.

The central problem which arises in assessing Schering's work is the question of whether it is justified and useful to clarify the concept of symbol as broadly as he did. This can be demonstrated as follows.

Schering's earliest study on symbols is his essay on *Bach und das Symbol*[4] published in 1925. Schering defined music in this study – closely following Hegel – "as an auditory signifier of an affected inwardness" (according to Hegel[5] "the subjective interiority" was the defining feature of the principle of music) and he took it as a given "that music, in as far as it is recognized as art, cannot be understood in any other way than as a symbol". Starting from this premise, he evaluated the world of symbolism in music according to four degrees. He described the symbolism of the first degree as an emotional affect, or more precisely as the "recognition of that 'affect' as the carrier of a sequence of sounds" that arose from the musical line. The emotional affect was closely connected to the expressive affect of an image – thereby leading to the symbolism of the second degree, by which Schering understood "that plastic, almost tangible imagery" that Bach and his contemporaries could not separate from the concept of affect. A third degree of symbolism arose in Bach's music from the "spiritualized application of compositional techniques, eg. the canon, the ostinato, the organ point, the concerto, the alternation of solo and tutti" etc. The fourth degree of symbolism (citations and number symbolism and imagery brought about by "more far-reaching logical combinations") penetrated very deeply "into the relationship of our existence as thinkers".

Schering sharpened and further systematized this graduation of symbolism in his conference presentation *Symbol in der Musik*[6] of 1927. Four clusters or groups of symbols could be differentiated "according to their degree of spirituality" as follows:

1. Specific symbolic affects and moods classified according to their dynamic rhythmic, melodic and harmonic movements.

2. Sound Symbolism. Symbols arising from the acoustical, dynamic, tonal and special experience of hearing a sound thereby creating a quasi-dimensional sound image for the listener.

3. Symbolism of forms[7] and formal working principles which arose from the interpretation of formal or technological factors as signifers.

4. Symbolism arising from the interpretation of foreign externally assimilated ideological factors as signifers.

In his later essay *Musikalische Symbolkunde*[8] Schering further expanded the concept of the symbol in music. He asserted at the same time that this concept was not identical with *signs* because signs possessed only a *meaning* but not a *signification*. A sign can only become a symbol when it becomes a signifier. The typology of the symbolism that Schering worked out was sometimes broader than the framework of his definition. Schering distinguished two major generic concepts of the symbolic*:* emotional symbolism and the symbolism of ideas. He defined "emotional symbolism" as comprising all images or sensations that are connected to a large or small emotion, i.e. sensual relations that arose from mental states (moods, psychological attitudes). Extending this further, he concluded that this kind of symbolism was dependent on "the ability to analyze on the basis of one's own personal experiences the inner life of others". More significant than *"sensational symbolism"* was, according to Schering, always the "symbolism of ideas", i.e. the art that "involved transmitting an idea through the mediation of sounds".

There are two subspecies of imaginative symbolism: material (objectifying) symbolism and conceptual (intellectual) symbolism. Schering understood objectifying imaginative symbolism as an elementary musical symbolism which changed little or slowly over time and its manifestation could be followed over centuries and generations. The intellectual imaginative symbolism in contrast arose "when due to musical or cultural-historical factors a concept came to be viewed as possessing a very close relationship to music, thereby determining the evaluation of a musical work". Under the generic term intellectual imaginative symbolism Schering included the species historicizing, rhetorical, technological, ideological and symbolic forms.

With respect to this typology, it should be noted first that elementary symbolism can only be brought conditionally in line with Schering's concept of symbols. Schering says that the terms "high and low, loud and soft, fast and slow, rising and falling, walking and jumping, consonant and dissonant" contain the seeds which would make possible the concept of musical signification. However, many of these terms are mere signs, i.e. they already have a meaning. If such a

sign is given a specific significance by a composer so that it becomes a symbol, then it immediately switches over into the area of intellectual imaginative symbolism. To that extent it seems doubtful if an objectifying elementary symbolism even exists as an independent species.

Secondly, it should be emphasized that some of Schering's groups of symbols can hardly be comprehended scientifically. In any case they exist outside of the field of research into symbolism which aims at constructing a precise musical exegesis of a work. This even applies to his *"specific affect and mood symbolism"*. Schering himself admits this when he says that the appropriate acoustic phenomena in this category become signifers of "some linguistically not fixable moving inwardness". But the same is also true for the more emotional symbolism. Already it is clear from the definition of this species cited above that an investigation of this theory requires an understanding of the theory in the line with Dilthey's theories. Such a theory, however, leads straight to those problematic hermeneutics which in Dilthey's definition attempts to understand the concept as "a personal work of creation".[9] According to this theory the "most perfect comprehension" of a definition depends on the ingeniousness of the interpreter. A sensible interpretation must emphasize the fact that it is exactly the "discriminatory element in the design" (Dilthey) that must be excluded from the outset!

If you want to understand Schering's theory of symbols better, then one must turn to his essay *Musikalische Analyse und Wertidee*.[10] In this essay he argues that the "ideal analysis", which he is aiming at, would be reduced to "two, as yet still relatively unknown interlocking processes", i.e. to "description" and *"interpretation"*. With this description he was thinking of the method of formal analysis, which aims to determine the form and the structure of an artwork by highlighting the artwork as an organism. The aim of an interpretation would be to analyze the content. Schering did not hide the fact that he was only looking for the description of the "objective value in the sense of a positive science". With respect to this interpretation, he said that it only could be understood as a subjective "value in the sense of recognition as a theory of understanding".

Schering's typology of the symbols was expanded by Wolfgang Boetticher[11] into an intricate ramifying system of musical symbols. At the same time Boetticher maintained Schering's distinction between the generic terms emotional symbolism and imaginative symbolism. Using this classification he carried out an impressive and in many ways very successful study of the symbols in the complete works of Schumann.

The criticism which Nils-Eric Ringbom[12] directed at Schering's studies on symbolism formed the basis for an extension of the concept of symbol. The focal point of his criticism is the allegation that the Schering limited the concept of the symbol to the consciousness, thereby narrowing the term in an impermissible manner. According to Ringbom there were not only "conscious

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symbols (symbolism) in the functional form of a work" but also "unconscious symbols in its expressive form". Ringbom defined the symbol as "experienced expression" and advocated an approach which, besides the rational, also took into consideration the "irrational and alogical" in a work of art, thus reflecting the "unpredictability of life".

By taking this position Ringbom – nolens volens – became the representative of agnosticism, because a method that is suitable for measuring the "unpredictability of life" had not been developed up to now and is probably unimaginable. Schering's thesis that expression and symbolism must be more clearly defined thus remains untouched.[13] What can be challenged is solely the value of Schering's concept of the symbol!

The same objection, namely an inappropriate expansion of the concept, can be raised against Ernst Cassirer's definition of symbol even though Cassirer maintained a sharp contrast between signals (= signs) and symbols in that he classified them into two distinct reference ranges:[14] "a signal is part of the physical world of being; a symbol is a part of the human world of meaning".

Nevertheless Cassirer's definition of the concept cannot be applied to musical relationships without conditions and it is furthermore questionable whether such a conception is even justifiable. First it needs to be emphasized that signs, especially musical signs, are not just "conditioned reflexes" but they have a meaning. Secondly, not everything in art must necessarily be related to the spirit. The crucial distinction between sign and symbol in music depends on whether the thing that is being described has an immediate effect or whether it is understood in a roundabout way.

In the latest psychoanalytical research there seems to be agreement that the moment of awareness is constitutive for the concept of the symbol.[15]

3.   Techniques for solving the problem (heuristic)

In evaluating the possibilities for discovering symbols especially in the symphonies of Mahler one can proceed in three ways.

The first is by investigating his vocal works. There are many symbols as well as calls and musical signals in Mahler's Lieder, in the *Klagendes Lied*, in his Eighth Symphony and in his *Lied von der Erde*. Their 'significance' can be determined with the help of the text. Since some of these symbols reappear in purely instrumental symphony movements, it is possible to identify them.

A second possibility is undertaking an investigation of Mahler's programmatic statements with respects to individual symphonies. In several instances Mahler himself drew attention to the symbolic significance of certain musical conventions or processes. Thus if the same or similar convention or

process appears in other symphonic movements, for which no authentic programmatic statements are known, then we can by using the analogy with the necessary caution determine by way of a comparison the semantics of the same or similar convention or process in other symphonic movements.

The third, very promising way is based on the observation that many themes of Wagner, Liszt and Richard Strauss whose semantics are known or can be reconstructed also appear in Mahler's symphonies in the same or similar form. Also in these cases one can determine with the use of analogies and by drawing on other observations that the musical passages being examined have a corresponding significance for Mahler.

We are quite aware that our thesis that Mahler's symphonies contain a great number of motifs drawn from Wagner, Liszt and Strauss was initially met with consternation. This phenomenon however will not seem to be so incomprehensible if one considers three things: first, that Mahler was a profound connoisseur of Wagner's music dramas and he dealt constantly with them, secondly, that in even his Hamburg years, as Joseph B. Foerster[16] testified, he "*devotedly*" revered Liszt, and third, that he studied the tone poems of Richard Strauss with intense interest, although he did not hesitate to express his criticism of Strauss and his program music.

Finally it should be pointed out that calls, signals and symbols have a special relevance for the exegesis of the symphony of the 19th century. Once one has taken these elements into consideration and deciphered their meanings, they can provide crucial clues for the interpretation. The investigation of their characteristics makes a detailed interpretation of entire passages possible. After an investigation of calls, signals and symbols we can then continue on to an interpretation in detail of those characteristics which often function as keys for deciphering these phenomena.

XVII. The semantics of the sounds of birds

> "Probably we receive all primordial rhythms and themes from nature which already offers them to us very succinctly in each and every animal sound."
> MAHLER 1887 to BAUER-LECHNER (BL 81)

> "Whether it is the chirping of a bird or a sound of nature which initially inspires me, I will not reproduce it in its real, true tones and intervals but always in a transfigured, stylized form, which reflects the essense of the natural sound more faithfully than literal reverberations. Therefore you could demonstrate to me or criticize me because the cuckoo in my First Symphony contains a leap of a third rather than a fourth …however I am little concerned about whether the cuckoo in Rosental sings *c# – a* or *d – a* because no one could ever mistake the sounds of nature in that first movement for anything else than chirps of a cuckoo in spring."
> MAHLER in 1901 to BAUER-LECHNER[17]

> "Quand le dieu Pan assembla les sept tuyaux de la syrinx, il n'imita d'abord que la longue note mélancolique du crapaud se plaignnant aux rayons de la lune. Plus tard, il lutta avec le chant des oiseux. C'est probablement depuis ce temps que les oiseux enrichirent leur répertoire. Ce sont là des origines suffisamment sacrées; d'où la musique peut prendre quelque fierté, et conserver une part de mystère …"
> CLAUDE DEBUSSY (1913)[18]

1. Birdcalls and sounds as the "*sounds of nature*"

Among the symphony composers of the nineteenth and early-twentieth century, there is no one who incorporated bird sounds into their works with near the same relevance as Mahler. In almost every other composition of Mahler one can discover sounds imitating bird calls, yes, even "bird concerts". Among contemporary composers he can only be compared in this respect to Olivier Messiaen. From Natalie Bauer-Lechner we learn that Mahler had "a very good ear" for all bird sounds and that he never tired of listening to the birds and analyzing their songs.[19] This makes it therefore even more incomprehensible that research into the sound of birds in the music of Mahler has not been carried out up to now.

The question of whether Mahler's unusual interest in bird sounds can be interpreted as a whim must be answered in the negative, because the topic for him of profound ideological interest. Mahler's aesthetics was founded on the conviction that art must be a reflection of nature. He was an adherent of the theory of imitation. He believed that musicians received "primordial rhythms

and themes" from nature and he did not hesitate to declare that he wanted his music to be understood as the sound of nature.[20] However, the sounds of nature were for him primarily animal and particularly bird sounds.

In his songs, Mahler lost almost no opportunity to mimic bird sounds and calls when they were mentioned in the text. Indeed, it can be shown that he was particulary attracted to texts in which the motif of a birdsong was mentioned. As striking examples one can cite the songs for the *Wunderhorn* cycle *Ich ging mit Lust durch einen grünen Wald* (I walked with joy through a green forest)[21], *Ablösung im Sommer* (Redemption in the summer)[22] and *Lob des hohen Verstandes* (In praise of the elevated understanding)[23]. Even more revealing is the fact that Mahler introduced cuckoo sounds into the lyrics of the songs *Um schlimme Kinder artig zu machen* (Making bad children good)[24] and *Ablösung im Sommer* and it is especially remarkable that he in some instances altered the *Wunderhorn* texts in order to introduce the image of a singing nightingale on which he placed great importance. Thus he decided to omit the last two verses of the poem *Ich ging mit Lust durch einen grünen Wald*. In their place he wrote a new stanza that begins with the following verse:

> The moon peeks through the little window,
> for sacred sweet love,
> The nightingale sang all night.

He constructed the text of *Wo die schönen Trompeten blasen* (Where the beautiful trumpets blow) from freely composed verses from the poems *Unbeschreibliche Freude* (Indescribable joy) and *Bildchen* (Little picture).[25] At the same time he added (as he was prone to do) some of own verses. One of them reads: "*Von ferne sang die Nachtigall*" (In the distance the nightingale sang). In almost all of the above named Lieder Mahler introduced calls of the cuckoos, songs of the nightingales or both.

Even in the *Lied von der Erde* (1908) Mahler did not lose any opportunity to illustrate birdsongs musically. Thus in *Der Trunkene im Frühling* (The drunkard in the spring), no. 5, bird motifs are often in the foreground. Also *Abschied* (The farewell), no. 6, contains multiple instances of birdsongs. Mention may be first made of the passage in line 18 "*Die Vogel hocken still in ihren Zweigen*" (the birds crouch silently in their branches).[26] It should be pointed out as well that *Der Trunkene im Frühling* and the first two songs of the journeymen cycle involve the literary motif of a conversation with a bird.

After the above discussion it would be really astonishing if Mahler's instrumental symphony movements did not exhibit many instances of birdsong imitations: the first movement of the First, the finale of the Second, the Scherzo and the midnight song of the Third, the two night music episodes of the Seventh, the first part of the Eighth and the first movement of the Ninth – they all contain

many birdsongs, ranging from simple calls, trills and differentiated trill motifs right up to cantilenas in free rhythms, bird duets and whole 'bird concerts'.

Are there historical models for Mahler's 'birdsong music'? Anticipating the results of a systematic study it can be said that Mahler received essential stimuli from Beethoven's *Pastoral Symphony*, Wagner's *Forest Murmurs* (Siegfried), Carl Goldmark generally unknown overture *In Frühling* op. 36 and perhaps also from Liszt symphonic episode *Der nächtliche Zug* (The night ride). Therefore he was able to build on a particular tradition. His creative powers in this area, however, surpass anything that was created before him. His bird motifs, bird cantelenas and bird concerts attain despite the stylization a high degree of naturalistic (and at the same time 'phonograpical' authenticity in reproducing even the most complicated bird sounds and bear witness to a totally amazing original auditory imagination.

2.   Mahler and the birdcalls in Beethoven's "*Scene at the brook*"

It is well known that the famous 'bird concert' which concludes the "*Scene at the brook*" from Beethoven's *Pastoral Symphony* begins with the call of a nightingale which is followed by the calls of the quail and the cuckoo.[27] The nightingale is imitated by the flute, the oboe imitates the quail and the cuckoo call is played by the clarinet. An investigation of Mahler's cuckoo, quail and nightingale motifs reveal that he was influenced by Beethoven's 'bird concert'.

First consider the cuckoo calls. In the first movement of Mahler's First Symphony the cuckoo – as in Beethoven – is imitated by the clarinet. Six bars before line 2 the clarinet repeats (at a higher tone level) the leap of the fourth d^3 – a^2 four times. A rubric reads: "imitating the call of a cuckoo". Somewhat later (at line 4) the call is again repeated by the clarinet four times but now two octaves lower ($d^1 – a$).[28] If we compare these calls with those of Beethoven in the "*Scene at the brook*" we notice two differences: in Beethoven the call encompasses a third at a middle range pitch ($d^2– bflat^1$); Mahler, in contrast, introduces a leap of a fourth in the extreme outer ranges. Already this simple comparison demonstrates Mahler's idiosyncrasy and independence. (Compare this to the statement by Natalie Bauer-Lechner at the beginning of this chapter). A closer similarity with Beethoven's model is evident, however, in the calls of the cuckoo by the flutes in the "animal episode" of the Third Symphony (5 bars after line 1). Here the pitch is in the middle range and encompasses the interval of a minor third ($eflat^2 – c^2$).

It remains to be mentioned that Mahler in the above-cited previously overlooked statement specifically designated the first cuckoo call as a "*Frühlingsruf*" (= call of spring) although he elsewhere in general spoke of a "Waldesjubilieren" (= jubilation of the forest). This difference should be noted

insofar as it confirms that the programmatic title of the first movement of this symphony "*Frühling und kein Ende*" (Spring and no end) (see chapter VI, 2) is not fictitious but is appropriate as the "subject" of the movement.

Let us turn to the quail motives. Birdsong experts have observed that the call of male quail consists of three, rarely four, loud short beeps at approximately the tone level of c^3.[29] The formula by which the quail was imitated in art music from the 18th century consisted of a dotted anapestic rhythm on a single tone. As examples one can cite Boccherini's String Quintet *L'uccelliera*, Haydn's *The Seasons* and Beethoven's *Scene at the brook*. The oboe motif with which Beethoven imitates the quail comes remarkably close in timbre and pitch (d^3) to the acoustic model. However, even more lifelike is the imitation of quail call in the "animal episode" of the Third Symphony of Mahler. One notes the distinctive four-note motif played by the oboe in bars 9-12 twice on d^3 and once on c^3.

With respect to the nightingale motifs in the "*Scene at the brook*" we have to concede that they reach a fairly high degree of 'phonographic' precision. It will be recalled that Beethoven's 'flute song' is divided into two similar 'strophes'. Each 'strophe' begins - as the actual nightingale call – with repeated notes in a freely syncopated rhythm, then passes into several repetitions and ends with a prolonged trill.[30] This is similar to the nightingale's song replicated in Beethoven's fragment *Der Gesang der Nachtigall* (The Song of the Nightingale) of 1813.[31]

Keeping in mind the Beethoven's motifs and comparing them with the flute and piccolo passages in the finale (lines 29-30) of the Second Symphony by Mahler (in the printed score both passages have the rubric "*like a bird's call*" (see Table XXXVII / XXXVIII) then we can – taking into account the results of birdsong experts – identify them as calls of a nightingale. The comparison demonstrates as well just how far Mahler distanced himself from Beethoven's archetype. While the nightingale call in the "*Scene at the brook*" consists of only two strophes, which are very similar, Mahler's cantilena-like, almost real sounding nightingale calls are individually recaptured in five separate stanzas.[32]

3.   Mahler and birdcalls in Wagner's "*Forest murmurs*"

The impact of Wagner's famous "*Forest Murmurs*" scene (Siegfried, Act II, scene 2) can be attributed primarily to the idyllic music underlying the scene and the plasticity of its birdsong motifs. Robert Lach[33] saw in them as a "limitless, awesome musical conception, unique in world literature". Even before Lach, Bernhard Hoffmann[34] had identified the motifs as imitating the calls of the yellowhammer (emberiza citrinella), golden oriole, olive-backed pipit (anthus trivialis) and nightingale. Hoffmann believed the call of the forest bird was those

of a blackbird; Lach contradicted him with the interpretation that it was the call of the blackcap (sylvia atricapilla).[35]

That Wagner's *Forest Murmurs* left a lasting impression on the young conductor Mahler is documented by his early works: *das Klagende Lied*, the Songs of a Wayfarer and the First Symphony. To clarify:

The Minstrel, the second part of the *Klagendes Lieds* begins with a prelude in C minor, which extends up to line 6. It can be conceived as a complete piece in itself. This is followed in line 6 by the minstrel theme (in F major and C major) and at line 7 a section whose function is to represent the entry of the minstrel into the forest symphonically and prepare for the alto song of the bone by the willow tree (line 8). The music of this section allows a closer look at the movement in that it is possible to determine that the orchestration and the motifs are based specifically on Wagner's *Forest murmurs*. One should consider that the foundation of the movement is based on the drawn out quintessential sound of the double basses, the cellos and the horns and later the bassoons (in Wagner the pedal points are in the horns and in the double basses). The middle tone range is dominated by a "murmuring motif" - a uniform figuration of muted divided violas and clarinets (the corresponding figurations in Wagner are initially in the low strings).[36] The harmonic changes are slow – as in Wagner – and the timbre is dark. Against this 'wall of sound' birdsong motifs resound in the higher tonal levels - also as in Wagner – namely, trilling cantilenas in the woodwinds (flute, oboe, piccolo) that do not have, however, any resemblance to Wagner's motifs.

There are however some resemblances to Wagner's bird motifs in the woodwind motifs in the middle part of the first song of the wayfarer (after line 3), which illustrates the singing of a "little bird". Especially the flute motif (3 bars after line 4) can be conceived as an imitation of Wagner's call of the oriole. The motifs of the solo violin trills at the words "*Vöglein suss! Du singst auf grüner Heide!*" (= sweet bird! you sing on the green meadow!) as well as the trill motifs of the oboe and clarinet a little later in line 4 do not have any parallel in Wagner's *Forest Murmurs* and can probably to be interpreted as lark calls.[37]

Considering, finally, the so-called Trilili motif[38] ($e – f\# – c\# – f\# – e$) in the opening movement of the First Symphony (5 bars after line 9) undoubtedly resembles at least diastematically the characteristic final phrase of Wagner's nightingale call ($e – c\# – f\# – e$). On the other hand the trilili motif is tonally almost exactly the same as the actual call that is typical for a song thrush (turdus philomelos) as described in Bernhard Hoffmann's study.[39] It is worth noting that the song thrush – according to Hoffmann's observations – has a reputation for usually singing its call three times in succession without interruption. This is similar to Mahler's trilili motif at the beginning of the development (line 12) when the call appears for a total of eight times in groupings of two, three and

then again three times. The pitches are: $a - b - f\# - b - a$. Thus, it seems that Mahler's trilili motif might be identified as the call of the song thrush.

4.   The "bird of the night"

If one accepts the perception that characteristics of a mental attitude sometimes manifest themselves in the details, then it is symptomatic that the cries of night birds, whereby owls are primarily intented, did not begin to play a role in music until the Romantic period. The music of the Wolf's Glen scene from Weber's *Freischütz* (1820) certainly seems to be the first composition in which the call of a night bird is imitated onomatopoeically. At the beginning of the scene a choir of invisible spirits imitate, with a high tremolo of the strings, the sounds of an eagle owl, eleven times in unison. This is accompanied in the woodwinds by a sharply accented sixth motif (a^1 - a^1 - $f\#^2$). Then the clock strikes twelve. Bernhard Hoffmann[40] has interpreted the woodwind motif as an imitation of the tawny owl.

As impressive as the night bird calls in the Wolf's Glen scene might seem, they remained in Weber and – as it seems – in all Romantic music singular. Only in Mahler's oeuvre did they acquire due to their frequent recurrence a particular relevance as the voices of nature and of the night, as "natural sounds". This is illustrated in the following documentation (see Table XXXVI):

Bird call-like motifs are introduced at five points in the midnight song of the Third Symphony. Each call resounds three times (except for the call in line 8 which is only repeated once): first in the oboe (in line 2), then in the English horn (2 bars after line 3) and then in the oboe (i.e. at lines 6, 8 and 11). In lines 2 and 6 of the printed score the words "*as a sound of nature*" appear. In the autograph the heading "*the bird of the night*" is found at several places. Taking into consideration that the first oboe call is in response to the question of the alto soloist "*was spricht die tiefe Mitternacht?*" (= what does the deep midnight say?), then it is possible to interpret the calls of the "*bird of the night*" as the voice of mystery revealing the secret world of midnight.

The physiognomy of the calls gives rise to a number of insightful observations. Leaving aside the complicated formations, it can be observed that each call is notated with two tones at the interval of a minor or major third upwards (d^2 - f^2, $bflat^1$ - d^2 , f^2- a^2). Thus at all five positions the sound is "pulled up". In addition respectively in each of the three last passages each of the last calls is extended by a passage of several tones which ends with a "leap down" from the highest tone (a^2) to the lower tonic tone (d).

After one has consulted the relevance birdsong literature, there can be no doubt that Mahler's "*Bird of the Night*" imitates the call of the tawny owl. The

hooting call of the tawny owl (huhu) is more or less "disyllabic" according to Alwin Voigt[41] and leaps from a repeated *e* up to *g* or *a* . The so-called "huyu" call of the tawny owl can also leap downward. The intervals, pitch, declamation, timbre and ductus of the calls – all this is imitated in Mahler's astonishing passage for the oboe.

As impressive as these examples imitating the call of the tawny owl in the midnight of the Third Symphony might be, they are not the earliest in Mahler. Calls of a night bird already appear in the finale of the Second Symphony and specifically before the "*Great Summons*" at bars 452-453. The call "*from afar*" played "*extremely quietly*" by an off-stage trumpet (on the tones *c#² – e²*) can now be easily identified as the call of the tawny owl![42] Particularly noteworthy for the exegesis of the passage is that the night bird calls immediately follow the horn with its "cry of despair in the desert" and this leads up to the call of the nightingale, i.e. the song of the "*bird of death*" (discussed in detail below). The *Great Summons* therefore takes place at night.

Once one has identified the call of the tawny owl in the midnight song in the Third and in the finale of the Second, one is not particularly surprised to discover that in all the orchestral compositions of Mahler involving night scenes the call of a night bird can be found. As such one can first include the Rückert Lied *Um Mitternacht* (= At Midnight) with its repeated ostinato stereotypical call of the clarinets on *c² – a¹ – c²* (also in the lower octave) and the motif of a third in the oboe d'amore with the characteristic sudden leap downwards (*e² – g² – f² – a*) at line 2 and at line 8. In fact one can even identify the motifs: the oboe motif is the call of the tawny owl, the clarinet calls, however, can be regarded as the hooting calls of the eagle owl.[43] In a very similar form the call of the tawny owl is met in the first night music of the Seventh Symphony (line 99), where the motif is shared by the flutes and oboes (on the tones *bflat² – aflat² – c*).[44] Finally, *Der Abschied*, the last song of the *Lied von der Erde* provides another example of a hooting call: the melody sung by the alto soloist to the words "*Die Welt schlaft ein*" (= The world falls asleep) at line 20 is nothing more than a repeated 'Uhu' call (*d¹ – f¹ / d¹ – f¹*). This is answered two bars later by two horns a fourth lower (*a – c¹ / a – c¹*) (see Table XLV).

5. The "bird of death"
The song of the nightingale as the "echo of earthly life"

We have already taken a special interest in the "*Great Summons*" in the finale of the Second Symphony (i.e. the passage at line 29/30, see Table XXXVII / XXXVIII) because of its importance for the exegesis of the work. We have discussed it as an example of the type of '*music from afar*' as well as an

example of the very artful singing of the nightingale. The question which we now want to pose is: what are the semantics of this singing nightingale?

Mahler spoke about this passage several times. In the version of the program formulated in his letter to Alma from December 15, 1901 he wrote (AME 269):

> "The "*Great Summons*" is heard – the trumpets of the Apocalypse ring out; in the eerie silence that follows we think we can just catch the distant, barely audible song of a nightingale, *a last tremulous echo of earthly life*!"

In another version of the program discussed by Natalie Bauer-Lechner, he characterized the song of the nightingale as the "*call of the bird of death*" (BL 23):

> "Breaking in again and again – *as if from another world* – the "*Great Summons*" sounds from the Beyond. At last, after everyone has shouted and screamed in indescribable confusion, nothing is heard but the long drawn–out *call of the Bird of Death* above the last grave – finally that, too, fades away."

Also Mahler's sister Justine spoke in her report about the performance of the Second Symphony in Berlin on December 14, 1895 – according to Bauer-Lechner – about a passage "where the dead bird on the graves buzzes its last long drawn out tones" (BL 22).

Mahler thus spoke of the distant nightingale singing of the "*Great Summons*" both as the "*call of the bird of death*" and also – more specifically – as "the echo of life on earth". The two interpretations do not contradict each other.

Even if one can expect all sorts of surprises in Mahler, one is nevertheless impressed when one discovered a passage with similar semantics in the first part of the Eighth Symphony. Two bars before line 20 a solo violin plays "*always somewhat ephemerally*" a cantilena-like motif in the manner of a nightingale which recalls the call of a bird. At the same time the call-like motif is taken up by the flute and later by the 'doubled' piccolo, while the choir repeats several times the words "*infirma nostri corporis*". The semantics of the passage should therefore be clear: the bird whose singing the solo violin imitates is a "*bird of death*". It becomes a musical allegory for the meaning of the text, i.e. the vicissitudes of life.

With respect to the exegesis of the Ninth Symphony it is also important to notice that individual woodwind passages in the section entitled "*misterioso*" (bars 376-390) resemble the above discussed bird call of the Eighth.

Finally, it might be mentioned that according of Bernhard Hoffmann[45] the composer Herman Zumpe (1850-1903) introduced the call of a "*bird of death*" (or more specifically the call of the black woodpecker (dryocopus martius) also

known as the crow of death) into his exotic, unfinished opera entitled *Sâwitri* as a symbol indicating a premonition of death.

6.   Bird cantilenas, duets and concerts

As already indicated, Mahler's 'birdsong music' includes in addition to simple calls and differentiated tirili motifs also rhythmically free melismatic cantilenas, duets, and terzets and even full-blown bird concerts. Let's consider this in more detail.

Excellent examples of the cantilena types are offered by the birdsong motifs in the already discussed finale of the Second Symphony, in the first part of the Eighth and in the the *Misterioso* of the Ninth. Two equally impressive examples appear in *Abschied* (at line 3 and line 22). In both instances Mahler accompanies the recitative of the alto soloist with quite freely articulated melismatic bird cantelenas played by the solo flute.

The text reads:

> The sun departs behind the mountains.
> In all the valleys, evening descends
> with its cooling shadows.
>
> It blows coolly in the shadows of my spruce.
> I stand here and wait for my friend;
> I wait to bid him a last farewell.

Thus bird song duets and polyphonic bird concerts can be identified in the "*animal episode*" of the Third Symphony, in the two night music sections of the Seventh, in a passage in *Abschied* and in the *Misterioso* of the Ninth.

With respect to the "animal episode" ("*What the Animals in the Forest Tell Me*") of the Third Symphony it can be said, that it is basically a "bird song". Its motifs are in fact largely composed of bird calls and bird songs (specifically of the quail, cuckoo, nightingale)[46] which often join together in duets, trios and complete concerts. Such duets or trios can be found for example in line 16 where the long echoing cries of the oboe are combined with many short calls of the bassoons. In line 26, the muted horns and trumpets repeat a call several times, first in thirds, then in a diminished triad chord. Then in three passages a complete concert is imitated. At lines 4-6 and lines 23-26 trill motifs and chains of the trill motifs appear in one or several voices. At line 30 the higher woodwinds imitate again and again the initial lonely birdcall of the clarinet, resulting at the end in a jumble of voices.

Three bird concerts are found in the first night music section of the Seventh Symphony (lines 69-72, line 91 and line 108 up to the end; see Tables XXXIX / XL). These three artfully crafted passages take on the function of a prelude, interlude and epilogue within the movement. Both the prelude and the epilogue begin with a kind of introduction, a highly differentiated polyphonic section, where individual voices stand out due to their warbling bird call-like character. The sections conclude with a chorus of chirpings. The interlude dispenses with the polyphonic 'introduction' and confines itself to the chirping.

If we now investigate the *Andante amoroso* (the second night music) of the Seventh Symphony in the light of the above discussion, then it is not difficult to prove that certain motifs imitate bird calls. First of all, a bird call motif can be identified in the accompanying motif of the clarinet at the beginning of the movement, which ends with a trill and also functions as an ostinato. Both Richard Specht[47] and Paul Bekker[48] interpreted the motif as a "fountain sound". Three observations suggest, however, that the motif can be identified as bird call: the motif resembles more closely a bird call rather the splashing of a fountain, the motif has similarities to the bird song motifs from *Der Trunkene im Frühling,* and finally it is combined as a duet in the 'trio' of the night music (line 197) with a second articulated staccatissimo clarinet motif , whose character quite obviously resembles a bird call.[49] It would be superfluous to add that the motifs of the *Andante amoroso* provide clues for the exegesis of the movement.

Of the last two examples of our documentation, Mahler's music for *Abschied* in lines 18/19 at the words "*Die Vögel hocken still in ihren Zweigen*" (= the birds crouch silently in their branches) illustrates the birds with short combinations of bird calls in the woodwinds, while the *Misterioso* of Ninth Symphony (first movement, bars 376-390) can be described as an amazingly bold 'linear' chamber music section utilizing bird song motifs.

After having exhaustively investigated all the various forms of Mahler's 'bird call music', we must emphasize that especially in the last above mentioned passages a degree of originality, craftsmanship and (despite all the stylization) realistic imitation is attained for which it would be difficult to find a parallel in modern music if Olivier Messiaen, the master of musical ornithology, were excluded.[50]

XVIII. Elementary Motifs

> "Even outside of art, sound as an interjection, as a
> cry of pain, as a sigh, as a laugh is already an
> immediate vivid expression of various states of mind
> and feelings – the ohs and ahs of consciousness."

> "Therefore interjections probably form the starting point of
> music, but music is itself art only by being a cadenced
> interjection, and in this respect it has to dress up its
> perceptible material artistically to a greater extent than is
> the case in painting and poetry; only then can the spiritual
> subject-matter be expressed in an artistically adequate
> way."
> HEGEL, *Aesthetics* III[51]

> "Everything screams! It is the same in the Venusberg as in
> Tristan; in the first instance it vanishes into the state of
> grace, in the latter it is lost in death, everywhere the cry, the
> lament! And the origin of these accents certainly was not
> exactly the Sabbath kitchen of Berlioz!"
> RICHARD WAGNER[52]

The music of the nineteenth century contains within itself a diverse world of elementary motifs which often function in operas, music dramas and symphonies as 'building blocks' and which (despite their simplicity and unassuming brevity) are of particular relevance for the exegesis of these works. Of the many classes in which the elementary motifs can be divided we will concentrate our attention of two classes (calls / signals and sigh motifs) because they are of particular interest for symphonic music.

1.   Calls and signals

Music historians who try to maintain a border between classical and romantic music often draw attention to the new sound structures, the coloring and the rich 'luxurious' harmonies of Romantic music. No less significant are two other categories that are easily overlooked: music characteristics and the anchoring of music in the realm of the "poetical". [53] These elements were touched upon indirectly by Robert Schumann in his review of the Great C major Symphony of Schubert when he wrote about the categories of Romantic music: "life in all its facets, color down to the finest gradation, meaning anywhere" and "the sharpest expression of the individual ". [54]

Against this background two of the most significant expressive forms of the Romantic spirit can be taken under the microscope, namely calls and the signal-like motifs. Hüon's horn call from Weber *Oberon* (1826) may serve as a symbol of a new era.

Calls and signals function as constitutive elements not only in Wagner's operas and dramas, but also in the symphonies of Mendelssohn, Schumann, Brahms, Liszt, Bruckner and Mahler. The peculiar quality of Felix Mendelssohn's mature symphonic oeuvre for example stems not least from his extensive use of these elements. Mendelssohn's concert overtures would be unimaginable without the many signals and fanfares that they feature and in his three major symphonies calls and signals assume an elevated importance. Thus signal-like call motifs play a leading role in the *Allegro con fuoco* of the *Reformation Symphony* (1829/30). The second movement of the *Scottish Symphony* (1829-32) is introduced with a woodwind signal and sigh-like call motifs by the woodwinds occur in the Allegro vivacissimo (*Allegro guerriero*) of the *Scottish Symphony* in bars 183-225 (from F on) accompanied by the counterpoint of a string fugato. Finally a double triadic call not only determines the profile of the main theme of the *Italian Symphony* (1830-33) but it also is found in long stretches of the movement, which otherwise is rooted in the *Vivace* of the Beethoven's Seventh Symphony. Incidentally, it is significant with respect to the influence of Mendelssohn on several symphony composers that the opening movement of the Fourth Symphony (1885) by Brahms (a composition that was influenced by Mendelssohn's *Hebrides Overture*) includes an important signal-like motif.

The symphonies of Bruckner also contain a number of signaling and call-like elements which can be attributed to programmatic semantics but these will have to be discussed in detail elsewhere. At this point it will only be mentioned that Bruckner's affinity for the 'Romantic' manifested itself in his preference for call-like motifs. Thus it is significant that the main theme of the *Romantic Symphony* is formed of four horn calls. Call-like motifs by the horns the Ninth and the opening movement of the Sixth includes a call-like motif that is

answered by a horn (in a transposition). Incidentally it should be noted that this motif corresponds note-for-note with the call of Ortrud's revenge theme (*Lohengrin*).

Turning now to the symphonies of Mahler, there is not one of them which does not include calls, signals and / or fanfares. Signals and fanfares in Mahler are so numerous and so important that they demand a separate investigation.[55] Focusing first on the calls, so we must first mention that they are encountered in almost all his recitative / arioso sections (see chapter XII, 1). For Mahler's 'romantic' tendencies it is then significant that several movements start with a horn call (the scherzi of the Fourth and the Fifth Symphony and the *Trinklied von Jammer der Erde*). As a third point it should be recalled that some of Mahler's calls function as exclamations and invocations and others act as signals.

The triple horn and trumpet calls just before the climax (9 bars before line 29) in the second movement of the Fifth, for example, have the character of an exclamation or of an invocation. It can be compared to the *Allegro maestoso assai* of the *Scottish Symphony*, 18 bars before the conclusion. A similar function is assumed by the double horn call at the climax of the scherzo of the Fifth (line 28) and the violin call in the recitative-like middle section (lines 25-34) of the *Trinklied vom Jammer der Erde*. In contrast, the leitmotif of the recurring horn call in the *Trinklied* and the triadic yet equally dissonant trumpet motif in the opening movement of the Third (first in line 9) resemble signals. The latter is a striking design that is based on the battle cry of the Huns in Liszt's *Battle of the Huns* (!). In characteristic transfiguration the same theme also served as a model for the scherzo (1 bars after line 63 and at line 65) and the finale (10 bars after line 104) of the Sixth Symphony.

A separate group is formed by calls with echos (see Table XVIII). The *Scène aux champs*, the third movement of the *Symphony fantastique*, served as a prototypical example of this topos. The movement begins with the five English horn calls that are answered by the oboe (in the higher octave) in the manner of an echo. Berlioz's program explains the passage as calls between two shepherds herding cows (*un ranz of vaches*).[56] In Mahler calls with echos appear in the scherzo of the Fifth (after line 29), and in the first night music of the Seventh Symphony. In both cases the horn calls are answered by a muted horn.

2.   Sighing motifs
Plaintive cries, woes, motifs of suffering, "screams"

With respect to "sighing motifs" (meaning very expressive falling motifs mostly consisting of the interval of a descending second) it could easily be argued that they belong among those formations 'inherited' as musical topoi over centuries. In the 18th century the so-called Seufzers or sigh motifs ranked among the most

popular musical figures. In the 19th century – both in music dramas as well as in the symphonic sphere – they appear in new, diverse forms as elementary expressions of lamentation and woe, i.e. as sounds of pain and "screaming".[57] Let us consider some of the most interesting manifestations.

The examples of the "Seufzer" motif are compiled in Table XLI from various composers (Brahms, Mahler, Richard Strauss). They represent various manifestations of the same basic shape.[58] From the texts that accompany the first three examples it is clear, that the motif from the *German Requiem* by Brahms and *Klagendes Lied* of Mahler have the semantics of a lamentation. The flute calls in the *Klagendes Lied* (*The Minstrel* - line 9 and 4 bars before line 29) echo the last notes of the melodic phrase of the alto soloist to the words "*da liegt ein blonder Rittersmann unter Blättern und Blüthen begraben*" (= a blond knight lay buried there under leaves and flowers) and "*Um ein schönfarbig Blümelein hat mich mein Bruder erschlagen*!" (= my brother killed me because of a beautiful little colored flower).

The table illustrates as well that sigh motifs are especially prominent in Mahler's Second Symphony. Thus, the expressive oboe melody in the requiem-like epilogue of the first movement (7 bars after line 6) consists of nine cries of woe following one another. They are taken up in the development section of the movement by the horns (6 bars after line 11). Then in the finale of the Second Symphony the theme of all three recitative sections which involve faith (see chapter XII, 1) are strictly developed from sighing motifs. The Adagio from the second part of the Eighth Symphony is also primarily based on sigh-like motifs. One can refer for example to the expressive motifs marked *appassionato* in line 8.

The deeper one delves into Mahler's work, the clearer it becomes that he retained certain means of expression with symbolic semantics over many years. Indicative of this is the recurrence of the above cited cry of lamentation from the *Klagendes Lied* in the Ninth Symphony (opening movement bars 130-132). As would be expected, however, a comparison of the passages reveals that the motifs are incorporated into the structure of the Ninth in a completely different way. While they completely dominate the two passages in which they appear in the *Klagendes Lied*, in the Ninth they function within the context of a contrapuntal voice that is seemingly unrelated to the main melody of the cello - certainly on purpose.

Lamentations differ from cries of woes not only diastematically but also in volume, in the articulation and in the harmony, which gives preference to dissonant formations. Particularly impressive examples in Wagner's dramatic works are Alberich's cries of woe in *Das Rheingold* and the outcries of Parsifal in the scene with Kundry ("*Amfortas*", "*Oh! Klage! Klage! Furchtbare Klage, aus tiefstem Herzen schreit sie mir auf*" (= Amfortas! O lament! Lament! Fearsome lament! It cries to me from the heart's deepest depth!). An instructive

example of Mahler's work is found in the wedding music of the *Klagendes Lied*. Immediately before the collapse of the castle walls (line 81) the chorus sings a long drawn out cry of woe (see Table LXXIV). The passage is a grating dissonance based on the 'minor' dominant ninth chord (see Chapter XXV, 5). It is remarkable that this cry of woe appears without the slightest change (but of course without the text) in the finale of the Mahler's First Symphony *Dall'Inferno al Paradiso* (5 bars before line 4). There can be no doubt that the passage has the semantics of an infernal 'scream' in the symphony. Other cries of woe worth noting appear in the third Wayfarer song.

"Seufzer" motifs retain the imprint of sounds of pain and screams even if they are preceded by an 'up-beat' and when its highest tone is achieved with a leap involving a large interval. Examples of this topos are illustrated in Table XLII, compiled from the symphonic works of Liszt and Mahler.

Liszt considered the three-note motifs cited in the table from his *Mountain Symphony* to belong among those thematic elements which he characterized as the "voice of humanity". It is "dull, full of sounds of pain, intensified by blasphemy, crying and cursing" as he explained in his program. Of the other examples in the table the motifs from Mahler's Fifth especially deserve to be studied because they represent transfigurations of the same basic shape and because they serve as elements which link up of the first two movements of the symphony. It is interesting to follow the metamorphoses of their chameleon-like changing shapes.

The first time they occur – as an accompanying motif – in the A minor trio of the funeral march (line 15) their characteristic interval is the diminished ninth. At the beginning of the second movement the motifs have the character of screams. At this point they are incorporated into the opening motifs out of which the main theme materializes. The characteristic interval alternates between the diminished minor ninth and the major ninth, at times even the diminished tenth. In the development of the movement (after line 11) the motif is altered to such a degree by rhythmic agogic extensions and the increasing diastematic reductions of the leaping interval (first a major seven, then a minor seventh and then, finally a minor sixth) that is assumes the character of a cry of woe or lamentation. Finally just before the beginning of the recapitulation (6 bars before line 18) the character of the motif suddenly brightens.

Cries of jubilation have nothing in common - of course - with sighing motifs. Rather, they represent morphologically and semantically diametrically opposed formulations. However in order to give a complete picture of the various types of 'cries' we might conclude with a few examples of cries of jubilation. A prime example from Wagner's dramatic works is the six-time call of the English horn in the third act of *Tristan* (first scene), when Kurwenal reports the sighting of the ship and exclaims "*O Wonne! Freude*" (= Oh elation! Joy)(see Table XLII). One is amazed to discover that Wagner's cry of jubilation

appears almost without change in Mahler's *Klagendes Lied*. In the wedding scene it concludes the two stanzas of the festival music (line 46 and line 52). Mahler's own text for the choir (the diction is genuine Wagnerian) reads: "*O Freude! Heiah! Freude*!" (= O joy! Heiah! Joy).

XIX. Motifs of falling and symbols of the abyss

> "Space and the nothingness, mass and void, in music all of that is more than an image, yet it is less than a full reality."
> ERNST KURTH (1925)

Ernst Kurth, who often thought in terms of physical categories, was probably the first to point out that a kind of spatial perspective is clearly recognizable in Bruckner's symphonies. Kurth traced the space-sensations which are established when hearing Bruckner's music back to a confrontation between mass and void.[59] He examined the various waves of increasing sound intensification and he was particularly interested in the designs of the climaxes.

Kurth's views sometimes went beyond the realm of the scientifically justifiable, as when he speaks of a "symphonic spatial soul" in Bruckner or even of the "spatial bliss" of the mystic. Despite this, his reference to a spatial aspect in Bruckner's symphonies undoubtedly opened up a new avenue of research and it is a perception of lasting value. However before delving into this aspect we would like to consider the thesis that these spatial effects did not originate in Bruckner's symphonies. Their origins can likely be traced back to Wagner's operas.

Certain spatial qualities are also very pronounced in Mahler's symphonies. However the manner in which his "spatial designs" manifested themselves is fundamental different from Bruckner's. There is no denying that in some early works of Mahler the waves of increasing sound intensification and the designs of the climaxes were modeled on Bruckner's forms. The most instructive example for this is probably the orchestral introduction to the second part of the *Klagendes Lied* (*The Minstrel*). Generally however Mahler's waves of increasing sound intensification are distinguished by characteristics which are foreign to Bruckner. They are short-winded and they often enfold in several stages. Usually they rise quickly and steeply ascend to the climax. Also Mahler introduced certain features into the designs of the climaxes which are unknown in Bruckner (see chapter XXV, 5 and 6).

A very characteristic 'spatial' tendency in Mahler's music is the appearance of rapid and unexpected crashes of sound descending suddenly from the higher ranges down to the depths. Three instructive examples are found in the slow movement of the Fourth Symphony (bars 88-91 and 209-212), in the *Abschied* (bars 93-97) and in the first movement of the Ninth. In all three cases falling motifs at a catastrophic high point are followed by a sudden 'crash' of the whole orchestra. The music gives the impression that it is plunging downward. The volume of sound rapidly decreases (diminuendo from *forte* to multiple *pianissimo*).

In the latter instance, the strings take over the falling motif of the woodwinds and lead it via chromatically descending running figures over a tonal range of over five octaves (starting with a low *A flat* up to a high *f*). In creating the "sound-scapes" of several of his climaxes, Mahler used similar chromatically structured descending running figures in the strings leading to a plunge from the heights to the depths over the space of two, three or four octaves – along with a rapid decease of the volume.

The most striking examples of this technique are: Second Symphony, first movement (lines 19 and 27), scherzo (before line 32 and before line 47), finale (before line 13); Sixth Symphony, scherzo (at line 100; and the Seventh Symphony, first night music (before lines 72, 92 and before line 111) and third movement (line 160). The 'crash' at the end of the first movement of the Second Symphony immediately follows a major-minor section (see chapter XXV, 2). The 'crash' is similarly prepared in the scherzo of the Sixth and in the *Night Music* of the Seventh.

Most of the above discussed passages give the impression that the music rushes from the peak into an abyss. The uniformity of the designs, the appearance of the major-minor section and other observations made it seem certain that Mahler wanted to imbue these passages with a specific symbolic meaning.

To avoid confusion, we must note that the falling motifs and 'crashing' passages described above in Mahler differ essentially from those passage that Theodor Adorno [60] designates as '*collapse passages'*. Adorno's collapse passages are characterized primarily by a slow gradual descending melodic line. This is the common feature of all three passages cited by Adorno, namely the conclusion of the third *Wayfarer* song (line 25), which recurs with a similar melody of the horns in the opening movement of the Second Symphony (5 bars after line 12) and in the 'collapse' in the funeral march of the Fifth Symphony (line 18). Adorno seems to have missed the fact that the model for this type of collapse was created by Wagner in the Venusberg music.

XX. Symbols of night and of sleep

> Muss immer der Morgen wiederkommen?
> (= Must the morning always come back?)
> NOVALIS, *Hymns to the Night*

> Ewig währ' uns die Nacht!
> (= May our Night endure for ever!)
> WAGNER, *Tristan und Isolde*

> Schlaf – Schlaf – tiefer Schlaf! – Tod!
> (= Sleep ... sleep ... deep sleep! . . . death!)
> WAGNER, *Parsifal*

> Schlafen, Schlafen, nichts als Schlafen!
> Kein Erwachen keinen Traum!
> (= Sleep, sleep, nothing but sleep!
> No awakening, no dream!)
> HEBBEL, *In praise of pain*

> Grato m'è il sonno, e più l'esser di sasso
> Mentre che il danno e la vergogna dura
> Non veder, non sentir m'è gran ventura
> Però non mi destar, deh' – parla basso!

> (= I am happy for sleep, and more for being of stone.
> For so long as injury and shame endure,
> Not to see, not to hear are for me a great adventure.
> Nevertheless, do not disturb me, eh!—speak low.)
> MICHELANGELO[61]

> Die Nacht blickt mild aus stummen ewigen Fernen
> (= The night looks down tenderly from silent eternal distances…)
> GUSTAV MAHLER[62]

It has often been said that the night is one of the most important and most characteristic symbols of Romantic period. That does not mean that the Romantic first discovered the poetry of the night. Even in the enlightenment it had become a symbol of sentimentality and melancholy. However, one must agree with Alfred Einstein[63] when he says that the "sinking into the unconscious, the Orphic night" was a specialty of the Romantic.

In any case one can say that the Romantic had a special affinity for the night theme, not just in the historical sense of the word. The night – as a symbol of death, of Nirvana, of forgetfulness, of the river Lethe, of bliss – appears especially frequently as a factor in determining the 'subject matter' in the more

sophisticated music of the second half of the 19th century: in September 1857 Richard Wagner began creating the text for the second act of *Tristan* with a poem on the theme of the "*Wonnereich der Nacht*" (= the rapturous realm of the night). In his autobiography, he once spoke of the "soft night sounds" in this act, which he began composing in early May of 1858.[64] In 1858-59 Franz Liszt composed his symphonic episode *The Night Ride* to Lenau's Faust. In 1864 he wrote the symphonic ode funèbre *The Night* (GA I, 12), a dark composition that gave expression to Michelangelo's pessimistic funereal verses on his *La Notte* statue. In 1899 Claude Debussy completed – probably under the influence of etchings of James Whistler– the second version of the *Trois Nocturnes*, an archetypal work of impressionist music. Some years earlier, Friedrich Nietzsche's *Zarathustra*, an epic "intoxicated by the night", inspired two symphony composers (oddly enough, at the same time). In the summer of 1896 Gustav Mahler set to music the sleepwalkers song (*Mitternachtslied*) of Zarathustra and incorporated it as the "cosmos" into the fourth movement of the Third Symphony. Shortly thereafter, on August 24, 1896, Richard Strauss completed his tone poem *Also sprach Zarathustra*.

Mahler's oeuvre has even more 'Night pictures'. To the sleep walker's song from *Zarathustra* and the Rückert song *Um Mitternacht* (1901/02) must be added the two night music episodes of the Seventh Symphony (1904/05) and the *Abschied* from the *Lied von der Erde* (1908). In almost all of these movements (the only exception is the second night of the Seventh Music) Mahler introduced, as already discussed, stylised hooting calls of the tawny owl and the eagle owl, which function as musical symbols for the night (see chapter XVII and Table XXXVI). There can be no doubt: the night can be viewed as a category of Mahler's music and it was a spiritual area that Mahler intensively dealt with. Very significant in this respect is the above cited poem from Mahler's youth *Die Nacht blickt mild aus stummen ewigen Fernen* (1884) (= Night falls gently from mute, eternal distances), an eerie pessimistic poem that belongs to the cycle *Songs of a Wayfarer* and which expresses suicidal thoughts poetically.[65] This poem must have meant a lot to Mahler, because in 1908 (twenty-four years later) two verses from it were added with a few changes to the *Abschied*: "*Und müde Menschen schliessen ihre Lider / Im Schlaf, auf's neu vergess'nes Glück zu lernen*" (= And weary men and women close their eye lids in sleep to learn lost happiness anew).

In addition to the night scenes, a sleep symbol can be detected in Mahler's symphonies. One example is the descending chromatic motif in the manner of tone painting that appears in two passages of the *Abschied*, played by the bass clarinet and the bassoon. The first time it illustrates (1 bar after line 16) the passage "*die müden Menschen geh'n heimwarts, um im Schlaff vergess'nes Glück und Jugend neu zu lernen*" (= the tired men and women tread homewards, in order to relive in sleep lost happiness and youth anew). The second time

(before line 20), it frames the words "*Die Welt schläft ein!*" (= the world is falling asleep!), where it is sung around triadic intervals of the night motif (see below Table XLIV / XLV).

Similar sleeping motifs can be found in the first movement of the Third Symphony. Here they appear at the end of the recitative sections before lines 10 to 17. They are played respectively in unison by the bass clarinet and the bassoon and then by the muted cellos.[66]

It is remarkable that Richard Strauss also used a similar motif in *Don Quixote* (1897) for illustrating sleep. At the end of the fourth variation, he depicts Sancho Panza's descent into sleep with a descending melodic line played by a bass clarinet and tenor tuba in unison together with a 'yawning' glissando of the bass tuba and contrabassoon down to the bottom of the scale.

Finally we should mention the 'night images' in the *Alpine Symphony* (1915) of Richard Strauss. In complete agreement with the programmatic idea this artful composition (Strauss's last contribution to the genre of symphonic program music) is based on a mirror-like symmetrical framework, which can be explained as a sonata form, as a bow shape and a variation form. The formal layout is as follows: Introduction (A) - Exposition (B) – Development (C) - shortened and modified Reprise (B ') - Coda (A'). The introduction included the sections *Night* and *Sunrise*. The exposition describes the different phases (variations) of the *Ascent*; the development lingers *On the Summit*. The modified reprise describes in a very colorful manner the '*storms*' and '*gales*' experienced during each stage of the descent while some of the leitmotifs of the exposition reappear in reverse order (a feature which is often overlooked). Finally the coda brings the conclusion with the *Sunset*, *Finale* and *Night*.

A musical symbol of the night is created by a soft 'wall of sound', woven in descending steps based on the consistent tones of an aeolian B flat minor scale. The musical illustration thus evokes the poetic image of the night throwing out its veil.

XXI. Satanism and the Crucifix

The polarity of the spiritual world in the music of Franz Liszt

> "The naïve is not a polar opposite, rather this applies to the sentimental [= sentimental, in Schiller's sense]."
> NOVALIS, *Die Enzyklopädie* VI, fragment, no. 1401

> "The eternal and absolute agony, the eternal and absolute bliss are two sharp contrasts, which are presented to us as objective criteria, but which are visualized by us through infinite gradations and nuances of the human soul."
> RICHARD POHL (1858)[67]

Over more than its century Liszt research has expanded our understanding of his music in the field of biography, source studies, and critical editions of his works and to some extent in the field of stylistic analysis. Two other areas however remain almost completely unresearched, i.e. Liszt's spiritual world and the exegesis of his music. These two areas are bound together in an interdependent relationship. Without the exploration of the spiritual world of an artist of the stature of Liszt one cannot gain access to a deeper understanding of his musical creativity. Conversely Liszt's spiritual world can be fathomed only after an exegesis of his music is developed. At the same time the eminent relevance of these two research areas, the spiritual world and the musical exegesis, must encompass an awareness of the powerful influence that the theoretical, artistic, religious and philosophical ideas of Liszt exercised on several leading composers the 19th century: Richard Wagner, Friedrich Smetana, Peter Tchaikovsky, Anton Bruckner, Richard Strauss and Gustav Mahler.

1. Liszt's attraction to Goethe's *Faust* and Dante's *Divine Comedy*

The Faust and the Dante Symphonies crown the symphonic output of Franz Liszt. Liszt himself considered them to be among his best works. In a letter to Louis Köhler of May 24, 1856 he described his preceding nine symphonic poems (Mountain Symphony, Tasso, Les Préludes, Orpheus, Prometheus, Mazeppa, Festklänge, Héroïde Funèbre and Hungaria) as prolegomena to the Faust and Dante Symphonies (FLB I. 223).

Dante's *Divine Comedy* and Goethe's *Faust*, and especially the Faust material, exercised a special fascination on Liszt. It would be no exaggeration to say that it occupied him from his youth until his death.

Hector Berlioz relates in his memoirs[68] that on the first day that he met Liszt in Paris (it was the day before the premiere of the *Symphonie fantastique* on December 5, 1830) he spoke to him about Goethe's *Faust*. Liszt confessed to him that he have not read it yet, but "*soon afterwards he was gushing about it as much as I.*" A work of Berlioz, *The Damnation of Faust*, provided Liszt with the impetus for the composition of the Faust Symphony.[69] The earliest drafts date from the mid-1840's at a time when Berlioz was still working on his major Faust composition. Liszt let several years pass before he began to develop the sketches. He only began composing the work in August of 1854, but once started he completed the work quickly and on October 19, 1854 the score was finished. The "masterpiece" was followed by several "epilogues". In 1858/59 he created the two episodes from Lenau's Faust, i.e. the *Night Ride* and the *Dance in the Village Inn* (= first Mephisto Waltz).[70] In the early 1880's Liszt wrote a second, a third and a fourth Mephisto Waltz.

The Dante Symphony was also preceded by a long and intense engagement with the material. His so-called *Dante Sonata* can be regarded as the "prologue" to the symphony, which owes its existence to the impression left by a reading of the poem with the Countess d'Agoult in 1837.[71] Twelve years later Liszt returned to the sonata again and subjected it to a thorough revision. At the same time he began to think about a Dante Symphony. The earliest drafts date from around 1845. In the winter of 1847/48 he played "*the motifs of Dante*" for the Princess zu Sayn-Wittgenstein in Woronince.[72] As with the Faust Symphony, it took several years before he approached the development of the Dante Symphony. That only happened in the summer of 1855. The composition of the work occupied him until July 8, 1856.

Liszt's interest in the *Divine Comedy* did not end with the composition of the symphony. A letter to the Princess zu Sayn-Wittgenstein of 1862 indicates that he was still delving into Dante's poetic sources (FLB VI, 13). And Lina Ramann[73] reported that even on his last trip to Bayreuth he carried with him a copy of the *Divine Comedy* "which had served him for half a century", because he wanted to read it to his pupil August Göllerich.

From this data it is therefore clear that the genesis of the Faust Symphony and the Dante Symphony ran parallel. According to Peter Raabe[74] the first sketches of the Faust themes and the first thematic designs for Dante Symphony are found in the same sketchbook (Liszt Museum, Ms N 4). There thus seems to be a connection between the conception of the Faust and Dante symphonies. In Liszt's imagination the poems of Goethe and Dante, like the Dioscuri, were inseparably bound.

It is striking that Liszt never directly expressed his own views about Goethe's tragedy and Dante's *Commedia*. Similarly he never spoke about the conceptual designs of his two symphonies. Still, it was not hard to imagine why he was so attracted to the two poems that he wanted to set them to music. We believe that the common idea that formed the bridge between the two otherwise heterogeneous poems was the idea of polarity between salvation and damnation, between good and evil.

Hegel[75] believed that the basic conflict in Dante's *Divine Comedy* originated in "that initial derivation of the diabolical from God which within human reality brought about the constant external and internal war between those fighting for and those fighting against God as eternally transformed through condemnation, purification and beatification into the categories of hell, purgatory and paradise". In Goethe's Faust the cosmic scenario is played out between the poles of good and evil, although Mephistopheles, the manifestation of evil, is not Lucifer himself, but a mischievous representative of the "species".[76]

2.   The polarity between calamity and victory

> "Lucifer
> Prince of darkness
> Ruler of the deep sadness
> Emperor of the hellish spit
> Regent of sulfuric waters
> King of the Abyss."
> ANONYMOUS LUCIFER
> LETTER of 1410 to John XXIII.[77]

Rudolf Louis[78], whose short Liszt biography is one of the most substantial studies of the composer, called his "*hero*" a typical representative of "reflective religiosity" and compared him to "another great skeptic and mystic", Blaise Pascal . He believed that both could be taken as prime examples of "the combination of skepticism and mysticism". Louis was of the opinion that "two heterogeneous elements" could be found in Liszt's artistic language that "had never previously been united in the person of a musician". On the one hand was "a supernatural mystique of truly heavenly ideality, chastity and ardency" and on the other hand "an all-destructive sarcastic irony of an often bluntly diabolical sharpness and 'authenticity'". From these observations Louis drew the following conclusions:

> "Since both concepts are so fundamentally different conditions of the soul, it would have been impossible for the artist to succeed in setting them to music with such convincing determination and truth, if these two hostile powers had not both been alive in his own person. Like Faust, his own mind was the battle ground on which heaven and hell, Gretchen and Mephistopheles fought for the possession of a human soul until finally, in the artist's life as in his art, the Redeemer could claim victory over his opponent, the Antichrist."

One cannot disagree with Louis' opinion that Liszt was able to portray artistically the diabolical as persuasively as the *mystical*. Louis' conclusions about the conflict between the two "powers" in Liszt's mind and about the outcome of the dispute are however questionable. They are too strongly tied to stereotypes of an idealizing biography to be able to explain the complicated personality of Liszt and his equally complicated intellectual development.

Both Liszt's writings and a semantic analysis of his musical oeuvre reveal that his intellectual world – at least during the Weimar period (1848-1861) – was fixated on the polarity of two incompatible principles which can only be approximately equated with the dual concept of salvation and damnation , good and evil, whereby good or evil were not to be understood exclusively in a theological and religious sense or even in an ethical sense, but rather in a humanitarian[79] and personal sense. Liszt believed in the reality of this dualism in

the world, and since he did not have any doubts about the modality of evil, he feared disaster and hoped for salvation for mankind, for those close to him and for himself.

Liszt's letters, the prefaces to his programmatic works and even the titles of many of his compositions help us to realize that he understood the various antitheses as an exemplification of the polarity between salvation and damnation. He viewed the counter-propositions between happiness (*bonheur*) and misfortune (*malheur*), between blessing (*bénédiction*) and curse (*malédiction*), between hope and despair, comfort (*consolation*) and desolation (*désolation*), belief and disbelief, bliss (*béatitude*) and suffering (*douleur*), light (*lumière*) and darkness (*ténèbres*), heaven (*ciel*) and hell (*enfer*) as only different expressions of the same thing.

Jesus on the cross and Lucifer, i.e. Christ and the Antichrist, these were for him symbols of this polarity.

This polarity is first of all reflected in some of his letters, in a prayer and in Liszt's Testament of 1860. It is curious that these documents, although published long ago, have the up to now either been ignored or they were never been evaluated – another reason to study them more carefully.

Liszt spent the winter of 1847/48 on the estate of Princess Wittgenstein in Woronince (where he stayed from early October 1847 to January 24, 1848). On his return voyage to Weimar he wrote a long letter dated January 29, 1848 to the Princess, which is of particular relevance for our study because it is apparently the only document containing Liszt's personal view of the satanic (FLB IV, 15 f.).

Liszt wrote that he would soon finish reading Milton's *Paradise Lost*. He was so impressed with the work that he had decided to resume his studies of Dante and Homer. He had underlined many passages while thinking about the Princess. Originally he wanted to translate the passages for her but this would have amounted to whole volume so that he therefore preferred to speak to her about them. One thing among many particularly struck him: the unreserved and full affirmation of love between a man and a woman, not the mystical and strictly figurative love, but the real and substantial love - in contrast to the pedantic theologians that Milton did not allow to speak. As for Satan, he (Liszt) could only repeat what the Princess had said about the necessity of Hegel, namely that the necessity was not great. Milton let Satan rage and agitate, discuss, fight, reason, become a diplomatic middleman etc. "Yet, it is my feeling," Liszt went on to say, "Satan has nothing do with all this: transferred into infinite proportions, Satan is nothing other than the doubts, the silent suffering, the gaping silence. He projects - comparable only to the sun - the spirit of darkness, the rays of negation and death - but he himself is in essence not affected. He does not deny, he does not die - and he only doubts and suffers. It's true: a Satan carved out of this wood is not easily treated in epic poetry -

however wrongly or rightly, it seems to me that such a conception of him is more suited to contemporary poetic sensibilities".

The critical passage from this letter has in the French original the following text:

> Or dans mon sentiment, Satan n'a rien à faire en tout cela. Satan grandi dans des proportions infinies ne peut être que le Doute, la Douleur muette, le Silence béant. Il projette bien – comme Soleil – Esprit des Ténèbres, des rayons de Négation et de Mort – mais lui-même dans son essence, n'en est pas atteint. Il ne nie pas, il ne meurt pas — il souffre et doute. A la vérité un Satan fait de ce bois, ne se laisse pas aisément rimer en poëme épique – mais à tort ou à raison, il me semble que la conception en serait plus dans notre sentiment poétique d'aujourd'hui.

Our second document is a prayer (prière) of Liszt. It is - as the letter just quoted - in the first volume of Liszt's letters to the Princess Wittgenstein and directly follows a short letter of August 24, 1850 (FLB IV, 39):

> Lord, Your most inaccessible mystery is happiness. Fulfilling Your law is only the path and earthly veil. Lord, our lips are silent, our hearts stop beating and if our aspirations anticipate the joys of heaven it is because Your blessing is alive in our souls. And this is reflected in the blessing of eternal life!
> Seigneur, le plus inaccessible de Vos mystères c'est le bonheur. L'accomplissement de Votre loi n'en est que la voie et le voile terrestre. Seigneur, nos lèvres sont muettes, nos cœurs cessent de battre et si nos aspirations anticipent les félicités du ciel, c'est que Votre bénédiction est vivante dans nos âmes. Et cette bénédiction rejaillit dans la vie éternelle!

In this connection it should be noted that the terms *bénédiction* (blessing), *bonheur* (happiness), *consolation* (consolation) and *espoir* (hope) occupied an important place not only in Liszt's correspondence, but also in his mind. Especially in the letters to the Princess the desire for God's blessing is repeated again and again.[80] Even more revealing is the first autograph score of the Dante Symphony with the abbreviation *BBBBBB* at the end of each movement. As Peter Raabe[81] discovered, this stands for "*Que bon Dieu* (Bože) *bénisse les bons bessons* (May the Good God bless the good twins), whereby Liszt humorously described *les bons bessons* as the Princess and himself!

Very important for our further investigation are Liszt's remarks about the symphonic poem *The Battle of the Huns* (1857), a composition inspired by the famous stairwell painting by Wilhelm von Kaulbach. On 1 May 1857 Liszt sent a transcription of the work for two pianos to the wife of the painter with the request that it would be received "as a token of my sincerest respect and devoted friendship with the champion of champions." What Liszt wrote Frau von Kaulbach on this occasion is equally revealing both with respect of his

conception of the painting as well as about the importance of the Cross as a symbol of Christianity for him (FLB I, 218):

> "Perhaps there will later be an opportunity in Munich or Weimar when I can present the work with a full orchestra and let it resound with the meteoric and solar light which I drew from the painting and which culminates with increasing intensity in the Catholic chorale '*Crux fidelis*' whereby the meteoric sparks merge in unity. As I already indicated to Kaulbach in Munich, I was led by the musical demands of the material to accord the solar light of Christianity, personified by the Catholic chorale '*Crux fidelis*', relatively more space than it actually has in the beautiful painting in order to clearly depict the final victory of the Cross – which both as a Catholic and as a musician I did not wish to omit.
>
> Kindly please excuse this somewhat somber commentary on the two contrasting rays of light through which the Huns and the Cross move. The performance should make the concept more lucid and clear. And if Kaulbach gets some pleasure from this somewhat brash reflection on his imagination, it would please me royally."

On January 23, 1876, i.e. nineteen years later, the Abbé Liszt expressed his opinion to his cousin Eduard Liszt that the Crucifix was the "*symbol of salvation*" and for this reason he had been inspired by the Gregorian hymn "par excellence" *Crux fidelis* to compose *The Battle of the Huns* (FLB II, 235).

Liszt also later spoke about the concept of this symphonic poem later in a letter to Walter Bache of May 25, 1879. He included an explanation of the work that has to be considered as its only authentic 'program'. It reads (FLB II, 284):

> "Kaulbach's world-famous picture depicts two battles: one on the ground, the other in the air, according to the legend that the warrior after his death continues to fight as a ghost. In the midst of the image the Cross appears and its mysterious light. This is the concept of my 'symphonic poem'. The gradually developing tones of the chorale '*Crux fidelis'* express the idea of the final victory of Christianity in real love for God and man".

On January 28, 1880 he wrote to the Princess from Budapest (FLB VII, 273):

> Veuillez avoir la bonté de dire à Sgambati mes meilliurs remerciements pour le commentaire de ma *Hunnenschlacht*. J'aide à l'intelligence du public – toujours un peu tardive, quand il s'agit de choses qui ne sont pas sur le marché quotidian! À Kaulbach j'ecrivais jadis mon idée, que etait la sienna – des deux lumières de la *Hunnenschlacht*. À mon regret, elle n'a pas été rédigée en bonne forme, selon les exigencies littéraires, par vous à Weymar. Notre ami Pohl, que m'avait promis d'y suppléer, ne puvait jamais réussir à s'en tirer. Les deux coloris, l'un somber et tornmenté, l'autre éclatant d'abord, mai s'adoucissant et se transfigurant par l'hymne de la Croix, ne sont pas du gôut de la critique courante.

If the passages cited from the letters already convey Liszt's ideas about the symbolism of the Cross and the Crucified in *The Battle of the Huns*, then the following passage from his Testament dated Sept. 14, 1860 is even more informative (FLB I, 364):[82]

> "I am writing this down on September 14, on the day when the Church celebrates the feast of the Exaltation of the Cross. The naming of this festival is also bound up with the fervent and mysterious feeling which has pierced my entire life like a sacred wound.
>
> Yes, "*Jesus Christ on the Cross*", the earnest longing for the Cross and the raising of the Cross: this was ever my true inner calling; and I have felt it in my innermost heart ever since my seventeenth year, when I implored with humility and tears that I might be permitted to enter the Paris Seminary. At the time I hoped it would be granted me to live the life of the saints, and perhaps even to die the death of martyrs. This, alas! has not happened — yet, in spite of the transgressions and errors which I have committed, and for which I feel sincere repentance and contrition, the holy light of the Cross has never been entirely withdrawn from me. At times, indeed, the glare of this Divine light has overflowed my entire soul. I thank God for this, and shall die with my soul fixed upon the Cross, our redemption, our highest bliss; and, in acknowledgement of my belief, I wish before my death to receive the holy sacraments of the Catholic, Apostolic, and Roman Church, and thereby to attain the forgiveness and remission of all my sins. Amen."

Let us now summarize. The analyzed documents show that Liszt understand the Crucifixion and in the broader sense the Cross as symbols of the "divine light" (*la divine lumière de la croix*), of "salvation" (*rédemption*) and of the "highest holiness" (*suprême beatitude*). While this view is consistent with Christian teaching, it included Liszt's interpretation of the satanic and elements of modern reflection that went beyond this doctrine. With his view of Satan as the epitome of darkness and (eternal) death Liszt certainly followed the Christian tradition. His opinion, however, that Satan personified denial and doubt, suggests that he was influenced by Goethe's *Faust* when he wrote the above cited lines to the Princess in January of 1848. Entirely unlike Goethe (and otherwise very strange) however is his definition of Satan as "silent suffering". These statements and other help us to realize that Liszt regarded the Satan-Cross-symbolism not exclusively theologically, i.e. based on the afterlife, but also in an allegorical and psychological sense as relating to humanity, man's existence and his destiny. With regard to his thoughts, Richard Pohl wrote the following in the preface to the score of the Dante Symphony in the edition authorized by Liszt.[83]

> "The eternal and absolute agony, the eternal and absolute bliss are two rugged contrasts that are understood as objective terms which are however revealed to us in infinite gradations and nuances of the human soul. While the two absolute extremes of heaven and hell are viewed as states beyond the pale of human existence, all the feelings of pain and joy that lie between them are known to us as psychological

processes belonging to human life and can therefore be identified as subjective states and impressions."

3.   The diabolus in musica and the "*tonal symbol of the Cross*"

The semantics of the most important symbols in the music of Liszt

The more intensely one delves into the exegesis of Liszt's music, the more apparent it becomes that it – like the music dramas of Wagner – encompasses an extremely rich symbolic world. In order to realize his intentions Liszt created an entire world of musical symbols (including intervals, motifs, rhythms, sounds, idiophonic tone colors) which recur with consistent semantics or variations thereof in numerous works. It is strange that this symbolic world has previously escaped the attention of musicologists. The general public is not even aware that it exists.

Liszt's musical world of symbols is a mirror image of his spiritual world. Equivalences, correlations and correspondences between the two exist. Due to the respective relevance accorded to Satan and the Crucifixion in Liszt's spiritual world the tonal symbols representing these two elements must be accorded the highest rank within Liszt's music world of symbols. The tritone, the concept of the diabolical in music since the Middle Ages, and the "*tonal symbol of the Cross*" (Liszt's own expression) stand as polar contrasts at the top of Liszt's symbolic hierarchy.

Beginning with the tritonus, we need to first emphasize that not all passages with the tritone in Liszt invariably have a symbolic meaning. This is usually only the case if such formations occur in prominent locations or with noticeable frequency. Liszt introduced the symbol of the tritone in several forms: as a melodic interval (in pure form or also with diatonic and chromatic 'colorings') as well as in chords (i.e. as a two-tone chord or as a component of several chords and especially as a diminished seventh and – from 1855 on – also as a "whole-tone" chord).

Anticipating the results of our investigation of a large number of cases one can say that Liszt used the tritone as a symbol of evil in the broadest sense, i.e. as a symbol of Lucifer, Mephisto and Hell (as in the Dante Sonata, and the Dante Symphony, in the Faust Symphony, in the first and in the second Mephisto Waltz), as a symbol of tartarus (i.e. inferno, in the Requiem for male choir), as a symbol of a curse (*Malédiction* for Piano and Strings), of bravery and suffering (Prometheus), of suffering and death (Hungaria), mourning and lamentation (Graner Solemn Mass), as a symbol for the ghostly, ghastly, monstrous (as in the melodramas Lenore and *Der trauige Mönch*), as a symbol

of careening (first Mephisto Waltz, Legend of Saint Elizabeth), doubt (second Mephisto waltz), the grave (*Von der Wiege bis zum Grabe* = From the cradle to the grave) and of bad omens (*Unstern*).

The following enumeration of the most important cases (see Table XLVI-LI) is not intended to be exhaustive.

The tritone and the diminished seventh appear as the insignia of Lucifer at the beginning of the Dante Sonata (1849) and take over, as mentioned above (see chapter XXII) large parts of the Inferno movement of the Dante Symphony (1856). With respect to the Mephistopheles 'leitmotif' and its harmonic emblem, this was already discussed (chapter X) in connection with the finale of Faust Symphony (1854). Liszt begins the second Mephiso Waltz (1880) with the Mephisto 'leitmotif'. The harmonic emblem of Mephisto, the diminished-seventh chord, appears in a characteristic melodic and rhythmic variation in the Vivace fantasia of the first Mephisto Waltz (1858/59).

As a symbol of the tartarus or inferno the 'whole-tone' four-note chord $g - f - b - c\#$ appears in the *Offertory* of the *Requiem for Male Voices* (1868) at the passage *ne absorbeat eas tartarus* (GA V, 3, p. 24). It should be noted that the chord begins *fortissimo* after a long break.

A four-note chord with the tritone $f - a - b - e$ appears as a symbol of the beginning of the curse in the *Malédiction* for Piano and Strings (see chapter X). It finds its 'resolution' in the chord $f\# - a - b - e$. Not without surprise, an analysis revealed that these two sounds of the *Malédiction* also appear note-for-note at the beginning of the symphonic poem *Prometheus* (1855). Liszt's very revealing and detailed programmatic preface makes it clear that the then-unheard-of four-note chord ($f - b - e - a$) represents here a symbol of the boldness (*audace*) of the Titan.

Liszt wrote that he had tried to evoke in his music the feelings (*sentiments*) which among the various alternate forms of the Prometheus myth constituted its essence, namely, boldness (*audace*), suffering (*souffrance*), patience (*endurance*) and redemption (*salvation*), and he carried out this idea by way of a commentary on these four "forms". Under boldness he understood "bold striving towards the highest goals that can be achieved by the human mind, the urge to create, the need for expansion". Liszt's Promethean chord, the first such four-note chord of world literature (!) was the precursor of the famous Promethean chord of Alexander Scriabin (whose *Prométhée*[84] was composed in 1910) and it can therefore be designated as a musical symbol of boldness[85]!

Unfortunately, all previous commentators have misinterpreted the semantics of these passages. They ignored the above quoted very clear explanations of Liszt and focus (or more precisely paraphrase the translation of Liszt's statement by Cornelius) on the composer's commentary that the basic

idea of the Promethean myth are the formulas of *malheur et gloire* which concludes: *Une désolation triomphante part la persévérance de la hautaine énergie forme le caractère musical de cette donnée*. In a literal translation this means: "A triumphant desolation derived from the perseverance of arrogant energy forms the musical character of this piece." A freer translation would read something like "A triumphant desolation that wins by enduring arrogant (highest) energy (and thus is defeated), is the musical character of this piece". (Note that the sentence implies a kind of oxymoron.).

Felix Draeseke[86] expressed the opinion in 1858: "The piece even starts with a desperate, wild scream of fear, a superhuman force trying to pull away". In 1894 Lina Ramann[87] described the main motif of the symphonic poem as the "proud, defiant theme" – "a Titanic form, a Titanic suffering". George Münzer[88] wrote in 1912 that the beginning of the symphonic poem suggested to the listener "the illussion of the bold defiant Titan". Arthur Hahn[89] described it as "the first motif echoes in us the arrogance of Titan as a biting dissonance". And in 1925 Max Chop[90] claimed that the Prometheus design "symbolizes proud and unruly volition".

It is not the audacity of the Titan but rather his suffering that is symbolized by the tritone motifs in the rhapsodic passages of *Prometheus* with a recitative. This is indicated expressively with the rubric *quasi recitative*. This can be related to the *souffrance* (suffering) of the programmatic preface. At two points Liszt also added *dolente* and *con duolo* to the score (8 measures before F and 15 measures before K).

As a symbol of suffering and death, the tritone *c# - g* is intoned five times (!) in the introduction (*Largo con duolo*) of the symphonic poem *Hungaria* (1848/1856), bars 9-12. Only in *agitato molto* (from I on) can one recognize the eminent importance for Liszt of the "diabolical" interval in the conception of the work. Here the tritone appears six times on different steps in a penetrating manner in the development-like section of the composition as a driving force and each time it is intoned several times. Liszt's programmatic designation of the introduction as *Largo con duolo* suggests that the tritonic intonations relate to the following verses from the poem of homage by Mihaly Vörösmarty, which served Liszt was the stimulus and it can be considered to be the program of the symphonic poem:[91]

> Our sins and the chains of our Fate
> Weigh heavily upon centuries of suffering…

In the *molto agitato* (bars 365-368, bars 374-377 and bars 383-386) the tritone is accompanied by the beats of the tamtam (and, significantly, only at these point). Liszt used tamtam beats as a funeral sound symbol (cf. chapter XXVI), hence the tritones have here the semantics of a death symbol.

As a symbol of mourning and lamentation, a 'whole-tone' passage with a tritone appears in the *Doloroso flebile* (bars 113-170) of the *Credo* of the *Graner Solemn Mass* (1855). In various transpositions and treated very imaginatively, it appears in the sections depicting the Incarnation, Crucifixion, Passion and Burial of Christ.

As a symbol for the ghostly and gruesome the tritone appears in the melodrama *Leonore* (Ballad of Gottfried August Bürger), written in 1857 or 1858 (GA VII, 3). The proscribed interval constituted here the 'head' of a passage of four notes (*f# – b# – c# – d*) which frequently returns with ostinato and meanings associated with the Leitmotif - even in transpositions. It accompanies the first line in the dialogue of the dead man with his bride, but also serves as an illustration of the ride of the ghosts (Presto, GA VII, 3, 157-160) and the "chain dance" of the howling spirits (p. 162).

Liszt used the tritone in the first Mephisto Waltz as a symbol of raging and fury[92] (*The Dance in the Village Inn*). In the section with the rubric "*wild - furioso*" (GA I, 10, 57 f) the diabolical interval is repeated several times.

Similarly, the repeatedly intoned tritone in the storm scene of the *Legend of Saint Elizabeth* (2nd part, no. 4) has the semantics of raging. This is indicated in the text of Elizabeth's prayer: "*Beruhigt ist das Toben auf wildem Schmerzensmeer*" = Calmed is the raging on a wild sea of pain (no. 5). It is also noteworthy that this prayer is also introduced with a repeated tritone, which can be interpreted as a reminiscent of the raging storm "on a wild sea of pain".

The dreaded interval serves as a symbol of doubt in the second Mephisto Waltz (1880/81). That is clearly expressed in a letter of Liszt to Camille Saint-Sans, the dedicatee of the piece, to whom he wrote on December 6, 1881 (FLB II, 316).[93]

> "No one is more conscious than I of the gap between the good intentions and the actual results in my compositions. Nevertheless, I continue to compose (not without difficulty) both from an urgent need and from old habits. To aspire to a higher level is not forbidden. The question remains whether the goal has been reached – a question mark (point d'interrogation) almost like the conclusion of the Mephiso Waltz on b – f, an interval that already appears in the first few bars of the piece."

The tritone is used as a symbol of the pain and the tomb in the third movement of the late symphonic poem *From the Cradle to the Grave* (1881). The beginning of the movement (*dolente*) is characterized by tritonic motifs. But since the grave was only "the cradle of a future life" according to the programmatic notes (Liszt was inspired for this composition by a drawing of the Hungarian painter Count Michael Zichy) the music assumes - as in the first movement - lullaby-like traits.

Finally, the tritone appears with the meaning of evil omen in the late piano piece "*Unstern*" (GA II, 9). Liszt used it here as a structural element in the

composition. In the autograph, the title is given three times as *sinister, disastro, Unstern* (= unlucky). The word *disastro* was crossed by Liszt's hand and he accompanied the word "*Unstern*" with an exclamation mark.[94]

It only remains to be mentioned that Liszt was well aware of the old historical view that the tritone was the diabolus in musica.[95] Equally amusing and revealing in this context is a report from Liszt's letter to Joseph d'Ortigue of November 28, 1862. Liszt describes his encounter with the Abbé Raillard, one of the most famous researchers of Gregorian chant of the 19th century.[96] Liszt wrote with irony (FLB VIII, 158):

> "It should be said without malice and without reservation that with respect to his science, l'abbé Raillard is indeed the knight without fear of Gregorian chant, who refuses to recoil before the *diabolus in musica*; he even confronts his choir boys with a pandemonium of little devils in the form of quarter tones. What does the *Maîtrise* think about this?
> The most amazing features of the music of the future appears as childish expressions of timidity in comparison with the heroic accomplishments of the venerable *cantus planus*, which is, according to l'abbé Raillard, full of quarter tones, tristrophae and strophiscus groups."[!]

Admittedly, even if the historical view of the tritone as diabolus in musica is ancient, the passage that Liszt deliberately introduced in numerous works as a "*tonal symbol of the Cross*" is even older. It is the initium of the Gregorian intonation of the third or eighth psalm tones, a tonal sequence that consists of a large step of a second and a minor third is (i.e. $g - a - c$).[97] There can be no doubt that the symbol as such would have remained unnoticed if Liszt had not drawn attention to it. The score of his *Legend of St. Elizabeth* published by Kahnt in 1869 contains a final comment about the Gregorian melodies and the folk melodies that were used in the *Legend*. As a conclusion Liszt wrote:

> "Finally it should be noted that the intonation $g - a - c$ is used very often in Gregorian chant, for example, in the *Magnificat*, the *Crux fidelis*, etc. The composer of this work used the same melody repeatedly - among other occasions, in the fugue of the Gloria (*cum sancto spiritu*) of the Graner Mass, in the final chorus of the Dante Symphony and the symphonic poem the *Battle of the Huns*. In this composition on the Legend of St. Elizabeth it appears as a tonal symbol of the Cross as the main subject both of the choir of the Crusaders and the Crusades-March".

Although strangely little noticed by his most prominent biographers[98], Liszt used the Cross symbol not only in the works cited above, namely the Graner Solemn Mass (1855), the *Magnificat* of the Dante Symphony (1856), the symphonic poem the *Battle of the Huns* (1857) and the *Legend* (1862) but notably in the lamentation *Les morts* (1860) and in the *Via crucis* (1879) (cf. Table LVII). In accordance with the many meanings which the Crucifix had for Liszt, the "*tonal*

symbol of the Cross" symbolizes in his music the more important nuances of his thoughts on salvation. The Gloria of *Graner Festival Mass* symbolizes the Holy Spirit (*cum sancto spiritu*)[99], in the *Battle of the Huns* it symbolizes the "victory of the Cross", in the lamentation *Les Morts* peace in the Lord. In the *Legend* it symbolizes the stations of the Cross (choir of the crusaders: "*In's heil'ge Land, in's Palmenland, wo des Erlösers Kreuz einst stand*" = Into the Holy Land, into the Land of the Palms, where the Cross of the Savior once stood) and the will of God (choir of the Crusaders: "*Gott will es!*").

In the lamentation *Les Morts* (GA I, 12) Liszt employed the Cross symbol as a refrain in order to 'underline' the words *Heureux qui les morts meurent dans le Seigneur*! from F. Lamennais' prayer upon which Liszt based the composition.[100] The male chorus added in 1866 accompanies it each time with the refrain: *Beati qui mortui moriuntur in Domino*.[101]

It is also quite remarkable that the theme of the *cum spiritu sancto* fugue from the *Gloria* of the Graner Solemn Mass (1855) is already anticipated in the B minor Sonata (1853). Here it is the leading motif of the frequently repeated *Grandioso* theme.[102] (At the end it appears in B major, the key of the *cum spiritu sancto* fugue!) This analogy allows one to assume that the chorale-like theme of Liszt's B Minor Sonata has religious connotations.

We have reached the end of our study of the "*tonal symbol of the Cross*". In conclusion we wish to add three remarks:

1. Liszt was not the first composer who introduced a symbol of the Cross with a certain meaning into his music. A chiastic structured melody (= a repetition of similar ideas in the reverse sequence) as a symbol of the Cross and the Crucifix was already utilized in the music of the Baroque.[103]

2. The phrase in Liszt's Magnificat was already well known under its designation as *Credo-theme* in the Mozart literature. Extended by a fourth tone, it quite often appears in the works of Mozart. The finale of the Jupiter Symphony is just one of many examples.[104]

3. It was previously not taken into consideration that the Gregorian Magnificat intonation even plays a role in Mendelssohn's symphonic compositions. It opens the Andante of the *Reformation Symphony* (see chapter XII) and also underlies the final section (Allegro maestoso assai*) of the *Scottish Symphony*. Here it acts as the 'head' motif of a hymn-like melody that is presented four times in total. One can be certain that this Allegro maestoso assai, which can therefore be seen as a hymn in four stanzas and which according to Mendelssohn should be presented "as forcefully as a male choir", has a religious meaning.[105]

XXII. "Dall' Inferno al Paradiso"

Theological-philosophical motifs

> Thus all creation will appear
> Within our narrow wooden confines here,
> Proceeding by Imagination's spell
> From heaven, through the world, to hell
> GOETHE, *Faust*, Prologue in the Theater
> (Verses 239-242)

> "I have to bore through the heavenly swarms."
> MAHLER on the Second Symphony
> on December 9, 1895 (GMB 159)

1.   Regarding a fundamental philosophical-poetical idea in the symphonies of Liszt and Mahler

The title of this capital does not come from Franz Liszt, as one might think at first glance, but rather from Gustav Mahler. *Dall' Inferno al Paradiso*: this is the title that Mahler gave the finale of his First Symphony in 1894. The title, however, might also have preceded Liszt's Dante Symphony (1856) which was to be a *symphonie en trois parties* according to the original plan.[106] The first two purely instrumental movements, *Inferno* and *Purgatorio*, were to be followed by a third movement, *Il Paradiso*. One knows that Liszt withdrew this plan on the advice of Richard Wagner, who believed that the *Il Paradiso* was the "weakest part" of Dante's *Commedia* and who was concerned as to whether Liszt could successfully "*paint*" paradise in music[107] – especially with the involvement of choirs. In its final form a compromise was reached. Liszt refrained from transforming *Il Paradiso* into a separate movement and contended himself with the introduction of the *Magnificat*, sung by a women's or boys' choir. This conclusion - as Richard Pohl[108] explains – "retained the more general, mystical mood" and suggestively proclaimed "the heavenly bliss of paradise".

The above discussed polarity between damnation and salvation in Liszt's spiritual and musical world of symbols found its most compelleing expression in the Dante Symphony. In the *Inferno* the tritone (*diabolus in musica*) and tritonic motifs prevail. The Magnificat highlights in contrast the "*tonal symbol of the Cross*".

The motto *Dall' Inferno al Paradiso* can be applied, however, not just to Liszt's Dante Symphony and to the finale of Mahler's First. The motto *per aspera ad astra*, the idea of liberation by overcoming the *Inferno* – the "hell of

existence" as Richard Wagner[109] called it – the liberation through overcoming death, suffering and the desolation, the belief in the posthumous victory and triumph of great people and ideas, the belief in the posthumous rehabilitation of those misunderstood and downtrodden, the conviction that lofty conceptions survive even after the death of their originators: these are some of the philosophical ideas that served as the inspiration of many symphonic works of the 19th century. *Inferno* and *Paradiso*, the dualism described above between desolation and salvation in the broadest sense, is a subject that had a strong influence on Liszt and gave rise to new creations. Here are some examples:

Lamento e Trionfo: this opposition as a poetic fate is the foundation of the symphonic poem *Tasso* (1849). Liszt explained this in the foreword when he wrote that the adage with respect to poets, that although their lives were often filled with misfortune (*malédiction*), the blessing (*bénédiction*) would never be posthumously denied on their graves.

Sa sauvage grandeur naîtra de son supplice (= Its wild grandeur will arise from its ordeal): Victor Hugo most succinctly expressed with this verse the core idea of the symphonic poem *Mazeppa* (1851).

Largo con duolo and *Allegro eroico* (or later *Allegro trionfante*): Liszt thus designated the poles of the dramatic and musical contents of his *Hungaria*.

Malheur et Gloire (misfortune and glorification): Liszt summarized the basic idea of *Prometheus* (1855) with this contrast.

Le Triomphe funèbre du Tasse: the title already expresses the idea of posthumous glorification as the basic idea of the symphonic poem (1866).

Andante, maestoso, funebre and *trionfante*: these are the poles of the *Marche Funèbre* in memory of Emperor Maximilian I (1867).

Liszt's guiding principles made a lasting impression on several symphony composers and inspired them creatively. In the first movement of his Third Symphony (1875) Peter Tchaikovsky followed the Marcia Funebre of the introduction with a brilliant Allegro. In a letter to Friedrich von Hausegger[110] Richard Strauss revealed that he had conceived the tone poem *Death and Transfiguration* in 1888 as the vision of an artist near death commemorating his past life, whereby "the fruit of his life's path" appears, namely, "the ideas and the ideals he tried to accomplish artistically yet could not attain because they could not be completed by a single human". And in the same way Gustav

Mahler designed the finale of his First Symphony in 1888 as a vision of the voyage from hell to heaven, *dall' Inferno al Paradiso*.

2.   Inferno and Lucifer motifs in Liszt, Tchaikovsky and Mahler

> "Dante found his artistic echo in Orcagna and Michelangelo; perhaps Dante will find his own musical echo some day in a Beethoven of the future".
> FRANZ LISZT 1839[111]

> "*Hopelessness* is the climate of hell, and hell is everywhere, where there is no more hope. What we find devastating in Dante's Inferno, is that it is not an otherworldly prison. It develops out as the inevitable consequence of the rules of life of this world. It is not merely a fate coming from the outside, it is not a punishment extracted in a foreign judgment".
> THEOPHIL SPOERRI[112]

Liszt's Dante Symphony (1856) has often been "explained".[113] Unfortunately all of these explanations were conceived within the old framework of traditional hermeneutics and consequently are of only limited value for the scientific exegesis of the work. There is an absence of fundamental investigations of both the motifs and the tectonic system of the work. As paradoxical as it may sound: no one has ever undertaken a study which attempted to investigate Liszt's conception of Dante's poetry on the basis of the music itself.

Beginning with an analysis of the *Inferno* movement, let us examine the motifs and themes. Even a cursive examination of the material reveals that the motives can be divided into two categories, depending on whether they are fundamentally vocal or instrumental.

The vocally designed motifs all exhibit a recitative-arioso character and form the basis of the introduction (*Lento*) and the slow middle section (*quasi Andante and Andante amoroso*). Liszt derived the motifs of the introduction from the inscription above the gate of hell: *Per me si va ne la città dolente / per me si va ne l'etterno dolore / per me si va tra la perduta gente* (= Though me, the way to the City of Woe / Through me, the way to everlasting pain / Through me the way is to eternal sorrow - Inf. III, 1-3) and *Lasciate ogni speranza o voi ch'entrate*! (= Abandon all hope ye who enter here - Inf. III, 9). The emphatic motifs of the beginning played by trombones, tuba and strings in unison are drawn from the song *Le vieux vagabond* (Act VII, 1). The evocation *Lasciate ogni speranza* is intoned by the horns and trumpets on two tones over the tremolo sound of the strings. The slow (rhapsodic) middle section is then based

on the narration of Francesca da Rimini (Inferno, Canto V). This is clear not only from the underlying text of the instrumental recitative *Nessun maggior dolore che ricordarsi del tempo felice nella miseria* (= There is no greater pain than to remember a happy time when one is in misery - Inf V, 122-123) but also from the terms of expression (*dolce teneramente, Andante amoroso, appassionato, con somma passione*) and other details such as the 'duet' of cellos and violins in the *Andante amoroso* at W.

We are more concerned within the context of this chapter, however, with the instrumentally conceived motifs because they can be identified as the real *Inferno* motifs. The tables LII / LIII illustrate that they are five in number. The first is a chromatically descending double motif spanning the space of an octave. It is accompanied by the terms of expression *marcato* and *marcatissimo*, exhibits the chacteristic triplets and it is usually repeated an octave lower. Considering how strongly the spatial features of this motif are emphasized, one can hardly doubt that Liszt's intention must have been to illustrate the chasm of the *Inferno* which Dante describes in several places of the poem. Moreover, it is noteworthy that the initial and the final tones of the motif at its first appearance (bars 22-25) form a tritone (*d – g#*), the tonal symbol of Lucifer.

The second "motif" (in this case the more appropriate designation would be "theme") is both rhythmically and melodically a sophisticated design. It consists of a two-bar 'head', which is immediately repeated, and a sequencing development of this pattern. The theme is stated at the beginning of the *Allegro frenetico*[114] (bars 64-70), functioning thereby as the main theme of the sonata movement, and returns once again at the beginning of the recapitulation bar 406 ff. in an interesting metamorphosis. The distinctive 'head' motif was already presented however in the introduction (bars 25 f., bars 38 f. and bars 56-60). Here it is accompanied by the rubrics *violente* or *tempestoso*.

The third motif, which first appears in bars 71- 86, is developed out of various sigh evocations which are treated chromatically and which function as transitional passages between sections of the sonata movement. The designation *angoscioso* is quite apporopriate.

The fourth motif, which first appears in bars 163-175, represents a kind of appendage to the first motif inasmuch as it has a descending ductus and is usually repeated twice, each time an octave lower. The spatial qualities of this motif are therefore also very pronounced. In contrast to the first it is diatonic. Its most characteristic features include a leap of a fifth at the beginning, the interval of a large second in the middle and the octave leap downwards at the end. In the exposition of the sonata movement it functions somewhat like the second main theme.

The fifth theme finally is the tritone motif. It appears several times in prominent places and it is often intoned by the drums, trombone and tuba. It occurs both in a 'diatonic' version and in a chromatic variant (bars 269-274). It

is obvious that this tritone motif (*diabolus in musica*) symbolizes Lucifer himself.

Turning now to the structure of the movement, we can recognize an artful arrangement which can be summarized as follows: Introduction – Transition – Exposition of a sonata-like main movment – Lento insertion – Slow Middle Section – Ritenuto insertion – Varied (intensified) Recapitulation of the main movement – Coda – Adagio-insertion. The 'core' is therefore a freely constructed sonata with exposition and recapitulation. A thematically independent slow middle part takes the place of a development. Taking the motifs and Liszt's instructions into consideration the following picture then emerges:

Introduction (Lento) bars 1-18: "Inscription on the Gate of Hell" and first intonation of *Lasciate ogni speranza* (= Abandon All Hope) (Canto III).

Intensified Transition (*accelerando poco a poco*) bars 19-63: "Entering the Vestibule of Hell" (Canto III) – Anticipation of the Inferno motifs I und II near the conclusion (bars 52-60) with the Lucifer motif presented four times in counterpoint. (cf. Table LII).

Exposition of the main movement (*allegro frenetico*) bars 64-259: "In the Middle of the Inferno" (Canto IV). Section utilizing the Inferno motifs II, III, IV und I; at the conclusion (bars 226-241 and bars 250-258) the triplet motif is combined contrapuntally with the Lucifer motif.

Lento (bars 260-279); second intonation of *Lascate ogni speranza*, followed by the Lucifer motif three times.

Slow Middle Section (*Quasi Andante und andante amoroso*) bars 280-388: "Meeting with Francesca da Rimini" (Canto V).

Ritentuo (bars 389-394): Third intonation of *Lascate ogni speranza;* a harp arpeggio marks the end of the Francesca scene.

Intensified Reprise of the main movement (*Tempo primo*) bars 395-603. Of especial importance for the relevance of the semantic analysis is Liszt's comment on bars 406 ff.: "This whole section can be understood as railing jeers, very acutely marked by both clarinets and violas". The section is based on a characteristic variation of motif II.

Coda (*Più moderato*) bars 604-636: contrapuntal combination of the triplet motif with the Lucifer motif, at the end (bars 630-634) motif IV. The penetrating appearance of the Lucifer motif six times in this section is a reference to the last canto of the Inferno (Canto XXXIV). Dante and Vergil visualize at this point – at the center of the earth and universe – the three faces (*tre face alle sua testa*), the six wings and six eyes (*sei occhi*) of Lucifer. The section demonstrates incidentally most forcefully, that the tones *d* and *g#* function as the two 'poles' of this extremely daring composition.

Adagio (bars 637-646): fourth (last) intonation of *Lascate ogni speranza*.

The semantic analysis thus leads to the conclusion that the movement was designed as a journey through the Inferno. For this Liszt selected certain images and scenes from the poetry of Dante. His "tone painting" draws on the sight of the portal of Hell, the entering into Limbo (*Canto III*), the walk through the first circle of Hell (*Canto IV*), the Francesca Scene (*Canto V*), the passage through other circles of Hell (intensified Reprise) and finally the sight of Lucifer in the ninth circle of Hell (*Canto XXXIV*). Of central importance in Liszt's description of hell is the hopelessness. The theme *Lascate ogni speranza* is intoned prominently four times. The Lucifer motif is ubiquitous, only the Francesca scene is spared.

Richard Wagner complained in his 1878 essay *Das Publikum in Zeit und Raum* (= The audience in time and space) that the Dante Symphony "remained virtually unknown" to the audience of "our time". He said that the work "is one of the most amazing acts of music, but it had not even attracted the dullest expressions of wonder" (GS X, 100). With this statement Wagner was probably thinking of the hoped-for universal recognition, which apparently failed to materialize. But the fact remains that the Dante Symphony at least left a lasting impression on a few creative musicians.

Two years before Wagner published his essay and exactly twenty years after the completion of the Dante Symphony, Peter Tchaikovsky completed on November 5, 1876, his orchestral fantasy *Francesca da Rimini*, op. 32. As Walter Niemann[115] already remarked, the work directly draws on Liszt's Inferno movement and it would be difficult to imagine him undertaking the theme without the influence of Liszt. Niemann emphasizes that Tchaikovsky's work was closely modeled on the example of Liszt's Inferno in its formal design and he illustrated his observation with the following synopsis of the over-all formal structure of the two compositions:

TCHAIKOVSKY		LISZT	
Francesca da Rimini (1876)		*Inferno* (1856)	
I	*Introduction*	I	*Introduction*
1.	*Andante*	1.	*Lento*
2.	*Più mosso moderato*	2.	*Accelerando*
3.	*Tempo primo*	3.	*Lento*
	(partly repeated)		(partly repeated)
II	Main Movement	II	Main Movement
A.	*Allegro vivo*	A.	*Allegro frenetico*
	(based on I,2)		(based on I,2)
B.	1. *Andande cantabile non troppo*	B.	1. *Poco agitato*
	2. *L'istesso tempo*		*(Nessun maggior dolore)*
	1. Repetition of *Andante cant.*		2. *Andante amoroso*
A.	*Allegro vivo*	A.	*Tempo primo*
	(repeated)		(repetition of II,A)
III	Coda	III	Coda
	Poco più mosso		*Più moderato*

As one sees, the correspondences are quite remarkable. Niemann's synopsis needs to be corrected, however, in one aspect. In Liszt's "Introduction", the *Lento*, the intonation of the *Lascate ogni speranza* is repeated not in the "main movement" but only after exposition of the main movement (cf. our scheme).

A confirmation of Niemann's thesis may be the observation that the motifs and themes of Tchaikovsky's fantasia are closely related to those in Liszt's *Inferno*. As in Liszt's composition, Inferno motifs as well as Lucifer and tritonal motifs dominate, except in the love scene (*Andate cantabile non troppo*).

Looking at the work from this point of view, we must note, however, that his title is a misnomer. This *Fantaisie d'après Dante* (as in the subtitle) does not deal mainly with the Francesca da Rimini scene but rather it deals with Dante's *Inferno* per se. It therefore should have been entitled *Inferno*. Tchaikovsky evidently rejected this title in consideration of Liszt's symphony and opted instead for the (more harmless or more memorable?) title *Francesca da Rimini*.

In consideration of our previous statements about the close relationship between the program music of Liszt and Mahler's symphonic composition it should

certainly not be surprising if we now state that three *Inferno* motifs of Liszt appear in Mahler's first two symphonies. These are the chromatic triplet motif, the fourth Inferno motif and the Lucifer motif. Cf. the Tables LIV-LVI.

All three motifs appear in the finale of the First Symphony. The autograph bears the programmatic title *Dall' Inferno al Paradiso*. Mahler only drew on the 'head' of Liszt's triplet motif while retaining the triplet characteristics. It is exceedingly significant that at the beginning of the movement (5 bars before line 2) he repeats the motif twice and each time an octave lower, as if to musically portray spatially the abyss of inferno. At one point (3 bars after line 3) the motif appears twice in succession, the second time transposed a fourth lower. In this form it betrays unmistakably its derivation from Liszt's Dante Symphony.

The fourth Inferno motif occurs then at the very beginning of development of Mahler's movement (line 22). It is remarkable that it appears twice. At the same time the Lucifer motif (i.e. the tritone $g - c\#$) is played by the contrabasses, the third trumpet and the tuba. One must conclude that in other respects that Mahler's finale owes a lot to Liszt's *Inferno* movement. Like Liszt, Mahler also utilized the specific dynamic effect of dissonant brass sounds which begin *piano* and then swell up to a triple *forte* (line 12: *mit grosser Wildheit* = with great ferocity). The comparison, however, is also instructive in that it demonstrates that Mahler exceeded the vividness of the Listzian effect. While Liszt (*Inferno* bars 43-46) strung together only four such clashes of sound, in Mahler the effect was used ten times!

A detailed exegesis of Mahler's finale taking into account the programmatic indications would not be appropriate at this point.[116] It may suffice, therefore, to state as evidence that the drama of this movement initially arises from the conflict between the Inferno motif and the Cross theme that symbolizes 'heaven' (*Paradiso*). At several points in the movement the contrasting motifs clash, demonstating thereby the 'battle' between the *Inferno* and *Paradiso*. The lyrical passage "*sehr gesangvoll*" in the D flat major section (lines 16-020) corresponds to Liszt's Francesca scene. The finale of the First Symphony thus turns out to be a kind of Dante Symphony!

The Liszt's *Inferno* triplets appear in the finale of the Second Symphony by Mahler, and indeed in a very exposed place, namely on the second climax of the movement (line 20). The passage, accompanied by a shrill dissonance, can be deciphered on the basis of the motivic symbolism as a five-note chord build on the tones $f - b - dflat - e - g$ describing dramatically the Inferno and Last Judgment. It should be noted that the three motivic symbols appear at the same time: the Inferno triplets in the woodwinds, the *Dies irae* motif in the trumpets and the Schreckensfanfare (= fanfare of terror) in the trombones.

Somewhat later, at the third climax of the finale (line 26), the Lucifer motif (i.e. the tritone $gflat - c$) resounds in trombones, tuba, timpani, contrabassoon and basses six times in succession. Flutes, horns, trumpets and

violas add the sigh motif. The Lucifer motif gives way to the Inferno triplets. The section leads into a Schreckensfanfare.

3.   The "*tonal symbol of the Cross*" as a representation of the "heavenly" in Wagner, Mahler, Bruckner and Tchaikovsky

We have previously expressed the view that the art-theoretical, religious and philosophical ideas of Liszt exerted an influence on several leading composers of the 19th century. The investigations in this book include a number of studies which support this thesis. The following discussion contributes another example. It will demonstrate that Wagner, Mahler, Bruckner and Tchaikovsky made use of Liszt's "*tonal symbol of the Cross*" in their music dramas or in their symphonies and conferred upon it a special meaning.

Some researchers have mentioned Liszt's *Legend of St. Elizabeth* and Wagner's *Parsifal* in the same breath. Guido Adler[117] spoke of a spiritual and musical kinship. In both works, he said, the "archaizing characteristics of a cappella polyphony of the 16th century" were emphasized. The extent of this relationship has however never been thoroughly investigated. There are several grounds for assuming that an investigation of the parallels would yield interesting results.

Our particular interest is directed at the theme of the Holy Grail in *Parsifal* (1882). Of the two motifs from which it is composed, we can identify the first as the above discussed *initium* of the Gregorian intonation of the third and eighth psalm tones. The second motif is the Dresden Amen (see the following table LVII).

Wagner confessed to Liszt that he had borrowed the beginning tones of another major *Parsifal* motif, the so-called Abendmahlmotif (= the motif of the Last Supper) from Liszt's *Excelsior* (1874).[118] It appears that he never commented on the provenance of the Grail theme. A comparison of the Cross-motif in Liszt's lamentation *Les Morts* (1860) with the Grail theme reveals, however, that Wagner's theme is modeled on the Cross symbol of Liszt. More precisely expressed, that means that Wagner's Grail theme is composed of Liszt's Cross symbol and the Dresden Amen![119]

That the initial motif of the Grail theme actually has the meaning of a Cross symbol can be proven. For this we only need to take that passage in the second act into consideration when Klingsor's spear hovers over Parsifal's head. Parsifal grasps the spear and – according to the stage directions in the score (GS X, 363) – "swings it with a gesture of highest delight, making the sign of the Cross". At the same time he proclaims:

> With this sign I banish all your magic;
> as the spear closes the wound
> which you dealt with it,
> in grief and ruin
> it destroys your deceptive display!

Liszt's Cross motif appears three (!) times as a musical illustration of the passage in the orchestra. It is intoned on the notes $a – b – d – d$, $d – e– g – g$ and $g – a – c– c$. The third appearance is concluded with the Dresden Amen.

In this connection we wish to note that even the *Flying Dutchman* (1841) closes with the four-note Cross motif $d – e – g – f\sharp$. In this case the motif was employed as a musical illustration of the image of the "blinding glory" which surrounded Senta and the Dutchman. A note in the stage directions reads: "Senta … directs her hand and her eyes to the heavens."

It is now just as amazing to discover that Liszt's Cross symbol appears in two of Mahler's symphonies as Leitmotifs, namely in the finale of the First and in the first movement of the Second. In both instances it is intoned in the brass section with a chorale-like harmonization and equally as significant it appears in three different passages. Its function as a Christian symbol which occurs three times is therefore even more obvious. One is especially surprised to discover that the motif in the finale of the First Symphony is complemented all three times (line 26, line 33 and line 53) by a second motive consisting of two parts which in nothing else than a rhythmic transformation of Grail theme!

Even the harmonization of these passages with tones resembling church modes is similar. Wagner uses the chord progression: I–VI–IV–II–I. Mahler has the progression: I–VI–I$_{6/4}$, I$_{6/4}$ – II$_{6/5}$–I. We can add that the Grail theme or Cross motif appears three times at the end of the finale (4 bars before line 56 and 5 bars after line 58) but in this instance it is no longer independent but it functions as a counterpoint to the chorale theme.

In the first movement of the Second Symphony, the Cross motif appears again in the exposition (line 5) and twice in the development of (4 bars before line 11 and 4 bars after line 17). Again, the harmonization resembles the church modes. The progression of the chords is: I–IV–V–VI–I$_6$–I.

Skeptics who perhaps might argue that Mahler's motif, if one considers all the evidence, does not have the same semantics as the use of the motif in Liszt and Wagner might be reminded that Mahler was very familiar with the score of Liszt's *Legend.* According to Natalie Bauer-Lechner (BL 175) he loved the work so much that he never missed an opportunity to hear it when it was performed. There were frequent occasions for this because the *Legend* was performed every year on the name day of the empress Elisabeth (1854-1898).[120]

In conclusion we turn to Bruckner and Tchaikovsky. Our studies of the works of Anton Bruckner have shown that his relationship to Liszt and Bruckner was closer and more diverse than was previously thought.

Bruckner was indebted to Liszt's Graner Solemn Mass (1855) in numerous ways. In view of these relations, it appears only natural that Liszt's Cross symbol frequently appears in Bruckner's masses and symphonies with symbolic meanings, as for instance in the E-minor Mass, the F minor Mass and in the Third, Eighth and Ninth Symphonies.[121]

A tangible "proof" of Liszt's influence on Tchaikovsky is then provided, among other things, by the first movement of the *Symphonie pathétique*, op. 74 (1893). With no small wonder one perceives that the epilogue of the movement (Andante mosso) begins with the "*tonal symbol of the Cross*". It is intoned a total of four times: twice in the brass and twice in the woodwinds. It is almost superfluous to comment that these findings offer an important clue for decrypting of the program of the symphony that Tchaikovsky deliberately concealed.[122]

4.   Motifs for "eternity" in Wagner and Mahler

It would probably not be an exaggeration to say that the so-called Friedensmusik (= peace melody) in the final scene of Wagner's *Siegfried* is the musical climax of the third act. At its core is the so-called "peace melody", an eight-bar theme which is first presented by the orchestra alone and then immediately taken up by Brünnhilde and developed (cf. Table LVIII). The theme returns in major and minor keys and it is also repeated in various metamorphoses in the manner of a refrain.[123]

This is the text of the first stanza of Brünnhilde's part:[124]

> Ewig war ich,
> ewig bin ich,
> ewig in süss
> sehnender Wonne, -
> doch ewig zu deinem Heil!
>
> I was forever,
> forever I am,
> forever in sweet
> yearning delight –
> but to your eternal salvation!

The strong influence which Wagner's "Friedensmusik" had on Mahler makes it possible for us to decipher the symbolic content of several important Mahler themes.

First of all, Mahler borrowed the theme of the 'peace melody' almost unchanged in the finale of the Second Symphony. It even figures as one of the leading themes of the movement. It returns several times, both in the major and in the minor (line 2, line 28, 2 bars before line 34, line 38, 5 bars before line 49) and it is the theme which concludes the movement (7 bars after line 49). At one point (line 47), it is intoned by the choir in unison. The text to this passage is: "*Sterben werd'ich, um zu leben*!" = I will die in order to live!). The theme thus serves, as a symbol of eternity.

The same theme is met – in metamorphoses – at the end of the slow movement of the Fourth Symphony (line 13) and at that point in the second part of the Eighth Symphony which precedes the *chorus mysticus* (lines 198-202). Again, it has the meaning of a symbol of eternity.

XXIII. La Gamme terrifiante

The history of the whole tone scale

The whole tone scale has long drawn the interest of several composers, music theorists and music researchers. Arnold Schönberg[125] devoted an entire chapter to this scale in his *Harmonielehre* of 1911, deriving it from the irregular expanded triad and the dominant seventh chord with an altered fifth. Rudolf Louis and Ludwig Thuille[126] conceded that it "could be utilized in the most varied manner with an excellent effect" but thought that it should actually not be called a scale because of the enharmonic changes "which were always necessary when the series of notes over the space of an octave reached the initial tone of the series". Finally, Debussy research has often dealt with the question of the use of the series in music before Debussy.[127]

The whole tone scale has thus often been the subject of scholarly debate. Still it cannot be said that its history have been sufficiently illuminated. It is hardly known that Franz Liszt played an extremely important role in its development. Only after detailed studies could it be demonstrated what previously had been considered to be almost *a priori* not possible, namely that Liszt was among the first composers who delved into the expressive possibilities of the whole tone scale intensively. Although Schönberg cautiously expressed the opinion that Liszt seemed to have been the first to use the whole tone scale, this is not the case. It is certain, however, that many works of Liszt, especially in his early period, i.e. from the 1850's and 1860's, not only make use of irregular expanded triads[128] but also 'whole tone' sounds and even entire passages based on the whole-tone scale. And it may also be considered as a fact, that Liszt's approach influenced German composers of the late 19th century (in particular Richard Strauss) as well as Debussy and Ravel – two Liszt admirers – as a model.

Carl Loewe and Michael Glinka are apparently the first composers to have written whole tone series. Especially Glinka's fairytale opera *Ruslan and Ludmila*, first performed in 1842 in St. Petersburg, seems to have aroused a stir, not least because of the use of the whole tone series. It is quite possible that Liszt studied the use of the scale in Glinka's opera, which he knew and valued. On June 14, 1843, he wrote to Ludmilla Schestakoff, the sister of Glinka who had sent him the recently published score of the opera, that he had already recognized Glinka's genius in 1842 and that he had played the *Marche tcherkesse* from *Rusland and Ludmila* at his last concert in St. Petersburg in 1843 as well as a brilliant fantasy by Vollweiler on several themes from the

same opera. In his opinion he considered Glinka the "patriarch-prophet" of Russian music (FLB II, 284 f).

'Whole-tone' sounds with tritones increasingly appear in Liszt's works at least since the above discussed *Doloroso flebile* from the *Credo* of the Graner Solemn Mass (1855)(see chapter XXI). The earliest example of the harmonization of the complete whole tone scale with pure triads appears however (in Liszt and thus in all of world literature) in the finale of the Dante Symphony (1856). Both of the two conclusions of the *Magnificat* are based on the descending whole tone scale, which is harmonized with pure triadic sounds rising in the opposite direction. The chordal progression, which Wagner[129] described as "floating" in triple *piano*, was as follows:

G# – F# – E – D – C – Bflat – F#6 – F# – E – B

More consistently 'whole-tone-like' is the chord progression of the second (ad libitum) conclusion that Wagner denounced as "*ostentatiously plagal-like*":[130]

B – A – G – F – Eflat – c# – E6/4 – B

Liszt must have attached a particular meaning to the (then unheard of) chord progression of the first conclusion, because he referred to it in a letter dated August 20, 1859 to Julius Schäffer (FLB VIII, 148):

> "At the conclusion of my Dante Symphony I've tried to introduce the liturgical intonations of the *Magnificat*. Perhaps you might be interested in the triadic scale in whole tones, which (to my knowledge at least) has never before been used in this manner to its full extent".
> (The scale of the chord that Liszt then notated differs slightly from the actual closing notes of the first Magnificat: G# – F# – E – D – C – Bflat – Aflat – F# – B).

That Liszt had a particular symbolic intention in mind by introducing the "triad scale in whole tones" at the conclusion of the Dante Symphony is clear from the above quoted statement in Richard Pohl's preface to the score edition of the Dante Symphony, which was authorized by Liszt himself:

> "After the holy ardor of divine love has inflamed the heart, every torment is destroyed by it. It passes into the heavenly bliss of devotion to God's grace. In the case of the individual Magnificat it passes by way of the *pianissimo* of the general *Hallelujah* and *Hosanna* in the manner of Palestrina through a dogmatic scale, that represents a symbolic ladder rising to heaven and then to the the whole universe".

Referring to Pohl's explanation, Lina Ramann [131] correctly noted that the conclusion of the Magnificat refers to Canto XXI (verses 28-33) of Dante's *Paradiso*, which described the ladder to heaven.

Also of special relevance for the history of the whole-tone scale is a little known letter by Liszt to his pupil, the composer Ingeborg Stark, wife of Hans Bronsart. He apparently wrote the letter after she sent him the score of an overture by Baron Boris A. Vietinghoff-Scheel (1829-1901) for evaluation. Liszt responded as follows (FLB I, 362 f):

> "So let's talk about other things, for example, about the overture of Baron Vietingshoff that you kindly sent me. I went through it together with Bronsart [...] The overture lacks neither imagination nor momentum. It is the work of a musically gifted person who has, however, not yet learned to work properly with the dough ... Should you have the opportunity, so please convey my best recommendations to the author and please give him the attached little chordal scale (*la petite échelle d'accords*). It is nothing more than the very basic *développement* of the gruesome scale (*Gamme terrifiante*) for all those who have arched and extended ears:
> c – b – g# –f# – e – d – c – bflat – g#
> Herr von Vietinghoff uses it in the last Presto his overture (page 66 of the score). Tausig[132] incidentally already used it very effectively in his '*Geisterschiff*'…".

The following section of the letter reveals Liszt's ironic sarcastic side. He took the discussion of the whole tone scale as to an opportunity to demonstrate the absurdity of the reproaches of his enemies who viewed the progressive party as a danger for the "Future of Music". To this end, he took up the arguments of his opponents and developed them into exaggerated formulations leading ad absurdum. In the future - he wrote - the elementary technical piano exercises of the *chien enragé* (i.e. "the frenzied dog") would have to be replaced by repetitions of whole tone scale. The whole tone will be the only basis of future harmony. All other chords would have to be only formed by the arbitrary elimination of one or the other interval. Finally it will be soon necessary to expand the system - in hopes of improving it - by admitting quarter and eighth tones. Liszt's ironic "exhortation": "Behold the abyss of progress into which the vile musicians of the future sink! Take care, you can also be infected by this plague of art!"

One can assume from the cheerful tone of this letter that Liszt was thinking very intensively about the expressive possibilities of the whole tone scale in the summer of 1860. This becomes evident only when we learn that shortly after writing the letter to Ingeborg Stark on October 9, 1860, he completed the melodrama *Der traurige Mönch* (The sad monk) based on Nikolaus Lenau - an exceedingly interesting composition, the half of which is based on the whole-tone scale (see Table LIX / LX). The *Gamme terrifiante* appear here both as an ascending melodic motif in the bass as well as as a tonal

formation out of which the sound of the 'accompaniment' is formed. It is obviously used as a means of expression to accentuate the spooky-eerie mood of the poem. It is noteworthy that the whole tone motif appears as a chromatic variation at the passage "*Verrufen ist der Turm im Land*" (= The tower is ill-famed in the country). It is moreover significant that it is divided into two tritonal half octaves. In terms of his time period, Liszt seems to have been well aware of the uncommonly bold construction of his composition. On October 10, 1860 he wrote to Emilie Merian-Genast that the "few short pages" that he sent her probably would "be of no use" since "these key-less dissonances sounded so desolately arid and scandalous".[133]

The letter cited above makes us realize that Liszt actually regarded the whole tone scale as a *Gamme terrifiante*, i.e. as a "terrifying" scale, which was capable of depicting not only a floating aura (as in the finale of the Dante Symphony) but above all as suggesting the ghostly, the demonic and the monstrous. This view was not just his personal conviction but rather he shared it with other composers. One can conclude that the whole-tone scale in Glinka's *Ruslan and Ludmila*, in Tausig's ballad *The Ghost Ship*, in Dargomyzhsky's opera *The Stone Guest* (1868) and in Liszt's melodrama was used as an expressive medium to evoke ghostly demonic monstrosities.

This background helps explain why Liszt consequently also endeavored in 1863 to produce a descriptive account of a terrible storm at sea in his *Christus* (no. 9 *The Miracle*) by employing both chromaticism and diminished seventh chords as well as the whole-tone scale.

XXIV. Rhythmic Leitmotifs

Symbols of death, fate and combat

> "An equally simple and yet – when he compares it
> again with later movements – equally engaging
> effect as the theme of the opening Allegro, is
> presented by the idea of the initial tutti of the
> minuet."
> E. TH. A. HOFFMANN in 1810 about
> Beethoven's Fifth[134]

> Beethoven posséda au plus haut
> degré le sentiment du rhythme.
> BERLIOZ (1852)[135]

Theodor W. Adorno[136] was arguably the first to point out that the characteristic rhythms in Alban Berg's *Wozzeck* (3rd act, 3rd scene), the *Chamber Concerto* (1925) and in *Lulu* (*Monoritmica*) had a constructive meaning which ultimately was based on a model created by Mahler utilizing the syncopated main rhythm in the opening movement of the Ninth Symphony. According to Adorno "The serial inclusion of rhythm in the design had its origin in that movement".

When one takes into consideration Berg's devotion to Mahler and his special affection for the Ninth, then Adorno's remark seems to make sense.[137] However, it is clear that this is little more than one aspect of a much more complicated issue. Two points need to be emphasized.

At the risk of disappointing Mahler enthusiasts, it needs to be said that Mahler was not the initiator of the process. The idea of rhythm assuming the function of a constructive element has a long history. A study of the historical precedents leads to the realization that it does not owe its genesis to technical considerations but rather to non-musical ideas.

Beethoven

The author of the technique is Beethoven. The first work in which it was applied was his Fifth Symphony (1808). Max Chop[138] has probably the first to notice that the motto-like motif intoned at the beginning functions as a musical Leitmotif that runs "through the entire work, determining its shape and forcing all the remaining elements involved to submit to its dominance". Chop's motivic derivations are sometimes overblown. Similarly, one cannot accept his thesis that Beethoven's "programmatic and thematic representation" in the Fifth was

similar to the technique used by Liszt's in *Les Préludes* without qualification. Chop's observation, however, that the rhythm of Beethoven's opening motif takes over the function of a 'Leitrhythmus' is a research result of lasting value. No one can deny that the 'Leit' rhythm of the C minor Symphony not only dominates the first movement, but also plays a leading role in parts of the scherzo and finale (cf. Table LXI).

From the perspective of 'formal' categories, the one must consider the 'Leitrhythmus' of the Fifth as the factor which is responsible for the unity of the composition. Whoever is not satisfied with a purely 'formal' approach might also ask about the 'poetic' meaning of this rhythmic Leitmotif. One is reminded of Anton Schindler's statement that Beethoven is said to have explained the 'motto' with the allegory: "*Thus Fate knocks on the door*".[139] Based on this statement, several interpreters have claimed that the Fifth is Beethoven's "*Schicksalssymphonie*" (Fate Symphony). The originators of this interpretation seem to have been Adolph Bernhard Marx[140] and Wilhelm von Lenz.[141] They proposed almost simultaneously (1859 or 1860) that the central theme of the symphony was "victory in the struggle against fate". If Marx characterized the content of the work with the motto: "Through darkness to light! By battle to victory!", then Lenz called the symphony "a tragedy about fate on the world *stage*". He designated the first movement as "an orchestral héroïde in itself" and described the finale as a "triumphant anthem". A half-century later Paul Bekker[142] based his interpretation on the concept of fate.

Other researchers however have questioned the credibility of Schindler's report – admittedly with not very compelling arguments. Why should this statement from Schindler not be credible? Heinrich Schenker[143] dismissed Schindler's report - without giving his reasons - as a "*legend*"(!) and he proceeded to formulate the following tendencious statement:

> "If one were to give credence to the statement that the rhythm of the motif was linked in the imagination of the Master with the idea of fate knocking on the door, then this knocking only had to do with carrying out the duties of one's position and nothing to do with destiny."

It is strange that Schenker, who was attempting to work out the '*Urlinie*' of the work, failed to recognize the all-important rhythmic relationships between the movements. Equally arbitrarily is Hugo Riemann's argument that he found Lenz's title of the Fifth as a "tragedy of fate" questionable because he could not detect a "recognizable catastrophe" in the work.[144]

That Beethoven had extra-musical (*poetic*) ideas in mind when composing the Fifth is revealed not only by the unusual recurrence of the dominating rhythm which in the finale assumes an almost dithyrambic character. Also other details of the composition would remain incomprehensible if one was not

willing to take poetic elements into consideration. We are thinking in particular about the design of the mysterious, much-admired transition from the scherzo to the finale. For one, the beating of the dominating rhythm by the timpani drums in the scherzo is especially remarkable. Secondly, another equally admired architectural feature is quite unusual, namely the recurrence of the scherzo in the finale, or more precisely, the interpolation of a scherzo section between the development and recapitulation.

It only remains to mention that Arnold Schering interpreted the C minor symphony on two occasions. According to the first interpretation[145] the work is a timeless, tragic subject, based on the the problem of "national enoblement". Schering's later interpretation, however, viewed the work as encompassing as esoteric program based on a specific literary work, namely scenes from Goethe's *Wilhelm Meister* (third book, 6th chapter).[146] Both interpretations did not take into consideration the definitive relationships which arose from the repeated 'Leit' rhythm. Probably with an eye on Schering's first hypothesis, Karl H. Wörner[147] more recently concluded that the Fifth was a revolutionary Symphony – "*a* retrospective revolutionary confession which arose from Napoleon's illegitimate path to his coronation as emperor".

E. Th. A. Hoffmann's enthusiastic review of the Fifth, published in 1810 in the *Allgemeine Musikalische Zeitung* testified that the effect of Beethoven's throbbing beats in the timpani drums to the rhythm of the main motive were not overlooked by his contemporaries. They had moreover an equally strong effect on posterity. It can be demonstrated that several composers (partly under the influence of Schindler's report and the above mentioned interpretations of the work as a Fate Symphony) picked up on Beethoven innovation and developed the 'Leitrhythmus' with symbolic semantics in their own symphonic works. Our list of the most interesting examples begins with Franz Liszt and extends over Wagner, Bruckner, Richard Strauss and Tchaikovsky to Mahler.

Liszt

Franz Liszt, one of the most imaginative composers of the 19th century, was apparently the first composer after Beethoven who employed the principle of the Leitrhythmus (if I may be permitted to use this new terminology) in his symphonic compositions. Instances of characteristic 'Leit' rhythms with symbolic semantics can be identified in many of his works (see Tables LXI-LXIII).

As a first example we could examine the First Piano Concerto in E flat major (1849). The work consists of five movements, several of them overlapping. The first movement is an Allegro maestoso, the second is a quasi Adagio, the third movement represents the Scherzo, the fourth movement

(Allegro animato) takes up themes from the first two movements. The finale is the above mentioned Allegro marziale animato (see chapter VIII). In three movements of the concerto, namely in the first, fourth and fifth, the penetrating rhythm of the opening motif emerges as the determining principle rhythm. Especially noteworthy is the passage in the fourth movement, where the timpani drums beat the 'Leit' rhythm eight times in succession under cantabile motifs from the Adagio - a brusquer contrast is hardly conceivable. Liszt noted this in the score (GA I, 13, 34): "The rhythm of the first motif in the timpani is to be clearly and sharply emphasized". Finally, this design suggests, contrary to general opinions on the piano concerto, that it is based on a secret program.

The principle of the Leitrhythm assumes even greater relevance than in the first Piano Concerto in the symphonic poem *Hungaria* (1854). In this case it can be demonstrated that the striking repeatedly recurring 'Leit' rhythm of the work has a symbolic meaning. The fact that it is intoned at the beginning of the first *Allegro eroico* by the brass and tympani for a total of four times leads to the conclusion that Liszt imparted to it the importance of a "hero rhythm". (It is noteworthy that at this point in the score the instructions read: "Rhythm sharply emphasized".) The 'Leit' rhythm plays a significant role[148] in the following Allegro moderato and then dominates the Andante - Tempo di Marcia Funebre bars 425-253 (also here the score instructions read: "Rhythm sharply emphasized"). The musical data helps us to understand that the Andante is a Marcia Funebre in a heroic rhythm, signifying that the mighty had fallen. Liszt, however, based his symphonic poem on the idea of victory and posthumous glorification, thus explaining why the hero rhythm is again intoned several times after the Marcia funebre. It appears four times at the Allegro marziale bars 547-562, six times at the beginning of the *Allegro trionfante* bars 563-574, and finally in the closing bars 675-679.

Of all the verses of the poem of homage by Mihaly Vörösmarty that inspired Liszt to write *Hungaria*, the following lines appear to express the core idea of the symphonic poem most concisely:[149]

> Give us a song from the master's pen,
> Retell the glory of days long gone.
> Give wing to the spirit of marching men,
> Mark well the thunder of battles won,
> And through the tumult's raucous bawl,
> Let loud triumphal bugles call.

Another example of the use of a terse rhythmic unit with symbolic semantics can be found then in the symphonic poem *The Ideals* (1857). Approximately in the middle of the second part (*Enttäuschung*) at the letter 'U' a throbbing rhythm of the solo timpani appears, which is twice repeats. The section immediately preceding closes with a stanza from a poem of Schiller:

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> "Who is still standing by to comfort me
> And follow me into the dark house?"

It can be regarded as probable that Liszt Schiller's "*dark house*" is a metaphor for death the characteristic tympani beats at this point denote a symbolic intent.

In this sense, the beats of the timpani drums were already interpreted by Arthur Hahn [150] and George Münzer. [151] Joseph Heinrichs [152] countered their interpretation with some rather weak arguments, although one has to agree with him in that the conception of death is not the answer to the questions posed by Schiller's poem. Death, however, is the ultimate goal of the path referred to in the verses. Especially in *The Ideals* one can recognize that Liszt, the "idea musician" was not trying to 'paint' the details of the poem in his composition. His concern was to transfer into music certain literary ideas which were of essential importance for him.

Let us now turn to the symphonic poem *Hamlet* (1858), which was created as a prelude to Shakespeare's play. Liszt did not give the work a program. (In the score there is only a short note accompanying the later-composed interlude in three two time: "This interlude in 3/2 time should be kept extremely quiet as a sort of shadow sound, hinting at Ophelia"). It is possible that Liszt's decision to not give a programmatic explanation was almost perceived as a challenge for several researchers to interpret the work hermeneutically. Lina Ramann [153] made the first attempt, when she suggested that it was based on Liszt's own oral explanation. Arthur Hahn, Georg Münzer and Max Chop followed her example. Ramann's interpretation, especially her not always justified statements, prompted Peter Raabe, an outspoken opponent of programs, to dismiss the "value" of all such attempts at an interpretation. [154]

Raabe's resignation, however, is unfounded because clues can be found in *Hamlet* which would justify an exegesis. The most important are the following observations. Liszt also works in this symphonic poem with a 'Leit' rhythm whose semantics can be precisely identified. It is intoned at the beginning of the composition (Liszt's performance instructions: "*very slow and gloomy*", *sotto voce*, "*wavering*") and then it reappears in various forms as a guide throughout the score right up to the last section, the Moderato-funebre at the letter 'S'. Here it becomes quite clear that the conspicuously "*wavering*" rhythm is essentially a Marcia-funebre rhythm [155] - an important clue for the semantic determination. No less significant is the fact that Liszt provides the rhythm in the course of the work with different expressive designations. He writes at the letter 'C' *pesante* (the rhythm in the violins and violas), at 'G' (brass) *aufschreiend*, 5 bars after 'J' *marcato*, 5 bars before 'M' (trombones) "*scary*" / *misterioso*, 4 bars after 'M'

(trumpets) "*mocking*" / *con scherno* and at the Moderato-funebre finally again *pesante*.

The above mentioned observations are indicative of two things. First, Liszt gave the "wavering" passage the semantics of the cardinal question of Hamlet (*to be or not to be*), and secondly the "wavering" rhythm of the introduction was a symbol of non-being, i.e. of death. *Hamlet* concludes in the manner of a funeral march. (Shakespeare's drama also concludes with a funeral march). Searching for statements about Hamlet, one can refer to a hitherto unnoticed statement in one of Liszt's letters, which confirms the above interpretation. It should be first emphasized that two of Liszt's letters to Agnes Street Klindworth deal with his conception of Hamlet. The first letter (from January 18, 1856) was written at least two years before the composition of the symphonic poem (FLB III, 58-59). Liszt had attended a performance of Hamlet in Weimar with the famous actor Bogumil Dawison and he was deeply impressed by the actor's conception of Hamlet. In the said letter he discusses Dawison's own novel conception of Hamlet, who saw Hamlet as a talented, organized, progressive prince with high political goals and he contrasted this with the interpretation of Goethe (in *Wilhelm Meister's Apprenticeship*, 4th Book - Chapter 13 and 15), who viewed Hamlet primarily as a dreamer and brooder (*un songe creux*). Even more revealing for the exegesis of the symphonic poem, however, is the subsequent letter of June 26, 1858, because it was written shortly after the completion of the work. Liszt wrote: "Yesterday (therefore on June 25, 1858) we practiced Hamlet with the orchestra. I'm not unhappy – he will remain as he just is: pale, feverish, suspended between heaven and earth, a prisoner of his doubts and his indecision."

This is the French original text (FLB III, 111):

> Un numéro manquant encore pour faire la douzaine de mes poëms symphoniques (car le Faust et le Dante sont à part), je viens de flanquer un *Hamlet*. Nous l'avons essayé hier à l'orchestre. Je n'en suis pas mécontent – il restera tel quel, blême, enfiévré, suspendu entre le ciel et la terre, captif de son doute et de son irrésolution!

In Liszt's opinion the basic characteristic of Hamlet is his skepticism, doubt and indecisiveness - the "*wavering*" rhythm of the symphonic poem is its musical correlative.

Judging by the above research results, Peter Raabe's thesis about the supposedly autonomous conception of several of Liszt's symphonic poems can no longer be maintained. Thus when speaking about the supposedly "worthlessness attempts at programmatic interpretations" in his discussion of Hamlet, Raabe cites only the first of the two letters dealing with the drama, which seems to speak against Ramann's thesis. He was not aware of the second

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significant letter. (His claim that nowhere could one "find a word" in Liszt's correspondence or other documents that would "confirm a single one of these clumsy attempts at interpretation" is therefore incorrect). Our studies on the function of the "wavering" 'Leit' rhythm have therefore shown that Raabe's thesis that Liszt never thought about "relating any passages in his music to details of the drama and especially to Hamlet's soliloquy" is invalid.[156] Several features suggest that Liszt refers not only to the soliloquy of Hamlet (Act III, scene 1) but also to other scenes of the drama. To take just one very characteristic example: 5 bars before the letter 'M' the 'Leit' rhythm is, as already mentioned, presented by the four trombones at larger intervals. At three places Liszt accompanies the rhythm with the rubrics *schaurig* (= scary) / *misterioso*. Since trombones are often employed in operatic compositions of the period[157] to indicate scenes involving spirits and incantations, the assumption can not simply be swept aside that the repeated *misterioso* passages of the trombones are related to Shakespeare's scene with the ghost (Act I, scene 5) and in particular to the triple exclamation: *O, horrible! O, horrible! Most horrible!*

Finally, one other feature might be examined. Whoever has dealt intensively with Liszt's symphonic works, will not deny that certain rhythms with presumed symbolic meanings "wander" through various compositions. The most interesting case is the 'twitching' ostinato triplet rhythm from the Allegro strepitoso of the symphonic poem *Tasso. Lamento e trionfo* (1849). It is again met - now as the accompaniment pattern - in the Allegro molto appassionato of *Prometheus* (1855) and then figures prominently in the second movement of the late symphonic poem *From the Cradle to the Grave* (1881) (see Table LXII). The title of this movement *Der Kampf um's Dasein* (= The struggle for Existence) reveals that the characteristic rhythm has here the meaning of a symbol for a struggle or battle.

Keeping this in mind and connecting it with a few other pieces of evidence, it can be assumed that the distinctive rhythm in *Tasso* could have a similar meaning (such as "struggle of the soul"). For this purpose we could consider the following. The programmatic accusation at the beginning of the lament (Lento - Allegro strepitoso - Lento) seems to be the monologue of Tasso in prison. This is suggested by Liszt's own remarks on the program, especially the statement that Byron's conception of Tasso exerted "a predominantly decisive influence on the design of this work" and that Byron placed Tasso "in the dungeon as a matter of course" and in his plea he gave expression to "the memory of the deadly pain". Probably drawing on these statements by Liszt, Felix Draeseke, who to all appearances was aware of Liszt's own intentions from the composer himself, made the following comment as early as 1858 about the beginning of the *Lamento*:[158]

"A gloomy figure, as determined by the poet's own external moodiness, sets this off. Gradually assuming a wilder character, we are finally introduced to Tasso in a fit of madness, and then he disappears, returning first to the initial lethargy, then completely".

If one notes in addition that the two Lento sections to either side of the Allegro strepitoso have a recitative character and can therefore be interpreted as 'monologues' in accordance with Liszt's own elucidations, then it stands to reason that the Allegro strepitoso can be regarded as an illustration of emotional turmoil.

One last word. Tchaikovsky must have been have enormously impressed by Liszt's 'struggle' rhythm because he adopted it in his orchestral fantasies *Roméo et Juliette* (1869/1870/1880), bar 111 ff. and *Francesca da Rimini*, op. 32 (1876), bar 504 ff. as well as in opening movement (development) of the *Symphonie pathétique*, op. 74 (1893).

Wagner and Bruckner

Fate and death are often illustrated in Wagner's music dramas with rhythmic symbols. Several fate and death motifs from the *Ring of the Nibelung* have characteristic timpani rhythms. One only needs to recall the syncopated 'Leit' rhythm that runs through the funeral march after Siegfried's death in the *Twilight of the Gods* (1874) (see Table LXIV).[159]

Probably the most impressive examples of the symbolic use of a 'Leit' rhythm within symphonic music literature after Liszt and before Mahler are found in Bruckner's Eighth Symphony and in the symphonic poems *Macbeth* and *Death and Transfiguration* by Richard Strauss.

In the first movement of the Eighth Symphony by Bruckner (first version 1884-187, second version 1890) the dotted main rhythm of the main theme plays a leading role, as it recurs in several passages, especially towards the end of the movement, ever more frequently, when it is intoned by the trumpets and by the horns or both together on the same note (cf. Table LXIV).[160] Bruckner himself revealed in a letter to Felix Weingartner from January 27, 1891, that the the ten-fold intonation of the rhythm at letter 'V' had the meaning of the announcement of death at the apex of the recapitulation.[161]

"In the 1st movement, the trumpet and horn parts are based on the rhythm of the theme, the annunciation of death, which sporadically keeps getting stronger and ultimately makes an extremely strong entrance, at the end, as a surrender."

Strauss

A penetrating syncopated rhythm that usually begins with a triplet fulfills the function of a 'Leit' rhythm in the tone poem *Macbeth*, op. 23 (first version 1888). It first appears in bar 84 after the Lady Macbeth theme on, generally intoned by the horns and bassoons or by the entire brass choir and it is in most cases accompanied simultaneously by an agitated (*agitato*) semiquaver figure in the violins.

In his explanation of the tone poem Hermann Teibler[162] thought that the "triplets, that later illustrate the unbound force" of Macbeth's "terrible energy", already functioned at their first appearance in bar 84 "as a sign of Macbeth's maturing resolve" to murder Duncan. Even though Teibler's statement is subjective and can hardly be substantiated, it nevertheless leads us to some new observations which help us to elicit the semantics of the 'Leit' rhythm (cf. Table LXVI).

The 'key' to this is found in a later part of the score (bars 403-431), which forms the last and most powerful climax of the tone poem. It is noteworthy at this point that the 'Leit' rhythm coincides again with beats of the tamtam (bars 403-410) and in addition it is preceded by a series of chords (bars 406-410) characterized by a glaring dissonance. Strauss usually employed the tamtam (as will be discussed) with a symbolic intent, namely as a sound symbol of death. The glaring dissonance (a neapolitan sixth chord over a held organ point on the tonic key of the movement) apparently marks the point when Macbeth murders Duncan. From these observations, one may well conclude that for Strauss the syncopated 'Leit' rhythm of the work acquired the meaning of a death symbol.

Summarizing now the tone poem *Death and Transfiguration*, op. 24 (1889), we should mention that the profiled syncopated rhythm with which the work begins has been discussed several times in the literature. It is curious however that both the symbolic and the motivic importance of the 'Leitmotif' have been overlooked. Thus Richard Specht[163] says nothing about either the function or the semantics of the rhythm. Wilhelm Mauke[164] is uncertain whether the rhythm is the "pulsating of the blood in the temple of a feverish patient" – "the death clock" or whether it expresses "the restlessness of the human conscience". And Norman Del Mar, in his eminently readable monograph,[165] only says of the rhythm, that it suggests at the beginning of the tone poem the sporadic pulse and heartbeat of the patient.

If we examine more precisely the technical design of the tone poem, taking the program (i.e. the poem by Alexander Ritters) and the statements of the composer into account, it becomes clear, first, that the rhythm at the beginning fulfills the function of a 'Leitrhythmus' (it returns again and again at countless places, often entrusted only to the timpani) and secondly, that it always occurs with the semantics of a death symbol (cf. Table LXVI).

It is worthwhile to trace the manifestations of the 'Leitrhythmus'. In the first part (*Largo*) it has, as a result of frequent interruptions, a faltering character. In the second part (*Allegro molto agitato*) it shows its true nature, namely a variant of the so-called syncopated Bruckner rhythm, i.e. a combination of a duole (two notes sounding in a three beat measure) with a triplet. In this guise it appears particularly clearly in the *furioso* of bars 94 f. and then in bar 121 f. (Between the two passages the timpani maintains the "faltering" form of the rhythm). In the third part (*Meno mosso*) it takes over a leading role from bar 270. It is intoned by the trombones several times in anticipation of the decisive event. A note in the score reads: "This and the following trombone movement must be accorded an incredibly striking presentation and the bells of the instruments may be turned towards the public!" This part of the tone poem concludes in bars 365-367 in the tempo of the introduction (*Largo*). Here the timpanis beat the rhythm ten times. It is noteworthy that the rhythm does not apear again in the final part of the work (*Moderato*).

Tchaikovsky

Peter Tchaikovsky was, as already mentioned, firmly convinced that Beethoven's Fifth Symphony was a fate symphony. In a letter to his student Taneyev he freely confessed that his Fourth Symphony was orientated on the programmatic idea of Beethoven's Fifth (cf. chapter VIII). Tchaikovsky also conceived his Fifth Symphony as a symphony about destiny. This is made clear by his programmatic entries in the sketches.

Tchaikovsky must therefore have believed Schindler's account about Beethoven's allegorical interpretation of the 'motto' of the Fifth Symphony and he must have also realized that the "throbbing" rhythm of the motto acted as a 'Leit' rhythm. It can therefore be concluded that Tchaikovsky was dealing with 'fate' themes or better 'fate' motifs in his Fourth and Fifth Symphonies. Both of the motifs are rhythmically very concise, they are occasionally intoned on a single note and they function by their recurrence as the 'guiding principles' of the symphonies (cf. Table LXV).

With respect to his *Symphonie pathétique* Tchaikovsky repeatedly said that it was based on a "thoroughly personal" program that he would not disclose. It should "remain a mystery for everyone" – "Let them just break their heads over it" he wrote his nephew Davydov. Tchaikovsky was correct with his prophecy. The extensive literature about the *Pathétique* does not lack for speculation. We believe that an in-depth study of the musical symbolic language of the composer could allow the decryption of the secretive program. The following observations and comments can be understood as a contribution to such a semantic investigation.

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1. It has remained up to now – as far as we can see – unnoticed that the famous opening motif of the Allegro non troppo from the first movement of *Symphonie pathétique* (1893) is nothing else than his version of the opening motif of the Allegro giusto of the fantasy-overture *Romeo and Juliet* (1869/1870 /1880). It is reasonable to assume that Tchaikovsky gave the subject in both works the same or similar semantics.

2. The development (*Allegro vivo*) of the first movement of the *Pathétique* begins with a rhythmically distinctive and very penetrating new motif, which is repeated twice, each time a semitone high. This motif, which is a *hapax legomenon* (i.e. occurs only once within a context) exhibits in its ductus a similarity with the fate motif from the Fourth Symphony.[166] It is possible that the motif in the *Pathétique* has the semantics of a fate symbol.

3. Towards the end of the development (3 bars before M) the horns intone a syncopated rhythm 16 bars long, consisting of a triplet and a duole that recurs in the recapitulation (at O). The very haunting form in which this rhythm appears at the climax of the movement (4 or 8 bars after P) helps us realize that Tchaikovsky provided it with a symbolic semantics. This climax carries all the musical characteristics of a disaster. This passage in triple and later in double forte is built on a diminished seventh chord extending over ten bars. In the following passage (at Q) sigh formations dominate.

4. That Tchaikovsky introduced the chorale of the Russian funeral Mass in the middle of the devopment of the opening movement (4 bars after K) is well known.[167] However, up to now, it was not realized that the epilogue of the movement (*Andante mosso*) begins with the "*tonal symbol of the Cross*".[168]

Mahler

Our studies have illustrated what was initially presented in the form of a thesis, namely that the history of the 'Leitrhythm' does not begin with Mahler, but rather with Beethoven. Especially Franz Liszt brought the principle of the 'Leitrhythm' into his symphonic compositions. Mahler's use of the technique was therefore grounded in a long tradition.

In Mahler's symphonies, the principle of the 'Leitrhythm' reached it culmination in both the Sixth and Ninth Symphonies. Strangely, Mahler research has hardly devoted any attention to this important principle. Adorno is actually the only one who has spoken about the main rhythm in the first movement of the Ninth.

That a 'Leit' rhythm plays an important role in three movements of the Sixth Symphony, however, has been hardly noticed. Strange as this may seem, it is understandable. The 'Leit' rhythm that we refer to occurs together with the harmonic symbol of a bright A major chord turning into a dark A minor. When

the rhythmic motif appears in the opening movement of the Sixth for the first time (4 bars before line 7) it is first intoned by the timpanis and directly thereafter it is repeated accompanied by the sounds of the *major-minor passage* (cf. Table LXVII). This progression exerted such a strong impression that it directed the interest of the first interpreters away from the rhythm and they concentrated almost exclusively on the harmonic progression. Richard Specht[169] for example only discusses the chordal sequence. When mentioning the '*Leitmotif*' of the work he says it was branded into the work "as immutability as a badge, a crest, with some sort of significance about fate". The interpretation of Paul Bekker[170] is hardly more than a paraphrase of Specht's view, when he explains that the chord sequence is the motto of the work and that the semantics are connected to the "inevitabily of an unalterable fate". Bekker also speaks exclusively about the chord progression. He did not recognize the 'Leit' rhythm as such.

Specht's and Bekker's interpretations were very influential. A more differentiated approach, however, is necessary. We really need to distinguish sharply between the harmonic progression and the 'Leit' rhythm. Mahler himself treated the two symbols as independent elements. In some instances he combines them. In many other cases, however, either the rhythm or the harmonic progression appears.[171] It has been previously completely overlooked that the'Leit' rhythm appears not only in the outer movements, but once (7 bars after line 84) in the scherzo. The 'Leit' rhythm of the first movement of Mahler's Ninth has already been mentioned. Adorno described it correctly as a disaster rhythm (Katastrophenrhythmus). [172] It can be demonstrated that the rhythm has a specific symbolic semantic.[173] That it appears a single time in the finale of the Ninth (bars 122-124) has previously not been noticed (cf. Table LXVII).

Finally one should remember that Mahler knew Liszt's First Piano Concerto, Bruckner's Eighth and the *Death and Transfiguration* by Strauss very well. He delved into all three works intensively and he regarded them as important influences.

XXV. Guiding sounds (Leitklänge)

Characteristic chords and symbols

> "The true tone poet only introduces that which is new and unusual about a new harmony in order to give expression to something that moves him which is new and previously unheard-of. That can be merely a new sound but it can be far more than that; a new sound is a symbol, discovered involuntarily, proclaiming the new man who thereby asserts himself."
>
> ARNOLD SCHÖNBERG (1911)[174]

> "That the symbolic meaning of the unique initial sound that already emerges most clearly at the climax of the introduction signifies broadly speaking the unattainable, the unredeemed state of love longing. Taken alone one can refer to its use as a Leitmotif. One can characterize it as the fundamental sound of the whole drama, as its 'pain'. The importance of the first chord is not only due to its position in the prelude. The agonizingly torn mood of the work finds its first and immediate outburst in this unique reflection of sound. It can be compared to the expression of an illness. Whether brightly shining or only shadowy, the sound with its uncanny restraint underlines destiny throughout the entire music drama, in which the unredeemable rises up in sound from the words of poetry".
>
> ERNST KURTH on the Tristan Chord[175]

The harmony of the 19th century has been the subject of several detailed studies that have shed light on many of its historical, acoustic, "theoretical" and phenomenological aspects. Despite this research it seems to almost bizarre that a certain and as it seems – extremely important – aspect of *Romantic* harmony has escaped the attention of researchers almost completely. We are referring to the fact that several composers of the period give certain recurring charactersistic chords and chord sequences a particular semantic in many of their dramatic and symphonic works, which can be treated (if you will forgive us this neologism) as 'Leitklänge'. Apart from the Tristan chord, whose symbolism prompted Ernst Kurth to make some interesting observations, this particular area of research is almost a *terra incognita*.

For all of the sounds that will be presented and analyzed in the following discussion, it is significant that they stand out from their surroundings – whether it be due to the exposed position accorded them as a result of their special treatment or simply because of their structure. In many cases, these sounds take over the function of 'Leitharmonien' (= guiding harmonies), i.e: they appear repeatedly in the movements of one and the same work with the semantics of a

'Leit' idea. In other cases characteristic sounds are employed in the manner of an *imprévu*. They introduce abrupt contrasts, sudden changes in character or scenario. In other cases again dissonant sounds appear at the high points of the movement, to some extent at the centers of the musical and dramatic events. A systematic study of all of these sounds often makes it possible to clarify their symbolic content.

1. An "*eerie*" minor third chord as a tonal symbol in Wagner, Liszt, Mahler and Strauss

The famous Allegretto of Beethoven's Seventh Symphony is known for its long drawn out opening and closing six-four chord (A minor) in the woodwinds. The sound gradually swells from a fortissimo down to a pianissimo.

Beethoven's striking chord has been interpreted in various ways. To George Grove[176], for example, it seemed like a question which the listener asks "at the beginning of an entry into another world". Arnold Schering[177] however interpreted it as a "cry of woe", which "in a painful manner" introduced and concluded the alleged programmatic model of the movement, the Requiem for Mignon (Goethe, *Wilhelm Meister's Apprenticeship*, book 8, chapter 8). (According to Schering the Seventh is based on scenes from *Wilhelm Meister's Apprenticeship*).

Schering's interpretation of the Allegretto has – in the absence of secure evidence – at most the value of a speculation. It is clear, however, that Beethoven's striking six-four chord served as an inspiration for several composers. Anticipating the results of this investigation, it can be demonstrated that the long drawn out minor triads which appear unexpectedly in a fortissimo were often employed by Wagner, Liszt, Mahler and Strauss as a means of symbolizing death and the afterlife, depicting death and those who had died.

This specific semantic is given to the treatment of the minor triad first by Richard Wagner in the third act of the *Flying Dutchman* (1841). If one recalls, at the beginning of the act the scene is set in a sea bay – according to Wagner's stage directions. In the background one sees two ships, "*quite close to one another*", one Norwegian and the other Dutch. On the well-lit Norwegian ship prevails "*joy and gladness*". The Dutch ship in contrast is surrounded by "*an unnatural darkness*" – "*a deathly silence hangs over it*".

Among the most exciting moments of the scene are the three passages in which the girls and the sailors of the Norwegian vessel call out to the crew of the Dutch ghost ship without receiving an answer. Wagner answers the loud cries every time, after a pause, with a long drawn out minor triad in a foreign tonality

– "*as an eerie contrast*" (according to the stage directions) in the muted horns and bassoons.

This minor triad attracted the attention of Franz Liszt in particular.[178] In his major treatise on the *Flying Dutchman* (1854) he described the scene in detail, characterizing the chord - in agreement with Wagner – as "*eerie*" and stating that it very succinctly denoted the stillness of death. Liszt's interpretation, however, is not precise enough. The exceptional chord symbolized not only the stillness of death but also the situation and the silent response of the ghostly crew of the ghost ship that emerges in the further course of the scene out of the darkness and a "*horrible demonic bacchanal*" (Liszt) can be heard. It disappears only when the Norwegian sailors – according to Wagner's stage directions – had been "brought to silence by the storm and the raging of the ever wilder raging cries" and they were *so "overcome with horror"* that they made the sign of the Cross. Upon seeing this, the crew of the Dutch ship responded with the shrill laughter of scorn and then once again, the former dead silence returned to their ship and a veil of darkness again spread over it. The return of the "dead silence" is musically represented at the end of the scene – for a fourth time – by the eerie chord, now accompanied by the beats of a tamtam.[179]

The Mephisto movement of the Faust Symphony (1854) confirms that Liszt was also inspired artistically by Wagner's eerie chord. At two points in the movement, at the beginning of the development (bars 330-346) and at the beginning of the coda (bars 617-632) Liszt twice introduces a foreign tonality four bars long over a drawn-out six-four chord intoned by the muted horns as an eerie contrast to a preceding variation of the opening motif from the appassionato theme. The sudden change of 'tonality' is remarkable: B major / C minor in the first place, in C major / C # minor in the second. Richard Pohl[180] correctly recognized the semantics of the passage (without noting the connection with Wagner) when he wrote the following about it:

> "The whole orchestra bursts into the wildest unbridled cheers: Hell celebrating a feast day! It throbs like a thunderbolt – then suddenly there is dead silence – everyone listens and only Mephisto attempts to raise himself up but he is also silent. A bottomless abyss opens suddenly and a ghostly exhortation, a *Memento mori*, rings out like a message from the beyond the darkness of the grave. Repeatedly Mephisto tries to move – again ghostly cries, the horrible echo of a distant Requiem, with its *Quantus tremor est futurus*!"

With respect to the genesis of the Faust Symphony it is important to note that the above discussed 'contrasting passages' were only added later. They are both absent in the autograph score of 1854 and in the autograph of the transcription for two pianos of 1856. In very simple version that is still very far from the final version. They first appear (László Somfai[181] drew attention to this) in the version

edited by Tausig for piano of 1858, and it is very significant for Liszt's orientation on Wagner that the minor triads are here - as in Wagner - each provided with fermatas.

That Wagner's 'effect' served as a model for Liszt can incidentally also be shown with another detail: the first passage which makes use of the eerie chord in the *Flying Dutchman* is marked – as at the beginning of the coda in Mephisto movement – by the chord sequence C major / C # minor. The chorus of the Norwegian sailors is in C Major, the ghostly crew of the Dutch ship 'answers' in C# minor. The harmonic contrast in Liszt is also epitomized in that the 'answer' seems to come from another 'world'.

Several passages from the works of Gustav Mahler then testify that he recognized the specific semantics of Wagner's minor triad as a symbol for death and for the dead. The earliest examples of the use of the *eerie chord* in Mahler are found in the second part of the *Klagendes Lied* (*The Minstrel*). The characteristic chord appears here 2 bars before line 25 within the dirge for the slain knight. In the minstrel section of the composition the music for the third strophe (which describes the uncanny effect of the eerie sound of the '*singing bone*') ends with an F major triad fading away into a quadruple piano. After a general pause the flutes and muted horns intone sforzato a long drawn out chord in the key of E flat minor, which subsides from a fortissimo to a triple piano. After a quarter note rest the chord is intoned again - now by the whole orchestra. After this the dirge of the slain knight begins. Mahler begins the dirge of the slain in the *wedding section* of the *Klagendes Lied* with a similarly introduced minor triad (line 63 and line 72).

A striking similarity with the just discussed introduction to the first dirge for the slain knight is presented by a passage from the section "*What the Animals in the Forest Tell Me*" of the Third Symphony. At line 30 an ornamented chord of a fifth without the third on the notes F and C appears in the strings. It is 12 bars long, swelling from a triple piano to triple forte and it forms the foundation for a birdcall in the woodwinds. At line 31 it is immediately followed by a triad in the foreign key of E flat minor by the full orchestra. This also lasts for 12 bars but the volume level is reduced from a triple forte to a triple piano. In a conversation with Natalie Bauuer-Lechner Mahler said of the *animal episode* that at the conclusion of the movement "once again the heavy shadow of inanimate nature, the still uncrystalized inorganic matter" appears (BL 41). There can be no doubt, therefore, that the characteristic triad also symbolizes the dead, i.e. "inanimate nature".

Another example of the use of the eerie minor chord in Mahler is found in the Adagio of the unfinished Tenth Symphony. The movement begins with a theme expressively played by a solo viola, which resembles the *mournful dirge* of the shepherd from the third act of *Tristan* and therefore it can be described as

a mournful melodic line. The theme returns in the course of the movement several times again. It also appears once near the end of the reprise (line 25). Here it is *mournfully* intoned by the first violin. The second violin accompanies it with a contrasting melody as a counterpoint. The dynamics vanish into a triple piano. In line 26, the whole orchestra quite unexpectedly interposes a magnificent triple forte on an A *flat minor* triad – a stronger contrast is hardly conceivable. The parallelism of the design with the above discussed passages from the *Klagendes Lied* and the "*animal episode*" of the Third suggests that the contrast could have a similar semantic in the Tenth!

Finally, at least one work of Richard Strauss, the tone poem *Don Juan* (1888), reveals that Strauss was also aware of the specific symbolic of the *eerie chord*. To illustrate – the last escalation of sound in the tone poem reaches its climax shortly before the conclusion of the piece with a long sustained fortissimo dominant seventh chord *B – D # –F # –A* which is abruptly terminated. This is followed by a long general pause (*longa*)! Then suddenly appears a long pianissimo sustained *A minor* chord and this is followed – a measure later – by a dissonant *F* in the trumpets. According to Wilhelm Mauke [182] this scene illustrates the death of Don Juan (as in Lenau's dramatic poem) who had grown so weary that he is stabbed by Don Pedro, the son of the murdered Commendatore. Mauke believes that the general pause refers to the last words of Don Juan:

> My mortal enemy is delivered into my power
> But this also bores me, like my whole life!

Mauke interpreted the "cutting" *F* of the trumpets as the stroke of death. This explanation, however, is not entirely plausible, especially as Strauss did not use the verses quoted above in the program he wrote for the score of his tone poem. (The program consists of three fragments of Lenau's poem.) It seems more appropriate that the music of the passage was composed for the following verses, which introduce the third fragment:

> It was a beautiful storm, that drove me,
> It has raged and now silence remains.
> Everything appears to be dead, all wishes, all hope.

One can compare the text with the music: the dominant seventh chord at the climax illustrates the late waves of the storm. The general pause symbolizes the silence. The *eerie chord* however symbolizes the line "Everything appears to be dead, all wishes, all hope".

2. Major-minor motivic shifts in Schubert, Mahler, Strauss and Brahms

The first movement of the string quartet in G major, op. 161 (D. 887) by Franz Schubert (1826) begins with a rather unusual chord progression (for the period of the composition) that gives the whole movement its specific character. A drawn-out *G major* chord which begins piano, leads to a crescendo on a *G minor* triad. Three bars later met the same chord sequence is transposed a fifth higher: *D Major / D Minor*. In the recapitulation, the order of the progressions is reversed: *G minor / G major*, then *D minor / D major*. The coda uses the chord progression of the beginning (*G Major / G Minor*) in two passage. The movement closes in *G major*.

Keeping these elements in mind, namely the unusual constitution of the chord sequences, the effective sound dynamics, the occurrence of these features in exposed positions and the frequency of their recurrence, then one could view them as giving a particular composition its specific character. As illustrated in tables LXIX / LXX the effectiveness of these *major/minor shifts* inspired several composers to follow suit.

Beginning with Mahler, we must mention at the outset that Schubert's major-minor shift appears in three movements of the Sixth Symphony (1903-04) with the function of a *'Leit' sound*.[183] At several points of the work it occurs alone or together with the above discussed *'Leit' rhythm*.[184] The devise appears however not only in the Sixth. Even in the older research it is documented in one passage in the first movement of the Second Symphony (at the end, 2 bars before line 27), and three times on the first *Night Music* section of the Seventh Symphony (at the end of the prelude, the interlude and the postlude). It has previously remained unnoticed, however, that the characteristic major-minor shift plays a role in two compositions based on Nietzsche's *Zarathustra*, i.e. the Midnight Song of the Third Symphony (1895/96) of Mahler and the tone poem *Thus Spoke Zarathustra* op. 30 (1896) by Richard Strauss. In Mahler's Midnight Song, the shift appears in line 4 to accompany the text "*Die Welt ist tief*" (twice the sequence *D-major/D-minor*). In Strauss' tone poem, it follows immediately on the first two solemn intonations of 'nature theme' of the trumpets (*C-major/C-minor* the first time, the second time *C-minor/C-major*.

Of the two hypotheses that have been proposed on the semantics of the major / minor shift in Mahler (Mahler himself did not discuss it), the one side represented by Richard Specht[185] and Paul Bekker[186] explains it an "unalterable statement of fate". According to the second hypothesis, however, the shift is a symbol for the succession of "pleasure and suffering". Guido Adler[187] put it this way:

"The sequence of major / minor chords (in the main key and on the dominant with the alteration of minor and major third) is like a symbol for joy and sorrow, which can follow one another so rapidly and directly in life. The sound mirrors the optimism and pessimism of life which in the tone poems of Mahler can emerge without retribution on one or the other side."

It can be stated from the onset that it is clear that Adler's interpretation certainly is not the case. Everything indicates that the major-minor shift has the semantics of a 'tragic' symbol. It should be noted initially that the expression of the major/minor shift is not the change from brightness to darkness, but it is only a darkening. The major third acts with respect to the minor third like a drawn-out glide into the main key. Significantly in the opening movement of the Second Symphony, where the devise is first used by Mahler, the major third is held for a much shorter interval than the minor third. Then it is quite noteworthy that the shift often appears in conjunction with two 'tragic' symbols, namely the 'Leit' rhythum (in the Sixth) or the symbol of an abyss (as in the Second and Seventh). Also it should be emphasized that in the first Night Music of the Seventh the major triad is heard simultaneously with the minor triad (C major and C minor together) in two passages (2 bars before line 72 and 2 bars before line 92). The major-minor shift here takes the form of a garish major / minor sound!

We cannot conclude this discussion about the major / minor shift without referring to a related chord sequence. The String Quintet in C major, op. 163 (D. 956) (1828) by Schubert begins with the characteristic chord progression: C major chord, a four- note chord $c – eflat – f\# – a$, C major chord. It is noteworthy, not only because it appears in a transposition but also because it was used by Johannes Brahms to give the first movement of the Third Symphony (1883) its particular ethos. It forms part of the *motto* of the symphony (F major chord, four-note chord $f – aflat – b – d$, F major chord). It returns in the course of the movement in many metamorphoses (already Hermann Kretzschmar[188] noted that among the 224 bars of the movement, there are only 60 "in which the motto does not appear"). It also appears at the end of the finale (bars 297-302). One can be certain in addition about two things: it has a symbolic meaning, and that it must have impressed Mahler.[189]

3.   The "*terrifying fanfare*" in Beethoven's Ninth and in Mahler's Second

As it well known, the finale of Beethoven's Ninth Symphony opens with two fanfare-like presto passages played by the woodwinds, which are each time answered with an orchestral recitative of the cellos and contrabasses. Both woodwind passages are characterized by sharp dissonances. In the first instance

the whirling *Bflat* sound of the timpanis is heard over the note "*A*", which is resolved into a D minor chord. The second section is based on the so called minor dominant ninth chord (*d – f# – a – c – eflat*). The first fanfare later introduces the recitative of the baritone (see Table LXXI). Richard Wagner[190] gave these presto sections of the woodwind the excellent title "*Schreckensfanfaren*" (= terrifying fanfares) and interpreted them as follows:

> "Here the chaotic outbreak of wild despair pours out in shouting and bluster that is immediately understood by anyone who has performed this woodwinds passage at the fastest tempo. One prominent characteristic is that the rhythmic scheme of this frantic sequence of tones is hardly perceptible".

In a similar vein, Wagner interpreted the passage as early as 1846 in his programmatic explanation of the Ninth.[191] Here he writes that the transition from the third to the fourth movement "begins like a glaring cry" and a little later he describes the passage again with the expression: "the wild, chaotic outcry".

Wagner wrote this program for the Dresden performance of the Ninth on April 5, 1846. His intension in publishing it – as he indicated – was "not to help his listeners to attain an absolute understanding of Beethoven's master works … but rather with allusion to at least facilitate a recognition of the artistic structures therein". For this purpose, he drew on verses on Goethe's Faust though he said that they did not "have a direct connection to works of Beethoven". Proceding from his its own interpretation of the Ninth, Arnold Schering[192] advanced the hypothesis that Beethoven, in as far as he was inspired by literary sources in his instrumental compositions, never "connected" the works of different authors in his instrumental compositions and consequently he rejected the Wagnerian program. A "*Goethe Symphony*" with a concluding Schiller Finale was quite impossible, because it was so un-Beethovenian". For Schering the Ninth Symphony was a Schiller Symphony. Schering's hypothesis that the first three movements are based on three poems of Schiller (*Gruppe aus dem Tartarus, Der Tanz* and *Das Glück*) can of course hardly be proven.

Beethoven's "*terrifying fanfares*" must have made a huge impression on Mahler because they provided him, as can be shown, with the model for the composition of two of the most exposed sections of the scherzo (9 bars after line 50) and the finale (from the beginning to line 2) of the Second Symphony. Even a glance at the corresponding locations (cf. Tables LXXI-LXXIII) suffices to recognize an astonishing parallelism of the design. Mahler begins the finale of his Second – as did Beethoven in the finale of the Ninth – with a powerful section (in the printed score it has the rubric: "*Im Tempo des Scherzo's wild herausfahrend*" = wildly continuing in the tempo of the scherzo). It is based on a long drawn-out glaring dissonance (the notes*: c – dflat – f – bflat*). Against this background, the

trumpets and the trombones intone ("with the bells turned outward") a kind of fanfare (a better designation would be "signal") which acts as a military alarm signal![193]

What are the semantics of this passage? Fortunately Mahler discussed it several times and designated it as a "terrible outcry", as a "death cry" (BL 23), "cry of disgust" (GMB 189) or as a "cry of despair" (AME 268). Even the diction of these statements reveals that Mahler, the profounder connoisseur of Wagner's writings, was under the spell of Wagner's interpretation of Beethoven's terror fanfare.

We want to conclude this discussion with two observations, which are of some importance both for the genesis of Mahler's terror fanfares as well as an example of Mahler's creative process. First it should be mentioned that a signal-like motif of the trumpets and trombones in the wedding section of the *Klagendes Lied* (3 bars before line 70) already acts as a symbol of a terrifying fanfare. The tones of this motif are accompanied by the choir singing the words "*Schrecken! Was nun da erklang!*" (= terror! What now sounded there). The harmonic basis of this passage is the Tristan chord ($g\# - b - d - f\#$)[194]. Then it should be pointed out that in Mahler's sketches kept in the Memorial Library of Music at Stanford University two of the main themes from the finale of the Second Symphony are preserved on one sheet.

The first theme is the final version of the trumpet theme 5 bars before line 19. It consists of the Cross motif, the Resurrection motif and the Eternity motif (cf. Table LV). The second theme (*f¹/bflat¹ - dflat²/f² - f¹/bflat¹ - dflat² - f² - bflat² / dflat³ - c³*) seems like an earlier draft of the "Schreckensfanfare". It is interesting that this design assumes a middle position between the trumpet signal of the wedding music and the elaborately structured "Schreckensfanfare" of the Second Symphony. Is this a witness for the genesis of motivic symbols?

4.   Four note chords as mottos

The major-minor motivic shift is not the only 'Leit' sound that "wanders" through various movements of Mahler. In addition to it there are other four-note progressions which function as constantly recurring harmonic motifs in Mahler's symphonies. The most instructive examples of this are to be found in the second movements of the Fifth Symphony and in the finale of the Sixth Symphony. Both movements have in common the sonata form in four movements with exposition, development, recapitulation and coda and in both works each part begins with the same characteric seventh chord, which functions like a kind of signal.

In the second movement of the Fifth the diminished seventh chord functions like a 'Leit' sound. Repeatedly intoned by the brass as both a short and a long motif, it appears at the beginning of the exposition, the development (line 9), the reprise (line 18) and the coda (line 30). At the beginnings of the first three movements its shape remains unaltered (*a – c – eflat – f#*). Only at the beginning of the coda is it encountered in a transposition (*f – aflat – b – d*). The lowest note, a *Bflat*, is added by the bassoons. Thus the sound has here the shape of a minor ninth chord on *Bflat* (the *b* is to be understood as a *cflat*).

It can be added in parenthesis that it is strange that the diminished seventh chord otherwise plays a prominent role in this movement. Thus it also appears (although over a pedel point which does not belong to the chord) in the secondary theme (8 bars before line 5), in the transition to the development (4 bars before line 9) and in the transition to the recitative of the cellos (2 bars before line 11). It is noteworthy that two of these transitions have Wagnerian traits. This deserves to be highlighted because Mahler makes a fairly economical use of the diminished seventh chord in general in contrast to Wagner, Liszt, Bruckner and Richard Strauss. The second movement of the Fifth is an exception in this respect.

In the finale of the Sixth Symphony a fifth-sixth chord (or third-fourth chord) can then be designed as a 'Leit' sound. As a symbol it stands at the beginning of the slow introduction in the exposition, in the development (line 120), in the recapitulation (line 143) and in the coda (line 164). It is played in a drawn-out fashion in the woodwinds and on its two final appearances in the muted horns and trumpets. In 3 instances it is immediately resolved in a major-minor motivic shift. This results in the chords *Aflat6/5 – A – a* (exposition), *Aflat6/5* (here over the note *d* in the basses which is "foreign" to the chord) *– C – c* (reprise) and *F6/5 – A – a* (coda) . The third-fourth chord *d – f – g – bflat* at the beginning of the development remains unresolved. A characteristic part of the sound is made from all four instances by the upwards gliding arpeggios or glisasndi of the harps.

It is a surprise to encounter the same sound in a very exposed position within the rondo burlesque of the Ninth Symphony (bars 438-443 = 8 bars before line 39). The chord here consists of *Bflat6/ 5 - d / a*. The four bars long sustained sound is heard in the muted horns and muted trombones above the *d* of the swirling timpani. In addition there is a glissando of the harps. The passage appears directly before the ornamentation of the gruppetto (= turn) motif in the clarinets. The fifth-sixth chord of the Sixth and the Ninth occurs a single time in *Der Abschied* (line 61). Here however it does not appear in a prominent place.

The above mentioned fifth-sixth chords are designated by Hermann Erpf[195] as "Doppelleittonklänge" (double leading tone sounds). The fifth-sixth chord at the beginning of the reprise in the finale of the Sixth Symphony (*c – eflat – f# – aflat*) is the "Doppelleittonklang" of *c* minor, the chord at the

beginning of the coda (*a – c – eflat (= d#) – f*) is the "Doppelleittonklang" of *a* minor, the chord in the burlesque of the Ninth (*d – f – aflat (= g#) – bflat*) is the "Doppelleittonklang" of *d* minor.

5. Neapolitan sixth chords and dissonances at climaxes in Mahler, Schubert and Strauss

It is highly significant for Mahler's symphonies that their most impressive climaxes results from dissonances. As amazing as it may sound: climaxes on consonances are extremely rare in Mahler, especially when one thinks of the triumphant conclusions of many movements. Among these examples is the final chorale in the finale of the First Symphony (line 56: *Triumphal. Pesante*), the final chorale in the finale of the Fifth (line 32-34; 7 bars after line 33: *Pesante*), the coda in the first movement of the First (line 42: *Pesante*), the conclusion of the finale of the Seventh (2 bars after line 286 with the rubric "*feierlich*" (= celebratory) of the section in which the main theme of the opening movement is to be performed in a "*strahlend*" (= radiant) manner) or the conclusion of the Eighth (from about line 213 onwards). However: all the above examples do not constitute climaxes in the strict sense of the term, but rather they are symphonic conclusions, i.e. the crowning final notes of a movement or composition. The real climaxes result, apart from a few exceptions, from dissonances. This is a major trait of Mahler's symphonies and it is a remarkable contrast to Bruckner, whose climaxes are generally based on consonances.

Ernst Kurth[196] said of Bruckner's symphonies that they contained not a single example of "playing" with dissonances. Bruckner's dissonances consistently appear within the momentum of "accelerating waves of sounds". Kurth's first statement can equally be applied to Mahler. However, his dissonances cannot be, if at all, comprehended simply as a result of dynamic processes but they consistently have non-musical meanings. Mahler's climaxes are distinguished by crisis-like exaggerations of the musical-dramatic action whereby they introduce crucial phrases or give expression to catastrophic events. All this may not be understood metaphorically in the sense of Kurth's psychical mental "energy" but they are to be taken literally. It can be shown that Mahler's programs (both which have become known as well the "silent" ones) are often formulated within dramaturgical categories.[197]

After surveying the climaxes in Mahler's symphonies one soon realizes that they have more dissonance forms then those of Bruckner. While Bruckner manages essentially with diminished sevenths and sevenths, ninths, elevenths and thirteenths, Mahler employs a number of other forms of dissonance. If one wants to develop from the wealth of material a systematic approach to Mahler's sound

forms, one has to distinguish the following categories: Neapolitan sixth chords and Neapolitan fifth-sixth chords, diminished seventh chords, 'minor' ninth chords (in their natural state and with a low altered fifth), double leading note sounds and dominant sounds, thirteenth chords and a nine-note sound.

These will now be illustrated.

Neapolitan Sixth and Fifth-Sixth Chords

The two climaxes in the first movement of Mahler's Third Symphony, at the end of exposition (7 bars before line 29) and at the end of the reprise (line 74), take place within a triple forte by the full orchestra on two Neapolitan sixth chords. It is worth noting that Mahler, who had a horror of exact repetitions, designed the two passages differently. In the exposition the sixth chord ist "resolved" into two diminished seventh chords (B_6 – diminished third-fourth chord on d – $Eflat_6$ – diminished seventh chord on $c\#$). In the recapitulation, however, the first sixth chord is followed by a diminished seventh chord and the second sixth chord is followed by pure triads. (The chord progression is: *Dflat_6 – diminished third-fourth chord on f - Gflat_6 - G – F*).[198]

In addition, it is possible to impressively exemplify with this passage the manner in which climaxes in Mahler could occasionallhy take surprising shifts (in the sense of a denouement). If one consults the score, it becomes clear that the music takes on a high-strung character at the intonation of the *Dflat* major sixth chord at line 74. A little later (at line 75) the tension dissolves magically: a completely unexpected brass fanfare quickly and sovereignly brings the movement to a close.

A completely different picture is presented by the conclusion of the second movement of the Fifth Symphony. This movement has two climaxes. The first, broader and more powerful than the second, is reached in the recapitulation with the use of the *D* major chorale (lines 27-30).[199] To call the passage magnificent would not be an exaggeration. It is noteworthy, however, that it has no influence on the conclusion of the movement. The character of the eerie conclusion – in the coda – is determinined by the second peak (6 bars after line 32). It is designed catastrophically following a triple forte on the *B-flat* major sixth chord, i.e. on a Neapolitan sixth chord. (The movement is in *A* minor.) It is accompanied with the note *a* in the trumpets and horns. The violins feature the symbol of an abyss (see chapter XIX).

The greatest similarity with this climax in the Fifth is revealed in the climax of the scherzo of the Sixth (line 100). It is the most powerful climax of the movement, occurs just before the coda and is built on the sounds $d – f – aflat – bflat$. The basic tonality of the movement is A minor, i.e. the sound of Neapolitan fifth-sixth chord. The motivic scheme includes three figures, which

when combined evoke a disaster-like image: a signal (sinking) in the oboes[200] , a symbol of an abyss in the flutes and violins and - the third - parallel major thirds in the horns.

A Neapolitan second chord (*Bflat$_2$* in *A* minor) occurs a single time significantly in the Rondo-Burlesque of the Ninth shortly before Più stretto in bars 611-612. But this passage is not a climax.

In this context it should be mentioned that two of the most powerful climaxes in the *Macbeth* op. 23 by Strauss (bars 407-409 and bars 412-414) in triple forte and on dissonant sounds are based on a Neapolitan sixth chord and organ point-like held note on the main tone of the tonality (*f – bflat – dflat – gflat* or *f# – b – d – g*). An in-depth exegetical study of the tone poem leads to the conclusion that the dissonance at this point, incidentally the sharpest in the entire score, marks the murder of Duncan.

Diminished Seventh Chords

In contrast to Bruckner, Mahler seldom draws upon the diminished seventh in constructing his climaxes. The above discussed passages in the first movement of the Third symphony (7 bars before line 29 and line 74) and the corresponding passages in the finale (4 bars before line 23) are the only examples. All three passages are distinguished in the highest degree by their dynamics.

In this regard, we must note that the archetype of this design of this climax on the diminished seventh was created by Beethoven in his second Leonore overture. Its development section culminates in a fortissimo climax on the diminished seventh chord. It symbolizes - as correctly noted by Joseph Braunstein[201] - the catastrophe or the climax of the plot.

Other examples are the first part of Liszt's *Mazeppa* (1851) bars 391-395 and the development-like middle part of Richard Strauss' *Don Juan* (1888) bars 421-423. Both parts culminate in a diminished seventh. There is no doubt that the passage in *Mazeppa* depicts the dramatic fall of the horse "*after the frenzied ride of three days*" (as in the translation by Cornelius of Hugo).

'Minor' Ninth Chords

An excellent example of the use of the minor ninth chord in catastrophic climaxes is provided by the above discussed mourning cries in the *Klagendes Lied* (line 81) and in the finale of Mahler's First Symphony (5 bars before line 4). See Table LXXIV. One can add that the model for this cry of mourning is a passage in the first movement of Schubert's Unfinished Symphony (1822). The catastrophic climax in Schubert's development section (bars 134-145) is built on

a long-held 'minor' ninth chord. Mahler's use of voice lines in the opposite direction in the violins and cellos also paraphrases the tonal movement in contrary motion in Schubert.

This sound is surpassed in both sharpness and effect by the minor ninth chord with an altered fifth in the bass – an extremely piercing sound that is employed in an interesting passage in Strauss' *Don Quixote* and at several climaxes in Mahler. See below Table LXXV.

Strauss' *Don Quixote*, op. 35 (1897) is divided into an introduction, ten "fantastic variations on a theme of knightly character" and a finale. The conclusion of the introduction deserves special attention because it is based on two altered minor ninth chords with alternating dominant notes (*e – g# – bflat – d – f* and *a – c# – eflat – g – bflat*) which are intoned three times. With respect to the semantics of this remarkable passage there are at least two interpretations. Acccording to Herwarth Walden[202], the dissonance chord indicates the decision of Don Quixote: "the hero attempts to equal the descriptions of strength and courage in his books". The interpretation of Reinhard C. Muschler[203] is similar. He sees the chords as reflecting the "immovable will of the hero to be a <u>hero</u>". Richard Specht[204], however, interprets the passage as follows: Don Quixote stands up in opposition to the outside world and to the admonitions of his own mind. Considering that the remarkable dissonances express the motif of a "contradiction", Specht's interpretation appears to be more plausible than the others.

Strauss' own interpretation (which previously has not been taken into consideration) of the passages certainly appears to be much simpler. The dissonant sound to said to characterize the "überschnappen" (= cracking up) of Don Quixote. In an important letter to Franz Wüllner from Nov 19, 1898, Strauss explained the introduction of the work as follows[205]:

> "Mutes for tenor tuba and bass are very important! So that all the ghostly apparitions of the introduction - with the knight Don Quixote reading novels until he finally goes batty as his imagination is filled with the adventures of knightly ghosts quite clearly far from the real world - begin to dissipate with the introduction of the *d* minor theme."

A minor ninth chord with a deep altered fifth forms the climax of the first movement of Mahler's Fourth Symphony (at line 17, near the end of the development). The surprising ('frightening') effect of the sound (*g – b – dflat – f – aflat*) is derived from the musical context: the dissonate chord immediately follows a 12 bars long sustained radiant C-major sound. Thus, the passage marks the denouement of the movement: three bars after the intonation of the 'frightening' ninth chord the trumpets intone a military signal – in Mahler's

interpretation (BL 145), the "kleiner Appell" (= small rallying call) (see Table LXXVI).

Mahler's own explanation of the passage deserves special attention, not only because it contains a hidden reference to the program of the movement but also because it aptly characterizes the course of the music: "*Where the confusion and the pressure on the formerly orderly arranged troops becomes so critical that they regroup upon hearing the rallying call of the commander at one stroke back into the old order under his banner.*" The "old order" is thus again reestablished at bar 18 of the recapitulation!

The climax of the extended complex of main themes in the first movement of the Sixth Symphony is also reached via an altered minor dominant chord. Both in the exposition (5 bars after line 5) as well as in the recapitulation of the movement (5 bars after line 32) the dominant ninth chord of *a* minor (*a – g# – bflat – d – f*) plays a prominent role.

The above mentioned climaxes in the first movement of the Fourth and in the first movement of the Sixth Symphony share the common feature that they suddenly subside after reaching the characteristic ninth chord. However, the climax (a more correct designation would be the series of climaxes) of the Andante of the Sixth Symphony (lines 59-61) – a passage of extreme intensity – has a completely different design. The altered dominant chord (*g# – d – f# – a* , there is no third) represents only one among several accents within the extended series of climaxes (some 30 bars) which suddenly begins forte in *c#* minor. After passing thorugh *F#* major and *B* major the basic key of the movement, *Eflat*, is finally reached.

Double Leading Tone Sounds and Double Dominant Sounds

An even higher degree of dissonance than the altered ninth chords is offered by certain forms of double leading tone sounds and double dominant sounds. Very striking examples of the use of such sounds in Mahler occur in the First and Second Symphonies. To describe the inferno, which Mahler envisioned when composing the finale of the First, it would be hard to imagine a more characteristic beginning than the shrill dissonant double leading tone sound *c – f – aflat – b – dflat* . It is resolved in the third bar into a fourth-sixth chord on *f* minor (see Table LXXIV).

No less sharply dissonant is a double dominant sound on two climaxes in the first movement (line 18) and the finale (line 20 of the Second. It reads *bflat – eflat – gflat – a – c* or *f – bflat – dflat – e – g* and is "resolved" into a dominant sound *bflat – d – gflat* or *f – a – dflat* . We have already explained that the motivic symbolism made possible an exegesis of this passage in the finale (see chapter XXII, 2).

Thirteenth Chords

Another form of sharp dissonant sound is the thirteenth chord. Particularly instructive examples of it can be found in Mahler's Second and Third Symphonies.

The development of the first movement of the Second Symphony has two climaxes. The first climax (discussed above) occurs at line 18 on a sharp double dominant chord. The second climax (at line 20) leads directly into the recapitulation. The passage with the title *molto pesante* is built on two sounds, the double dominant chord *g – c – eflat – a* and the dominant thirteenth chord *g – b – d – f – aflat – c – eflat* . In the case of the last chord the tones *b* and *c* sound together for one bar; only in the second bar is the *c* in the trumpets resolved into the leading tone *b* . This passage is based with respect to rhythm, instrumentation (prevalence of the brass) and harmony on the transition to the main theme at the beginning of the finale of Bruckner's Fourth Symphony (before A).

We will now consider the last and most powerful climax in the finale of the Third (4 bars before line 23). At the beginning it refers to the climax of the first movement: it starts with the Neapolitan sixth chord in *Eflat* major, which is twice "resolved" into a diminished seventh chord. This is followed however in this passage by two thirteenth chords, the first on *d* (*d – f# – a – c – eflat – bflat*), the second on *b* (*b – d# – a – c – g/f#*). In addition it might be noted that the melody of this climax includes very expressive phrases, which appears again in a similar shape at the climax of the Andante of the Sixth Symphony (9 bars after line 59).

6.   The shape of Bruckner's climaxes

> "The fourth sixth chord is not a dissonance because the fourth can be doubled (which is even better) and dissonances should not be doubled. Only in orchestral works and when something horrible is represented, then the dissonances can be effectively doubled."
> ANTON BRUCKNER[206]

Considering Bruckner's designs for his climaxes from a harmonic point of view, one notes a fundamental difference in comparison with Mahler. Bruckner builds his climaxes not only on dissonances, but very often also on consonances. One can refer for example to the climax of the development in the finale of the Third (in the score of the second version at S). A series of stepwise ascending sixth

chords in the trombones leads here to the main theme of the first movement, which begins in the triple forte in a bright *G* major.

As already indicated, the second difference from Mahler is the number of dissonance forms. The peaks of Bruckner's climaxes based on dissonances are built on diminished sevenths and sevenths, ninths, elevenths and thriteenths. In contrast to Mahler, more complex sounds do not occur.

This can be illustrated with a few examples. In the opening movement of the Second Symphony, the climaxes of the exposition (third thematic group, 3 bars before T), in the reprise (cf. corresponding passage 3 bars before P) and in the coda (responding stanza, from S until T) culminate in diminished seventh chords. Also diminished seventh chords follow the erratic series of dramatic climaxes in the development of the first movement (at N) of the Fifth.

Particularly noteworthy in this respect is the forceful dynamic contrast. The sudden 'outburst' in triple forte at N is preceded by four bars in pianissimo. Bruckner's approach was based on a passage in the development (bars 146-169) of the first movement of Schubert's Unfinished Symphony, in which the drama is rooted both in the multiple contrasts between fortissimo and pianissimo as well as in the harmonic design of the 'outburst'. They are always followed by the diminished seventh chord.

Bruckner had a particular affinity for staggered waves of sound of a transitional character (or more precisely formulated, for build-ups to the appearance of a main theme) based on pedal points, which took on the form of gradually adding thirds to dominant seventh chords until a thirteenth chord was reached. A particularly instructive example of this is provided by the beginning of the finale of the Fourth Symphony. The *Bflat* minor triad is followed here (from bar 27 on) by the dominant sevenths, ninths, elevenths and finally by the thirteen chord with omitted third and fifth[207] (*bflat – aflat – cflat – eflat – gflat*) of *Eflat* minor, the key of the main theme that at A begins in a unison passage. Another example is found in the first movement of the Eighth Symphony (second version) immediately prior to the beginning of the recapitulation (9 bars after K until L).

Long-held eleventh and thirteenth chords with omitted thirds form the tonal basis of the unique climax of the Adagio of the Ninth Symphony. Thus at A the long fortissimo sound *f# — c# – e – g# – b* lasts for three and then four bars. Structurally unchanged, but chromatically lowered (*f – c – eflat – g – bflat*) on an extremely contrasting dynamic level (pianissimo), the sound continues for two more bars, undergoing further darkening by an alteration of the ninth (from *g* to *gflat*) and further dynamic changes (now triple piano). In the parallel passage (at H) the chord resounds for four bars at fortissimo (*g – d – f – a – c*) followed by four bars of pianissimo (*g – d – f – aflat – c*). At the last and most powerful climax of the Adagio (before the coda at Q) the sound assumes the shape of a thirteenth chord which continues in triple forte with some

modification for eight bars. Bars 203-206 read *g# – d# – f# – a – c# / b# – e* . The last and most powerful climax in the first movement of the Ninth is unique among Bruckner's dissonances. At W the five-note sound of *f – bflat – dflat – gflat – eflat* in triple forte is held for 10 bars.

Bruckner had such a liking for the triadic constructions of chords from the seventh to the thirteenth that he described the ninth chord in his music theory classes at the University of Vienna as the "root chord" – in contrast to the teachings of Simon Sechter.[208] Carl Speiser, one of his pupils, wrote in his notes for January 13, 1890 the sentence: "the seventh-ninth chord is the root chord".[209]

7.   The nine-tone sound in the Adagio of Mahler's Tenth

Unique in Mahler's symphonic output is a true nine-note sound in the first movement of the posthumous Tenth Symphony (1910). It appears just before the coda (at line 28) and is formed as follows (see Table LXXVII). At bar 203 the first violins alone hold a high *a* for two quarter notes to which the high woodwinds and horns responds on the third beat with a 5-note sound *g# – b – d – f – a* . Thirds are gradually added in the next bars to the highest tone of the sound (i.e. the tones *c , eflat* and *g*). Upon reaching the high *c* the contrabasses and bassoons play the fundamental note *C#* . For one bar (bar 207) the solo first trumpet remains on the *a* . In bar 208 the nine-note sound is heard again. The trumpet remains firmly on this "*a*". Then for the next four bars the second violins and later the cellos add an extended octave motif, which prepares for the introduction of the main theme (line 29).

Even such a generic explanation does not obscure the impression that in this section Mahler was on the threshold of atonality. His nine-note chord can be compared for examples with the nine-, eleven- and twelve-tone sounds in Schönberg's *Erwartung* (1909), bars 382-383 and *Die glückliche Hand* (1910-1913), bars 115-120 or with Alban Berg's *Über die Grenzen des All* from his op. 4 (1912).[210]

Considered retrospectively, the sound on the other hand reveals the influence of Bruckner. It is surely no coincidence that the same climax on the above discussed thirteen chord appears in the Adagio of the Ninth Symphony by Bruckner immediately before the coda (at Q). And it certainly must not be an accident that in the scherzo of the same symphony, the first oboe and first trumpet hold a dissonant *c#* (the leading tone of the key of *d* minor) in one phrase.

8. Regarding the technique of imprévu
A "*frightening note*" in Beethoven, Berlioz, Bruckner and Mahler

The finale of Beethoven's Eighth Sympony is famous not least because of a special surprise effect: the "unclouded" *F* major of the quietly playing orchestra is 'interrupted' in several places by the intonation of a loud *C#* . The striking effect that emanates from this *c #* is so strong that several researchers quickly agreed with Wilhelm von Lenz's interpretation of the sound as a "frightening note".[211] Thus commenting on this *c#* George Grove[212] said that it acted like a "shot of terror". Hermann Kretzschmar[213] spoke of a "humorous monster", a "totally non-musical phenomenon", a "blank-firing" and he saw it as the "transfer of extreme realism into art", as the "main source for the original effect"of the finale of the symphony. Arnold Schering[214] also had Lenz's apostrophizing conception in mind when he interpreted the movement in a distinctly programmatic manner as depicting "Pan, frightening, gesturing to and pursuing the Nymphs".

However, it seems that two important aspects of this phenomenon have previously remained unnoticed. First of all, the terrifying *c #* is not the only surprise of the finale, but the movement is full of surprises. Without exaggeration, one could say that it probably offers the most brilliant example of the art of *imprévu* (= the unexpected) from before Berlioz. There are the many general pauses, the extremely strange, really grotesque sounding octave leaps in the timpani and the bassoon, the amazingly unusual formal arrangement[215], the strange modulation from *F* major to *F#* minor and back again (bars 372-391) and the odd intonation of the interval of a third *f – a* in all the octaves, ranging from above the score to the lower levels and back again (bars 458-469).

Furthermore other comments can be made about the *frightening c#*. First, orthographically it would be more correct to write it as a *dflat*, because it should be conceived as a diminished (minor) sixth in a major key and secondly, that it always has the effect of a "false ending". Third, that it is intoned both in the exposition and the recapitulation (reprise I) exactly in the middle of the main theme, i.e. exactly on the borderline between the antecedent and the subsequent phrase. Fourthly, the antecedent phrase contrasts with the subsequent phrase both dynamically (*ff* to *ppp*) as well as in the instrumentation (woodwinds and strings against violins and violas). And fifthly, that the *frightening* effect – in the opposite direction – determines the physiognomy of the transition to the secondary theme (bars 47/48 and bars 223/224): immediately after a loud *g* (or *c*) a softly intoned *Aflat* major (or *Dflat* major) triad appears as a false ending.

Beethoven's idea of exploiting the minor sixth in a major key as a surprise effect found several imitators. The first was apparently Hector Berlioz. The originality of the 'chorale' in the pilgrimage march of the *Harold Symphony* is

to be attributed, as already stated, not least in the harmonies (see chap. XII, 2). Each line of the chorale starts in *E* major, but cadences, apart from two exceptions, in a different key. Particularly striking is the fact that the final sounds of each of the chorale lines, as different as they are, all feature a *c* intoned with the characteristic sounds of horns and a harp. This *c* , the minor sixth in *E* major harbors the surprise effect.

A *critical sound*, a kind of *note sensible*, plays a role in the minor sixth in the *bflat* major trio of Bruckner's Fifth Symphony. A long held and accented *gflat* blown by a horn introduces here the first three phrases of the piece and determines the harmonic disposition: after the presentation of the theme Bruckner switches (at A and E in the score) to *Gflat* major.

Berlioz and Bruckner treat the critical sound in the above mentioned original compositions in such a manner that the similarity with Beethoven's archetype is recognizable only on closer inspection. The situation is different with the rondo finale of Mahler's Fifth Symphony! The manner in which Mahler handles the technique of *imprévu* in this instance so closely resembles the finale of Beethoven's Eighth that it is incomprehensible why this relationship has been overlooked. In Mahler's *D* major finale the note *bflat* functions as the *frightening note*. It is intoned fortissimo in unison in six passages[216] by the brass and has the effect of a false ending, abruptly interrupting each time the essentially song-like melody.

XXVI. Idiophonic sound symbols

> "And then what is all this rabble of noise instruments, cymbals, triangles and drums doing in the sacred territory of the symphony? This is, you can believe me, not only an aberrance and confusion of ideas, but also the desecration of the genre itself!"
>
> LISZT (ironically), 1856[217]

> "And now once more: do you really believe, that the symphony orchestra will continue to ply our noise rattling and banging contraptions, that is the cymbals, timpani, and all kinds of drums and the like, into all eternity?"
>
> CARL SPITTELER
> *Lachende Wahrheiten* (1898), 157.

1.   Regarding sound symbols generally

Just as one can say with respect to the concept of symbol in all the humanitistic disciplines that it belongs among the most controversial basic concepts, then the same can be said of the sound symbol as a specifically musicological term. Even the vocabulary is ambiguous. Depending on ones point of view it can be conceived as the symbol of music par excellence (sound symbol = 'audio symbol') or – in the strictest sense – as meaning the symbolism of a particular instrumental sound or a particular combination of sounds.

Several researchers have interpreted the term in the broadest sense of the word. Arnold Schering[218], for example, whose studies on the symbol have already been discussed in detail (see chap. XVI, 2), included all the elementary facets of sound (tonal space, acoustics, rhythms, agogics, dynamics and harmonics) which underwent such a pronounced highlighting or emphasis that "the listener was forced to search for an underlying higher meaning behind these actual elementary sensations". A long explanation is hardly necessary to demonstrate that the cumbersome nature of this definition exceeds the boundaries of a more restricted definition of the word. Rhythm and agogics can hardly be included under the term "sound" without manipulation. Nevertheless, Schering's broad conceptual interpretation was very influencial. Several researchers refer strictly to music as a symbol when discussing the *sound symbol*.[219]

Rather than accepting this usage we would prefer to narrow the scope of the concept. When we use the term *idiophonic sound symbol* in the following discussion we are referring to the range of meanings which composers assigned to specific idiophones (or rather to the sounds of these specific idiophones).

As an explanation, we must emphasize from the outset that in the music of the nineteenth century, especially in the opera and the symphonic program music of Berlioz, Liszt and Richard Strauss certain idiophones were used not just as coloristic elements but rather consciously with symbolic intentions. This is especially true of the tamtam, the bells, the cowbells, the small and the large drum and the xylophone. The tamtam and xylophone often were used as funereal and macabre tone symbols. Bells symbolized the different facets of hierarchy, church, worship (and also aspects of the night), cattle bells symbolized the pastorale, small and big drums were insignia of the military.

Mahler's commitment of the programmatic concept manifested itself in the fact that in his symphonic works he often made use of all of the above mentioned idiophones. In the symphonies of Schubert, Mendelssohn, Schumann, Brahms and Bruckner, in contrast, they are seldom or rarely taken advantage of![220]

What were the semantics of the mentioned idiophones for Mahler? It should be first mentioned that Mahler himself only spoke about the roles of cowbells and the hammer as sound symbols. With respect to the meaning of the other tone symbols we lack authentic statements. However, it is also possible to precisely determine their importance by means of a comparative study of all the passages in which they occur. It can be thereby demonstrated that Mahler gave certain instruments specific ('private') semantics which sometimes went beyond the traditional symbolism of these instruments. Thus the tamtam sound often symbolized in his symphonies not only death, the dead and the slain but also the withdrawal from death. The ringing of bells was for Mahler a symbol of eternity while cowbells were sound symbols for "loneliness far from the world". These instances will now be discussed in detail.

2. The tamtam as a funereal and macabre sound symbol in Mahler, Wagner, Liszt, Strauss, Tchaikovsky, Schönberg and Berg

> Chez les Annamites on représente une sorte d'embryon de drame lyrique, d'influence chinoise, où se reconnaît la formule tétralogique; il y a seulement plus de Dieux, et moins de décors … Une petite clarinette rageuse conduit l'émotion; un Tam-Tam organize la terreur … et c'est tout!
> CLAUDE DEBUSSY (1913)[221]

Our investigations of all passages in Mahler's symphonies in which the tamtam is called for led to the conclusion that Mahler did not use the instrument as a coloristic element but consciously as a sound symbol of death and specifically several times with the intention of characterizing the passing of the dead and

death. As for his attraction to the gong, it was due, as already discussed, to its connection in most of the passages as a characterization of funereal music (see chap. XIII). The following examples are intended to illustrate the different uses.

Mahler concluded some of his songs ("*Ich hab' ein glühend Messer*" = I Have a Gleaming Knife, "*Das irdische Leben*" = Earthly life, *St. Anthony's Sermon to the Fish*) and some symphonic movements (scherzo of the Second and *Purgatorio* of the Tenth) with tamtam beats or a cymbal sound ("with sponge sticks"). The text of two songs ("*Ich wollt' ich läg' auf der schwarzen Bahr', könnt' nimmer, nimmer die Augen aufmachen'*" = Would that I lay on my black bier - Would that I could never again open my eyes! and "*Und als das Brot gebacken war, lag das Kind auf der Totenbahr!*" = And when the bread was baked, the child lay on the funeral bier) help us to understand that the tamtam or cymbal crash at the end was a sound symbol symbolizing death. The semantics of sound symbolism is undoubtly also present in the tamtam beats in the section for the angelic choir of the Third Symphony. They can be heard here only in the "gloomy" middle section of the movement (see Table LXXVIII). Thereby it is significantly heard on the first beat (3 bars after line 4) of the words of the alto soloist: "*I have broken the Ten Commandments*". Thus, Mahler positioned the text theologically within the context of the deadly sins which in the life of man bring about the extinction of divine grace (cf. Rom. 1, 32 and 1 Cor. 6, 10)!

If we now turn to the question of the symbolic meaning of the tamtam in music before Mahler, we must mention that this exotic instrument was first used in European art music by François-Joseph Gossec in his funeral march for the funeral of Mirabeau (1790).[222] Soon after, it found its way into opera. The earliest examples are: Daniel Gottlieb Steibelt, *Roméo et Juliette* (1793), Jean-François Le Sueur, *Ossian ou les Bardes* (1804), Gaspare Spontini, *La Vestale* (1807), Carl Maria von Weber, *Oberon* (1826), Giacomo Meyerbeer, *Robert le diable* (1831). In church music, the tamtam was first introduced by Luigi Cherubini. His *Requiem in C Minor*, 1815/1816, written for the church funeral service in memory of Louis XVI was both famous and infamous not least because of the unique tamtam beats in the seventh bar of the *Dies irae*. It would be a miracle if Hector Berlioz, whose bold tonal imagination was recognized even by his bitter enemies, had not introduced idiophones into his works. Thus Berlioz – it seems – was the first composer who commented on use and effect of tamtams. In his Treatise on Instrumentation he wrote:[223]

"The tamtam, or gong, is used only for scenes of mourning or for the dramatic depiction of extreme horror. Played forte along with strident brass chords on trumpets and trombones, its tremor can be terrifying and exposed *pianissimo* strokes on the tamtam, with their gloomy reverberations, are no less alarming. M. Meyerbeer has proved as much in the magnificent scene of the resurrection of the nuns in *Robert le diable*".[224]

With respect to the use of the tamtam in the works of Berlioz, Peter Hyde Tanner[225] has published a systematic study. Accordingly tamtam beats appear once in *Scène héroïque* (1826), in *Lélio* (1831) three times, in his *Requiem* (1837) twice, in the first movement of *Symphonie funèbre et triomphale* (1840) sixteen times, in the *Damnation de Faust* (1846) six times and finally in *Les Troyens à Carthage* (1858) seven times.

In the following we want to investigate the importance of the tamtams as sound symbols in works of Liszt and Richard Strauss. First, however, some remarks about the use of the gong in the *Flying Dutchman* (1841).[226] Wagner makes use of this unusual instrument in the third act of his *romantic opera* – several times in the choir of the ghostly crew and once, in the finale, as Senta plunges into the sea and the ship sinks with the crew of Dutchmen. We have already noted in connection with the mysterious triad that the tamtam sound serves here to symbolize the gruesome and macabre, especially the personification of the ghostly crew.

With respect to the works of Liszt which incorporated the tamtam, we can first remark that the instrument is always used sparingly and selectively. Thus, for the *Graner Festival Mass* (1855) there are only four instances of tamtam beats, with all of them in the *Credo* – characteristically two in the *Crucifixus* (bar 147 and bar 151) and two in the *Judicare* (bar 210 and bar 212) to emphasize the word *mortuos*. Consequently the tamtam symbolizes death and the dead!

In the *Mountain Symphony* (last version 1854) "*low but vibrant*" tamtam beats appear in the *Allegro mestoso* (6 bars after G and Q) and in the corresponding passage in the second part (12 bars before Q). In all cases they are combined with a four-note 'leitmotif', which returns several times intoned *dolente* in most instances by the clarinets, bass clarinet and bassoon. It is accompanied *lugubre* by trombones and timpani.[227] (Even the tamtam voice part initially has the rubric *lugubre*). Both the dark tones of this *Allegro mestoso* and the whole arrangement (recitative phrases play an important role in it) suggest that it refers to the concluding stanza of Hugo's poem. The question about which the idea of this verse revolved is the metaphysical aporia (= an irresolvable internal contradiction in a text, argument, or theory) (cf. above chap. XVIII, 2).

In the symphonic poem *Hungaria* (1854) tamtam beats are utilized – as far as we can see – for a total of twelve times; nine time in the dramatic central section (*Più mosso*, from L on), bars 365-367, bars 374-376 and bars 383-385 and three times in the *Presto giocoso assai*, bars 671-675 (just before the conclusion). In the *Più mosso* they accompany tritonic formations that give the section its particular character, the semantics of which have already been discussed.[228] If the pairing of tamtam beats with tritonic structures appears quasi 'natural' in the dramatic *Più mosso*, then one wonders about the function which the tamtam beats in *Presto giocoso assai* fulfill. Tamtams and joy (*gioia*) are

generally not in agreement. On closer inspection however one recognizes that Liszt did not envisioned the pairing as an association of heterogeneous ideas. The three tamtam passages which occur with choral-like sonorities in the modally colored brass stand apart from their environment in every respect. They interrupt temporarily the triumphant nature of the apostheosis of the 'radiant' final sections of the *Allegro trionfante* and the *Presto giocoso assai* in the D major.

Liszt did not add a program to the *Hungaria*. Yet he wanted – as we have already explained – this symphonic poem to be understood as a response to the tribute by the Hungarian poet Mihaly Vörösmarty (1800-1855), who had dedicated the poem to him in 1840 after his first Hungarian concert tour. Thus Liszt offers us a clue for the exegesis of the work and especially the particular passage. It is probable that the *Allegro trionfante* refers to the final verse of the poem. Its last verse reads: "The spirit of Árpád still lives in his sons". Therefore the "*spirit*" of the dead Árpád is represented by the three tamtam beats in the midst of the solemn brass instruments.

Finally the tamtam assumes the role of an actual funeral sound symbol in the symphonic poem *Heroïde funèbre* (final version 1856), a symphonic epic poem about "pain" (*la douleur*), whose "*funeral standard*" – as Liszt explained in his program notes – "*flatters through time and space*". (*Son étendard funéraire flotte sur tous les temps et tous les lieux*). In accordance with this central idea, its image in the introduction (*Lento lugubre*) of the symphonic poem assumes the character of the music from an actual official funeral. It starts with a 'drum solo'(a roll of muted military drums with dull beats of the tamtam and the bass drum), which reappear three times in the course of the work at prominent locations: first right in the middle of the *Lento lugubre* (bars 10-13), a second time at the end of the *Marcia funebre*, for a third time just before the conclusion, i.e. just before the requiem-like sounds of the woodwinds and the deep strings, thus forming the 'epilogue' of the *Heroïde funèbre*.

Turning now to Richard Strauss, it should be initially emphasized that he also used the tamtam in his symphonic program music sparingly and then always with sound symbolic intentions. It is employed only in the scores of *Macbeth*, op. 23 (1888), *Death and Transfiguration*, op. 24 (1889), and the *Alpine Symphony*, op. 64 (1915).

In *Macbeth*, the gong is only used in the recapitulation of tone poem based on a sonata-like form (primo tempo, allegro un poco maestoso, in the Eulenburg score[229], first on page 74 and last of page 95). In these passages three different manners of playing the tamtam are required: on page 74 and page 75 the tamtam is to be hit with timpani mallets, on page 76 to be "*rubbed*" with a triangle beater, page 91 finally the tamtam is struck with large drums sticks.

Several observations allow the conclusion that the tamtam serves here as a sound symbol of death.[230]

In *Death and Transfiguration* the tamtam is only heard in the final part of the tone poem (*Moderato*) 32 times in succession (bars 395-427). The first beats coincide with the final note of the ascending chromatic run that illustrates with tone painting the end of life.[231] The last beat occurs just before the intonation of the so-called "*ideal motif*" (tranquillo, bar 430 ff), whose semantics are illustrated in the closing verses of the Ritter's poem, which was printed in the score, as follows:

> But from the endless realms of heavenly space
> a mighty resonance returns to him
> bearing what he longed for here below and sought in vain:
> redemption of the world, transfiguration."

In the *Alpine Symphony* finally a single tamtam beat sounds at the very passage that marks the "entry into the forest" (line 21). There can be no doubt that the tamtam, to the accompaniment of a C minor chord, symbolizes here the darkness.

We cannot conclude this discussion without pointing out that even Tchaikovsky, Schönberg and Alban Berg often used the tamtam sound as a symbol of death. Some examples: In the final of *Symphonie pathétique* (1893) by Tchaikovsky a single tamtam beat leads into the chorale-like section with trombones and the tuba (bars 137-146), which has been interpreted as the "funeral chorale" or "epitaph".[232]

In Schönberg's symphonic poem *Pelleas and Melisande* (based on the play by Maurice Maeterlinck), op. 5 (1903) the tamtam resounds in only two segments: first in the section with the rubric "very slow, stretched-out" (6 bars after line 30 until line 33), which according to Alban Berg[233] illustrates the scene in the underground vaults (Golaud: "Do you not smell the odor of death that wafts up to us from this grotto?"), and then much later at the climax before the recapitulation (2 bars before line 49), at that point when the fate motif is intertwined in counterpoint with the ring motif in the triple forte: the motif and the tamtam symbolism help us to understand that the climax of the music at this point in the drama corresponds with Golaud slaying Pelleas.

Alban Berg emphasized the words "*life and the dream of life ... suddenly everything is gone*" musically in the third Altenberg song *Über die Grenzen des All*, op. 4, no. 3 (1912) with tamtam beats from bar 17 until the conclusion in triple piano.

Finally, the second act of *Wozzeck* (1917-1921) closes with a harp and tamtam sound which indicates Wozzeck's deliberate criminal decision to commit murder[234].

3. Bell sounds in Berlioz, Liszt and Strauss

> "Therefore among the percussion instruments, the
> bell evokes the most romantic spirit best of all,
> because its tone lives and dies the slowest".
> JEAN PAUL, *Kleine Nachschule zur ästhetischen
> Vorschule* (Appendix to the Preliminary School
> of Aesthetics), fifth program § 7[235]

> "The dead are mute, they have bells, and a mute
> being will float in the blue and ring the bell of
> death".
> JEAN PAUL, *Hesperus*, 42th Hundsposttag[236]

From the observations which composers and theorists of the 19th century made with reference to bells, the most revealing is those of Hector Berlioz in his treatise on orchestration:[237]

> "Bells were brought into the orchestra more for dramatic than for musical reasons. The sound of deep bells is only appropriate for solemn or tragic scenes. High bells, on the other hand, give a more serene impression; they have a rather rustic, naive quality especially suitable for religious scenes in a country setting".

The two examples with which Berlioz exemplifies his remarks are borrowed from operatic music: a small bell on the high *g* is used in Rossini's *William Tell* (2nd act) as a sound symbol of the night. The bell on a low *f* in Meyerbeer's *Huguenots* (4th act), however, has funereal semantics. This is also apparent from the text (Raoul: *Entends-tu ces sons funèbres*?).

Other examples of the use of the bells from symphonic works of Berlioz, Liszt and Strauss confirm the correctness of Berlioz's observations. Deep bells are assigned funereal connotations in other passages. This is true of the bells (in *c* and *g*) in the final of the *Symphonie fantastique*, for the two bells (in *dflat* and in *gflat*) in Liszt's *Heroïde funèbre* and for the deep bell (in *F*) in Liszt's symphonic epilogue *Triomphe funèbre du Tasse* (1866).[238] In all these cases the sound of the bells denotes death.

The meaning of a symbol of night, however, is given the "deep bell" in Strauss' *Thus spoke Zarathustra* (1896). It sounds twelve times in the *Nachtwanderlied* and thus ushers in midnight. Likewise, the small bell (in c#) in Liszt's symphonic episode *The night ride* signifies a night bell (1859). Here bells announce the approach of the solemn pilgrimage train, nearing from a distance and passing by Faust. In Lenau's description:

> But a solemn procession approachs,
> Which frightens him among the dark high oaks,

Turning from the path on his horse,
An irresistible force halts him,
The procession now gradually nears,
With torch lights it passes two by two,
A group of children dressed in white
For the holy night of St. John's feast,
bear wreaths of flowers in their delicate hands;

However, the musical illustration of the jubilation of the resurrection is depicted by a bell (in *bflat*) in the finale (*Resurrexit*) of the oratorio *Christus* (1866) to accompany the words: *Halleluja! Christus vincit, Christus regnat, Christus imperat. Hosanna in excelsis*.

Finally, it should also be noted that several of Liszt's piano compositions mimic the sound of bells. Particularly striking examples are *Les cloches de Genève* (*Album d'un voyageur* no. 3 and *Années de Pèlerinage* I no. 9) and *Funérailles* (*Harmonies poétiques et religieuses* no. 7).[239]

4.   Bell sounds and a sound symbol for the eternal in Mahler

One only begins to realize that bells are of special relevance in the symphonic works of Maher when one notes that they are called for in no fewer than six symphonies (the Second, the Third, the Sixth, the Seventh, the Eighth and the Ninth). First, an overview:

Three bells ("steel rods or bells of a deep indeterminate sound") are called for in the score of the finale of the Second at three places: first 11 bars after line 16 (three times), then 7 bars after line 49, finally at line 51 (at the conclusion).

Four tuned bells on the tones *f* , *g* , *d* and *c* are required in the fifth movment of the Third Symphony.

"*Deep bell sounds*" appear in three passages in the finale of the Sixth (14 bars after line 104, 4 bars before line 122 and one bar before line 145). Mahler's statement in the score reads: "two or more very deep untuned bells of differing tones are to be placed in the distance and sound softly at irregular intervals".

Several times bells also are heard in the finale of the Seventh, first in line 268 "loud bell sounds (deep)", then 2 bars before line 27 "soft bell sounds", further 3 bars before line 283 (together with cowbells).

A "deep bell in Aflat " is rung 12 times and later three times in the orchestral interlude at the beginning of the development (line 24-29) in the first part of the Eighth.

Then "three deep bells" ring a single time in the opening movement of the Ninth: immediately before the reprise (bars 337-346). Its motif appears for a total of six times.

What is the meaning of these bell sounds in these movements? Does Mahler employ bells with the same semantics as Berlioz, Liszt and Strauss, namely as funereal, ecclesiastical sound symbols or partly to denote the night or does he embue them with another specific meaning? After an extended study it emerged that the last possibility was the most appropriate. Bell sounds function in Mahler's works as sound symbols for eternity. That is especially true for the use of bells in the Second and Third Symphonies.

First it should be pointed out that the bells at the close of the finale of the Second Symphony (7 bars after line 49) ring to accompany the motif of eternity which is intoned by ten horns and later by six trumpets in unison![240]

Then it should be added, that the fifth movement of the Third Symphony entitled "*Es sungen drei Engel einen süssen Gesang*" (= three angels sang a sweet song) is conceived as "music of the angels". Bells, glockenspiel, harps and the triangle come together as the main instruments of the *musica coelestis* which accompany the songs of the angels. Of particular relevance are the three titles which Mahler originally gave the movements. They read: *Was mir die Morgenglocken erzählen* (= what the morning bells are telling me), *Was mir die Engel erzählen* (= what the angels are telling me) and (as a synthesis) *Was mir die Morgenglocken erzählen (Die Engel)* (= what the morning bells are telling me (the angels).[241] That Mahler understood the bells to be a symbol for the angels and for the transcendental is made clear by an important letter to Fritz Löhr from August 29, 1895. In this document he discusses the outline of his symphony (GMB 107):

> "Nro. I D The humorous content of the subject indicates that "*Summer is beginning*". Summer is conceived of as a victor – in the midst of everything which grows and blossoms, creeps and crawls, imagines and longs and finally what we sense. (*angels – bells – the transcendental*)."

Proof that bells also often functioned as a symbol for eternity in the other symphonies of Mahler will be furnished in the detailed discussion of the individual works.[242]

The above discussed interpretation of tamtams as a symbol of death and bells as a sound symbol for eternity (the transcendental) would seem to clash with the passage in the finale of the Second Symphony when tamtams and bells sound simultaneously (12 bars after line 16, 7 bars after line 49 and line 51). The contradiction is however only apparent because the tamtam occasionally functions as a coloristic element (without specific semantics). If tamtams and bells sound at the same time, then the semantics of the bells is the determining factor, as in the two last passages mentioned above. Another interpretation is necessary for the passage 12 bars after line 16, because in this case the motifs is characterized by the interweaving of images of contrasting content, i.e.

variations on the motifs from the *Dies irae* theme and motifs from the resurrections theme (in the horns) sound together. It is possible that the passage denotes both 'death and resurrection next to each other'.

Finally it should be mentioned that this passage and also in line 51 the three (!) bells are rung in triplets (!). Moreover, they are heard in the other passage (7 bars after line 49) – in a 4/4 measure – strictly in a 3/4 rhythm. This observations leads one to believe that Mahler imbued the bells sounds in the Second Symphony with the semantics of a certain number symbolism: i.e. three as a holy number and as a symbol for the transcendental!

5.   The symbolic and coloring functions of the Glockenspiel

The Glockenspiel as an essential sound for the "musica angelica"

Musica angelica est illa quae ab angelis ante
conspectum Dei semper administratur
NICOLAUS DE CAPUA,
Compendium musicale (1415)

In light of our research results with respect to the frequent use and the semantics of bells in Mahler's symphonies it will not be a surprise to learn that the glockenspiel or carillon appears not only in the six symphonies discussed above but also in the Fourth and Fifth Symphonies. Only the First and Tenth do not employ the glockenspiel.

The question as to whether the instrument fulfilled a coloristic role or was drawn upon as a sound symbol cannot be answered with an either/or; it did both.

Generally the glockenspiel functioned as a sound symbol when it was not treated as a keybord instrument but rather as a bell, i.e. when its part consisted of single resounding tones. Our examination of Mahler's symphonies with texts revealed that in most cases the glockenspiel – as with bell sounds – often underlined the eternity symbol and especially the music of the angels, i.e. the *musica coelestis* or *angelica*. A few examples:

In the Second Symphony the glockenspiel is first played seven times in line 3 in the *Urlicht* (=Primeval Light), notably at the beginning of the section with the angels "*Da kam ich auf einen breiten Weg, da kam ein Engelein und wollt' mich abweisen*" (= There came I upon a broad path when a little angel came and wanted to turn me away) (cf. table LXXIX).[243] The glockenspiel also sounds seven times (seven is a holy number!) in the second section of the finale (line 2) at exactly that point in the score when the eternity motif is intoned for the first time in the finale by the woodwinds and horns!

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As previously mentioned, the glockenspiel, together with bells, harps and the triangle, functions in the angelic chorus of the Third Symphony as the instrument of the *musica angelica*. In this instance it is treated both as a bell and as a melodic instrument.

Also in the Eighth Symphony the glockenspiel serves as a sound symbol for the *musica angelica*. It is worthy of note that it is first played as a bell at the entry of the choir of young angels in line 81-85 (*Ich spür' soeben, nebelnd um Felsenhöh', ein Geisterleben* = I now see, mist-like on heights above, a Spiritual Being) and later in line 85 to accompany the choirs of blessed youths (*Freudig empfangen wir diesen im Puppenstand* = Gladly receive we now Him in a transitional state as a chrysalis) and in line 161 (*Er überwächst uns schon an mächtigen Gliedern* = With mighty limbs he towers already above us). It is played one last time within the orchestral interlude which refers to thoughts of eternity where it is preceded by the *Chorus mysticus* (1 bar before line 203).

In view of the above examples it is probable that the individual glockenspiel notes on the remarkable high *bflat²* in the opening movement of the Seventh Symphony (at line 21, then 2 bars before line 32 and 1 bar before line 37) have a similar semantic similar to the "transcedental" glockenspiel tones of the above discussed movements.

However, the glockenspiel fulfills a purely coloristic function for Mahler in many cases when it is treated as a melody instrument in movements of a lively character. This applies to the scherzi the Fifth and Sixth Symphonies (note that the glockenspiel is required in both works only for the scherzi) as well as to the waltz (second movement) and the burlesque of the Ninth. In the symphonic works of Richard Strauss the glockenspiel is apparently employed exclusively in the service of coloring (as in *Don Juan*, *Thus Spoke Zarathustra*, in the *Sinfonia domesica* and in the *Alpine Symphony*).

6. Cowbells as a sound symbol for "*otherworldly solitude*"

Mahler, as already mentioned, never spoke about the symbolic meanings of tamtams, bells and the glockenspiel in his symphonic works. He probably thought that the meanings of the sound symbols were obvious and did not need explanations. He expected his listeners to adhere to the highest standards and he was always disappointed, even shocked, when he realized that he was not understood. [244] Explanations, however, are necessary because Mahler gave idiophones specific 'private' semantics.

Mahler only felt the necessity of furnishing an explanation for the use of the hammer and cowbells, which in the Sixth and Seventh Symphonies play an important role (cf. Table LXXX). On the occasion of the rehearsals for the first performance of the Seventh in Munich[245] he decided to give an explanation due

to the justified fear that his intentions would be misunderstood. He commented that he did not wish to introduce cowbells in the sense of pastoral symbols – a meaning which would have corresponded to general expectations – but rather with the specific ('private') semantics of a sound symbol for "otherworldly solitude". His explanation is conveyed so faithfully in a commentary by Edgar Istel[246] that it deserves to be reproduced *in extenso*:

> "Mahler noticed that his audience and critics apparently had not grasped the meaning of this sound symbolism. It was certainly not a matter of somehow painting a picture for the listener of a cow or sheep herd with collar bells. His intention was rather to characterize sounds of earthly life in the far distance. In these passages he imagined that he was standing at the highest summit in the face of eternity – or as if the last manifestation of life on earth was the sound of grazing herds fading off in the distance as heard by a wanderer on a high mountain. Thus this sound appeared to be the only suitable one with which to symbolize "*otherworldly solitude*"".

We can apply this explanation (previously unnoticed in recent research) not only to the exegesis of the Sixth and the Seventh Symphonies but also a means of gaining a deeper understanding of Mahler's thinking, indeed, as a means of understanding the particular relevance of his "*Weltanschauung*" or philosophy of life. It helps us understand, namely, that his 'enigmatic' symbolism is usually rooted in the realms of metaphysics and eschatology. To summarize: the tamtam often symbolizes the sphere of death, bells symbolize eternity, the glockenspiel is used in many cases as a sound prop of the *musica angelica*, heaven and hell are designated with special motivic symbols, cowbells characterize "sounds of earthly life in the far distance" which "are heard by a wanderer on a high mountain in the face of eternity". Furthermore one recalls that Mahler understood the song of the nightingale in the finale of the Second Symphony as the "echo of the end of the world" (cf. chapter XVII, 5).

One can comprehend how 'enigmatic' Mahler's symbolism really is, if one compares his use of these sounds with the introduction by Richard Strauss of cowbells – obviously modeled after Mahler – in the section depicting the meadow in the *Alpine Symphony* (1915).[247] Strauss uses them not as symbols but rather as a means of illustration, i.e. as depicting for the listener "the image of herds of cows or sheep" – a use of the instrument despised by Mahler. Conclusion: it is the case of realism against metaphysics, immanence against transcendence, tone painting against symbolism, illustrative programmatic music against esotericism!

Epilogue

The observant reader would hardly have failed to have noticed that the present study had as its goal the foundation of a musical exegesis which encompassed both technical and compositional aspects of music as well as ideas involving reception history and symbolism. The author has endeavored to demonstrate that the symphonic music of the 19th century – which conveyed extra-musical ideas to a high degree and which maintained a close relationship to both literature and philosophy – is eminently suitable to be adapted as the subject of such investigations.

Historical investigations of ideas, reception and symbolism have previously mainly been carried out on a large scale – apart from the actual history of ideas – in literary studies. In musicology there are only a few examples. It is hoped that the present study will achieve a major breakthrough that will benefit not only music theory and music aesthetics but also will contribute to the music itself being investigated from the viewpoint of the history of ideas. Central to this viewpoint is the promotion of an active rather than a passive reception of the music of these composers and the works of their predecessors and contemporaries. Equally significant is the concept that no real progress is possible in many areas of research without an understanding of the historical role of the symbol in music history!

Abbreviations

AME   Alma Mahler, *Gustav Mahler. Erinnerungen und Briefe*, 2nd ed., Amsterdam 1949 (= *Gustav Mahler: Memories and Letters*, London 1968)

AMML   Alma Mahler-Werfel, *Mein Leben*, Frankfurt am Main/Hamburg 1963

BL   Natalie Bauer-Lechner, *Erinnerungen an Gustav Mahler*, ed. J. Killian, Leipzig-Vienna-Zurich 1923 (= *Recollections of Gustav Mahler*, ed. P. Franklin, London 1980)

DKW   *Des Knaben Wunderhorn. Alte deutsche Lieder gesmmelt von L. Achim von Aarnim und Clemens Brentano*, Complete Edition (from the first edition of 1806/1808) in the series of the Deutscher Taschenbuch Verlag in 3 volumes, Munich 1963

FLB   *Franz Liszt's Briefe*, ed. La Mara, 8 vol., Leipzig 1893-1905

GA   Gesamtausgabe (= complete edition)

GMB   *Gustav Mahler Briefe 1879-1911*, ed. Alma Maria Mahler, Berlin/Vienna/Leipzig 1924

GS   Gesammelte Schriften (collected writings)

LW   Literarische Werke (literary works)

SW   Sämtliche Werke (complete works)

The other abbreviations as in the Riemann-Musiklexikon, Sachteil (1967)

Notes

Introduction

[1]   Franz Brendel, *Vorstudien zur Ästhetik der Tonkunst*, NZfM 53 (1860), 105-108.

First Part

I. Mahler's place in history

[2]   Paul Bekker, *Gustav Mahlers Sinfonien*, Berlin 1921, 355.

[3]   Richard Strauss, *Aus meinen Jugend- und Lehrjahren*, in: *Betrachtungen und Erinnerungen*, ed. Willi Schuh, Zurich/Freiburg i. Br 1949, 168 f.

[4]   *Hugo Wolfs musikalische Kritiken*, ed. Richard Batka and Heinrich Werner, Leipzig 1911.

[5]   Hans Pfitzner, *Die neue Ästhetik der musikalischen Impotenz. Ein Verwesungssymptom*?, 2nd ed., Munich 1920.

[6]   *Max Reger im eigenen Wort*, in: Adalbert Lindner, *Max Reger. Ein Bild seines Jugendlebens und künstlerischen Werdens*, Stuttgart 1923, 255-285, esp. 259 and 266 (on Wagner and the "*Liszt-Berliozsche Programm*"), 264 (on Bach), 267f. (on Brahms), 268 (on the program music of R. Strauss). Cf. as well Reger's papers *Musik und Fortschritt* and *Degeneration und Regeneration in der Musik* as well as his *Offenen Brief* addressed to the editors of the journal *Die Musik* (1907) in: Karl Hasse, *Max Reger*, Leipzig n.d., 190-214.

[7]   Cf. Constantin Floros, *Die geistige Welt Gustav Mahlers in systematischer Darstellung*, chapter I.

[8]   Romain Rolland, *Musicians of Today*, New York 1915, esp. 87-88.

[9]   Rudolf Louis, *Anton Bruckner*, Munich and Leipzig 1905, 136.

[10]   Hugo Riemann, article on Mahler, in: Musik-Lexikon, 8th edition, Berlin and Leipzig 1916, 667: "Mahler was widely recognized as one of the best opera conductor; he also aroused interest with his compositions: but these lack the same strong character and are only products of a witty eclecticism" (!)

[11]   Carl Krebs, *Meister des Taktstocks*, Berlin 1919, 185: "There are widely differing views about the composer Mahler - for some he is almost the current composer of the present and the future, which of course is nonsense, while for others all of his music is just a mixed stew of other meals, which can be certainly characterized as equally far from the truth – yet all the opinions are perfectly united in concluding that he was a conductor of the unusual abilities - of skills which are very rarely combined with such a strength."

[12]   Richard Specht, *Gustav Mahler* (Modern Essays, ed. H. Landsberg, vol. 52), Berlin 1905, 14. Cf as well Mahler's letter to Specht from 1904 (GMG 261 f.)

[13]   The same claim, even if not as strongly, was already made by Ludwig Schiedermair in his monography *Gustav Mahler. Eine biographisch-kritische Würdigung* (Moderne Musiker), Leipzig n.d. [1900], 6 f. This study by Schiedermair was the first Mahler monography.

[14]   Richard Specht, *Gustav Mahler*, Berlin/Leipzig 1913, 22

[15]   Guido Adler, *Gustav Mahler*, Leipzig/Vienna 1916, 68

[16]   A good survey of the bibliography relating to the relationship between Mahler and Bruckner as well as an account of Mahler's performance of Bruckner's works is to be found in Donald Mitchell, *Gustav Mahler. The Early Years*, London 1958, p. 63-74.

[17]   Hugo Riemann, *Geschichte der Musik seit Beethoven (1800-1900),* Berlin/Stuttgart 1901, 640. The idea that Bruckner "transferred" Wagner's dramatic style onto the symphony was propagated by Eduard Hanslick. Cf. his *Fünf Jahre Musik* [1891-1895] (Der "Modernen Oper", VII. Teil), Berlin 1896, 190. It might be mentioned that Riemann later changed his mind somewhat with regard to Mahler. In his *Musiklexikon* (1916) he mentioned that Mahler was an eclectic composer.

[18]   Ernst Otto Nodnagel, *Gustav Mahlers Fünfte Symphonie. Technische Analyse*, Leipzig 1905, 4.

[19]   Felix Weingartner, *Die Symphonie nach Beethoven*, 3rd ed., Leipzig 1909, 74.

[20]   Bekker, *Gustav Mahlers Sinfonien* (1921), 11-23.

[21]   Cf. Hans Schnoor, *Um Mahlers symphonisches Werk. Eine Betrachtung über Bekkers Mahlerbuch*, Mk XV/7 (1923), 481-494.

[22]   Cf. Otto Erich Deutsch, *The Riddle of Schubert's Unfinished Symphony*, MR 1 (1940), 36-53; Hans Gál, *The Riddle of Schubert's Unfinished Symphony*, MR 2 (1941), 63-67; T.C.L. Pritchard, *The Unfinished Symphony*, MR 3 (1942), 10-32; Stefan Kunze, *Franz Schubert. Sinfonie h-moll, Unvollendete* (Meiterwerke der Musik 1), Munich 1965, 8 f.

[23]   Max Morold, *Das Brucknersche Finale*, Mk VI/1 (1906-07), 28-35.

[24]   Max Auer, *Bruckner und Mahler*, in: Bruckner-Blätter, Mitteilungen der Internationalen Bruckner-Gesellschaft III (1931), Nummer 2/3, 23-26. Extracts from the letter are published in this article. Auer published the complete letter in 1936. Cf. August Göllerich/Max Auer, *Anton Bruckner. Ein Lebens- und Schaffens-Bild* (Deutsche Musikbücherei Band 39, 1. Teil), Band IV, 1. Teil, Regensburg 1936, 448 f.

[25]   Specht, *Mahler* (1913), 14.

[26]   Louis, *Anton Bruckner* (1905), 135 f.

[27]   Guido Adler, *Anton Bruckners Stellung in der Musikgeschichte*, in: In memoriam Anton Bruckner. Festschrift zum 100. Geburtstage Anton Bruckners, ed. Karl Kobald, Zurich/Vienna/Leipzig 1924, 7-20, esp. 15-18.

[28]   This remark by Adler is not correct. A detailed investigation revealed that Bruckner's programmatic title as well as his explanations – contrary to the general opinion – are to be taken seriously. They create a *conditio sine qua non* for the exegesis of his symphonies. Cf. Constantin Floros, *Brahms und Bruckner, Studien zur musikalischen Exegetik* (1980), part three.

[29]   Alfred Orel, *Anton Bruckner. Das Werk – Der Künstler – die Zeit*, Vienna and Leipzig 1925, 198-204. .

[30]   Theodor W. Adorno, *Mahler. Eine musikalische Physiognomik*, Frankfurt am M. 1960, 48 f., 92-94 and 214 f.

[31] Parks Grant, *Bruckner and Mahler – The Fundamental Dissimilariy of Their Styles*, MR 32 (1971), 36-55.

[32] Adler, *Mahler* (1916), 54.

II. Beethoven and the new categories of symphonic music

[33] Liszt to Wihelm von Lenz on Dec. 2, 1852 (FLB I, 123).

[34] Richard Wagner coined this expression in his essay *Über die Anwendung der Musik auf das Drama* (1879), GS X, 182 f.

[35] Cf. Adolf Sandberg, "*Mehr Ausdruck der Empfindung als Malerie*", in: Ausgewählte Aufsätze zur Musikgeschichte, Zweiter Band, Munich 1924, 201-212.

[36] Hector Berlioz, *Symphonies de Beethoven, Deuxième Article*, in: La Revue et Gazette musicale de Paris, 4. Februar 1838, reprinted in: Berlioz*, Oeuvres littéraires. A travers chants*, ed. Léon Guichard, Paris 1971, 55-60 and 444-446.

[37] Cf. below page 36 and page 276 note 32

[38] Richard Wagner, *Beethovens "heroische Symphonie" (1851)*, GS V, 169-172.

[39] Richard Wagner *Über die Ouvertüre* (1831)*, GS I, 194-206, esp. 201; *Beethovens Ouvertüre zu "Coriolan"* (1852), GS V, 173-176. Wagner used this expression for Beethoven's own work with his title *Ouvertüre zur Namesfeier*, op. 115 (1815). The work has the title: *Grosse Ouvertüre in C-dur gedichtet für grosses Orchester* von Ludwig van Beethoven.

[40] Franz Brendel, *Geschichte der Musik in Italien, Deutschland und Frankreich. Von den ersten christlichen Zeiten bis auf die Gegenwart*, 6th ed., Leipzig 1878, p. 583. Cf. also Rudolf Louis, *Franz Liszt* (Vorkämpfer des Jahrhunderts. Eine Sammlung von Biographien, 2nd vol.), Berlin 1900, 60.

[41] Franz Liszt, *Berlioz und seine "Harold-Symphonie"* (1855), GS IV, 23

[42] At this point a few remarks about the use of the term *symphonic poem* would be appropriate. According to Peter Raabe (*Die Entstehungsgeschichte der ersten Orchesterwerke Franz Liszts*, Leipzig 1916, 36-39) the term was coined by Liszt in the second half of the year 1853 or at the beginning of 1854. Liszt first used the term in connection with his symphonic work *Tasso* for a concert in Weimar on April 19, 1854. Up to then Liszt referred to his works as overtures. The first letters of Liszt in which he used the term are dated to April and May of 1854. Thus in a letter to Hans van Bülow of April 24, 1854, Liszt states that he would like to have performed in Leipzig three of four of his *poèmes symphoniques* (*symphonische Dichtungen*), which he was preparing for publication, especially *Les Préludes*, *L'Orphée* and perhaps also *Tasso*, which had been successfully performed in Weimar. (*Briefwechsel zwischen Franz Liszt und Hans von Bülow*, ed. La Mara, Leipzig 1898, 75). Cf. as well Liszt's letters to Louis Köhler from April and May of 1854 and from June 8, 1854 (GLB I, 154 and 156). According to Raabe Liszt was prompted to use the term by a letter from Wagner from November 9, 1852 in which Wagner announced that he would perhaps publish the *Faust Overture* with the subtitle "*ein Tongedicht fur Orchester*" (Briefwechsel zwischen Wagner und Liszt, Band I, Leipzig 1900, 201). In any case the terms *poème musical* and *Tondichtung* were in use

long before 1854. Thus Berlioz called Beethoven's Ninth "*ce vaste poème musical*" in 1838 (*A travers chants*, p. 71) and Wagner called the Eroica – as already mentioned – in 1851 a "*höchst bedeutsame Tondichtung*" (GS V, 169). However, Carl Loewe had used the programmatic term *Tondichtungen* for his piano works, such as *Mazeppa*, op. 27 (1830), *Der barmherzige Bruder*, op. 28 (1830), *Le Printemps*, op. 47 (1835). Cf. as well Robert Schumann, GS I 91 f. and Otto Klauwell, *Geschichte der Programmusik von ihren Anfangen bis zur Gegenwart*, Leipzig 1910, 187-192.

[43] H. Berlioz, *A travers chants*, 70-79. Cf. as well Wagner's (ironic) remark in *Das Kunstwerk der Zukunft*, GS III, 98.

[44] The piano score of *Roméo et Juliette* appears in 1859 with Brandus & Cie. in Paris and with Rieter-Biederman in Winterthur (with French and German texts). Cf. Berlioz GA 25, 73 f.

[45] Cf. Hector Berlioz LV I, 288-291.

[46] Liszt GS IV, 51-57. In the important letter to Agnes Street-Klindworth of November 16, 1860, Liszt characterized the "*great idea*" of his time in Weimar was the idea "of a renewal of music through its inner connection with poetry" (*une grande idée: celle du renouvellement de la Musique par son alliance plus intime avec la Poésie*). GLB III, 135. On this see C. Floros: *Musik als Botschaft,* Wiesbaden 1989, 108-113.

III. The history of the reception of Beethoven's music

[47] Wilhelm von Lenz, *Beethoven. Eine Kunststudie*, St. Petersburg 1885, Neudruck mit Erganzungen und Erlauterungen von A. Chr. Kalischer, 5.-8. Aufl Berlin 1922, 137. The book is dedicated to Liszt.

[48] Arnold Scherung, *Beethoven und die Dichtung*, Berlin 1936, 63-65.

[49] Schering first introduced his thesis in his book *Beethoven in neuer Deutung* (Leipzig 1934). Nils-Eric Ringbom dealt in detail with Schering's Beethoven interpretation in his study *Über die Deutbarkeit der Tonkunst* (Åbo 1955). One may not agree with Ringbom with respect to all facets of his criticism of Schering (cf. below chapter XVI, 2). Cf. as well Otto Riemer, *Scherings Beethoven-Deutung*, in: Musica 24 (1970), 242-244.

[50] Cited from Franz Zagiba, *Tchaikovskij. Leben und Werk*, Zurich-Leipzig-Vienna 1953, 366 f.

[51] *Hans von Bülow/Richard Stauss Briefwechsel*, ed. Willi Schuh and Franz Trenner, in: Richard Strauss-Jahrbuch 1954, Bonn 1953, 7-88.

[52] Cited from Julius Bahle, *Der musikalische Schaffensprozess. Pschologie der schöpfersichen Erlebnis- und Ausdrucksformen* (Schöpferische Menschentum, Band I), Konstanz 1947, 95.

[53] Anton Schindler, *Biographie von Ludwig van Beethoven*, 3rd ed. Munster 1860, Part II, 38-40 and 212.

[54] Richard Wagner, GS I, 200 f.: II, 56-64; V, 169-176; IX, 96 f.; XII, 350

[55] Richard Wagner, *Ein glücklicher Abend*, GS I, 145.

[56] The letter is written in French.

[57] Incidentally it should be mentioned that Liszt also knew Schindler's biography of Beethoven but he did not think much of it. In an essay from 1854 about Beethoven's Fidelio he called it "a book which he otherwise would not recommend" (GS II/a, p. 11).

[58] Schering, *Beethoven in neuer Deutung*, 54.

[59] Erich H. Mueller von Asow, *Richard Strauss. Thematisches Verzeichnis*, Band I, Vienna-Wiesbaden 1959, 247.

IV. Mahler's conception of the symphonic cantata

[60] Previously unpublished statement by Mahler cited from the manuscript of the diary of Natalie Bauer-Lechners. Cf. *Die geistige Welt Gusta:v Mahlers*, appendix II.

[61] In contrast to Bruckner and to Brahms, Mahler was not distinguished with the honor of being "*the second Beethoven*." Despite this, it is worth mentioning that his name was occasionally mentioned with Beethoven's name. Thus in 1910 the authority Alfredo Casella said that Mahler was the sole musician "who truly understood the depth of the Ode to Joy." Cf. *Gustav Mahler. Ein Bild seiner Persönlichkeit in Widmungen*, ed. Paul Stefan, Munich 1910, 89

[62] R. Wagner GS I, 111.

[63] Richard Wagner, GS III, 95-98.

[64] *Cf. Brahms und Bruckner,* chapter IV.

[65] *Die geistige Welt Gustav Mahlers,* chapter IV.

[66] Cf. *Brahms und Bruckner,* chapter X.

[67] Cf. as well below pages 201 f. and 225 f.

V. Borrowings from the Lieder repertoire

[68] Richard Specht drew attention to this in his small Mahler monograph of 1905.

[69] Monika Tibbe, *Über die Verwendung von Liedern und Liedelementen in instrumentalen Symphoniesätzen Gustav Mahlers* (Berliner musikwissenschaftliche Arbeiten Band 1), Munich 1971.

[70] Paul Mies, *Schubert, der Meister des Liedes* (Max Hesses illustrierte Handbücher Band 89), Berlin 1928, 255-269.

Cf. as well Alfred Einstein, *Schubert. Ein musikalisches Porträt*, Zurich 1952, 195 and 289-293.

[71] Alfred Heuss, *Kammermusikabend. Erläuterungen von Werken der Kammermusiklite-ratur*, Leipzig 1919, 85-90 and 120-125.

[72] Cf. Eric Werner, *Mendelssohn. A New Image of the Composer and his Age*, London 1963, 115-118.

[73] Cf. Daniel Gregory Mason, *The Chamber Music of Brahms*, 1st.ed. 1933, 2nd ed. Ann Arbor 1950, 129-139.

[74]   Walter Wiora, *Die rheinisch-bergischen Melodien bei Zuccalmaglio und Brhams. Alte Liedweisen in romantischer Färbung* (Quellen und Studien zur Volkskunde, ed. Karl Meisen Band 1), Bad Godesberg 1953, p. 38f. and p. 178 f.

[75]   Albert Dietrich, *Erinnerungen an Johannes Brahms in Briefen besonders aus seiner Jugendzeit,* Leipzig 1989, 3

[76]   Letter to Bartholf Senff from Dec. 26, 1853, Brahms-Briefwechsel XIV, 5.

[77]   It is a fact that Mahler was well acquainted with the music of Schubert and he was inspired by it. Cf. chapter XIV, 3, chapter XXV, 2 and 5 as well as table XXVII, LXIX and LXXIV. We learn from Natalie Bauer-Lechner's notes that Mahler spoke enthusiastically about the positive and negative aspects of Schubert (as well as about Brahms, Bruckner, Berlioz, Liszt and Tchaikowsky). He marveled at Schubert's melodic invention but criticized the development of these ideas (BL 117, 161, 165). On July 13, 1900 he said to Bauer-Lechner (BL 138): "Today I went through the entire chamber music production of Schubert ! One can find less than 12 works that are good. Also of his 800 Lieder [sic] one can find perhaps 80 that are completely beautiful – which however is quite sufficient."

[78]   *Die geistige Welt Gustav Mahlers*, appendix II.

[79]   Cf. ebenda 97 and 104/105.

[80]   BL 36. Cf. Mahler's letter to Anna Mildenburg from the summer of 1896 in: Moderne Welt III (1921022), 13.

[81]   Cf. *Die geistige Welt Gustav Mahlers*, chapter IV, 2 and appendix I.

[82]   Cf. BL 11 and BL 23. The statement about the *Sermon to the Fish* can be dated to the summer of 1893, the comments about the scherzo of the Second Symphony to January 1896.

[83]   BL 40. Cf. also GMB 140, 161-163, 198

VI. Aspects of architectonics

[84]   Cf. *Die geistige Welt Gustav Mahlers*, 196.

[85]   Peter Raabe, *Die Entstehungsgeschichte der esten Orchesterwerke Franz Liszts* (1916), 35/36 = Raabe, *Liszts Schaffen*, 1st ed. Stuttgart-Berlin 1931, 2nd ed. Tutzing 1968, 77.

[86]   In a letter to Agnes Street-Klindworth of Jan. 30, 1857 Liszt wrote that he expected to finish *Die Ideale (Symphonie en trois parties)* by Easter (FLB III, 83).

[87]   Cf. as well *Die geistige Welt Gustav Mahlers*, chap. II. A detailed discussion of Mahler's *Todtenfeier* is found in: Floros: *Mahler's Symphonies,* Amadeus Press 1993, 56ff.

[88]   Adolf Sandberger, *Zu den geschichtlichen Voraussetzungen der Pastoralsinfonie*, in: Ausgewählte Aufsätze zur Musikgeschichte, Band 2, Munich 1924, 154-200.

[89]   Cf. Arnold Schering, *Bemerkungen zu J. Haydns Programmsinfonien*, JbP 46 (1940), 9-27.

[90]   This is the title and program (in German) of the First Symphony on the title page of the autograph manuscript (Osborn Collection in the Yale University Library).

91   Cf. Schumann's review of the *Symphonie fanstastique* (1835) in GSI, 69-90. The strong influence of Berlioz' work on Schumann can be easily seen in the finale of the *Spring Symphony* (1841). The movement contains severals 'reminiscenses' of the *Marche au supplice* of Berlioz!

92   Floros: *Gustav Mahler. The Symphonies,* Amadeus Press 1993.

93   Mahler was particularly attached to the *Symphonie fanstastique* and did not miss any opportunity to direct it. He first directed it in Hamburg on Feb. 4, 1895. Cf. Josef Bohuslav Foester, *Der Pilger. Erinnerungen eines Musikers*, Prague 1955, 384; also GMB 202 and 204 f. and BL 63.

94   The Weimar program was first printed by Max Hesse in a report about the performance (Musikalisches Wochenblatt 1894, 312). Cf. as well Ernst Otto Nodnagel, *Jenseits von Wagner und Liszt. Profile und Perspektiven*, Königsberg in Pr. 1902, 7-10. The above mentioned discussion of both last movements of the First are authentic. Mahler commented on and confirmed this a few years later in letters to Max Marschalk from March 20, 1895 and to Bernhard Schuster in 1901 or 1902 (cf. Specht, *Mahler*, 1913, 24).

VII. Content and Form

95   Schumann, *Sinfonie von H. Berlioz*, GS I, 70.

96   Adolf Bernhard Marx, *Die Musik des neunzehnten Jahrhunderts und ihre Pflege. Methode der Musik*, Leipzig 1855, 155

97   Liszt to Louis Köhler on July 9, 1856 (FLB I, 225).

98   Cf. *Brahms und Bruckner*, chap. IV.

99   R. Wagner, *Über Franz Liszts symphonische Dichtungen*, GS V, 182-198, citation 191.

100   *Hans von Bülow/Richard Strauss Briefwechsel*, ed. W. Schuh and Fr. Trenner, in: Richard-Stauss-Jahrbuch 1954, Bonn 1953, 7-88.

101   Cf. Ernst Krause, *Richard Strauss. Gestalt und Werk*, 4th ed. Leipzig 1970, 221 f.

102   Cf. Julius Bahle, *Der musikalische Schaffensprozess* (1947), 95.

103   Regarding the relationship of "foreign content", content and form cf. the dissertation for the University of Tübingen of Reinhard Raffalt *Über die Problematik der Programm-Musik. Ein Versuch ihres Aufweises an der Pastoral-Symphonie von Beethoven, der Berg-Symphonie von Liszt und der Alpensinfonie von Strauss* (Passau 1949).

VIII. The cyclic form principle and the programmatic idea

104   Cf. Constantin Floros, *Die Thematik in Johann Sebastian Bachs Orchestersuiten*, StMw 25 (1962), 193-204.

105   Cf. Hans Engel, *Nochmals: Thematische Satzverbindungen und Mozart*, MJ 1962/63, 14-23.

[106] Ludwig Misch, *Die Faktoren der Einheit in der Mehrsätzigkeit in der Werke Beethoven. Versuch einer Theorie der Einheit des Werkstils* (Veröffentlichungen des Beethovenhauses in Bonn), Munich/Duisburg 1958.

[107] It might be recalled that the autograph of the Great C-major Symphony of Schubert was discovered by Schumann in Vienna on January 1, 1839. Shortly afterwards the symphony was first performed under the direction of Mendelssohn in Leipzig on March 21, 1839. Schumann worte in his famous review (GS I, 464): "The symphony has an effect on us as no symphony since Beethoven." Regarding the 'discovery' of the symphony cf. Otto Erich Deutsch, *The Discovery of Schubert's Great C-Major Symphony: A Story in Fifteen Letters*, MQ 38 (1952), 528-532.

[108] Cf. Armin Gebhardt, *Robert Schumann als Symphoniker* (Forschungsbeiträge zur Musikwissenschaft Band XX), Regensburg 1968, 25-27.

[109] Hermann Abert, *Robert Schumann* (Berühmte Musiker XV), 4th ed. Berlin 1920, 101.

[110] Cf. Heinrich Husmann, *Schumann als Gestalter. Die Einheit der Form in seinen Sinfonien*, in: Musica X (1956), 456-460.

[111] Cf. Edward T. Cone, *Hector Berlioz. Fantastic Symphony. An authoriatative Score – Historical Background – Analysis – Views and Comments*, London 1971, 18-35; also Jacques Barzun, *Berlioz and the Romantic Century*, Band I, Boston 1950, 147-167.

[112] Liszt, *Berlioz und seine "Harold-Symphonie"*, (1855), GS IV, 1-102, citation 68.

[113] Cf. Liszt's letter to Franz Brendel of July 7, 1854 (GLB I, 161).

[114] Franz Brendel*, Franz Liszt als Symphoniker*, Leipzig 1859, 27

[115] Alfred Heuss, *Eine motivisch-thematische Studie über Liszt's sinfonische Dichtung "Ce qu'on entend sur la montagne"*, ZIMG XII (1911-1912), 10-21.

[116] FLB I, 270-276, citation 273.

[117] *Briefwechsel zwischen Franz Liszt und Hans von Bülow*, 248.

[118] Joseph Heinrichs, *Über den Sinn der Lisztschen Programmusik*, Phil. Diss. Bonn, Kempen (Rh.) 1929.

[119] Joachim Bergfeld*, Die formale Struktur der "Symphonischen Dichtungen" Franz Liszts*, Phil. Diss. Berlin 1931. Verlag Philipp Kühner, Eisenach (Thüringen).

[120] Proceeding from the research of Alfred Lorenz, Bergfeld searched for the "immanente Formgesetze" in the symphonic poems of Liszt. He claimed to have discovered the arch-form in seven works (Orpheus, Héroïde funèbre, Hamlet, Festklänge, Prometheus, Tasso and Les Préludes). For *Die Ideale* he claimed to have found the coda form and for *Hungaria* the strophe form. Only three works (Hunnenschlacht, Mazeppa and Bergsymphonie) were to be classified as examples of the "Reihenform", the form "that one might expect in 'programmusic'". Judging from a partial examination, we regret to say, that Bergfeld analyses do not reflect the real architectonic relationships in Liszt.

[121] Heinrichs, *Über den Sinn der Lisztschen Programmusik*, 75-82.

[122] Peter Raabe, *Liszts Schaffen*, p. 95 f., 299 and 337.

[123] Emile Haraszti, *Genèse des Préludes de Liszt qui n'ont aucun rapport avec Lamartine*, RMl XXXV (1953), 111-140

124   Cf. Léon Guichard, *Les Préludes de Liszt n'ont-ils vraiment aucun raport avec ceux de Lamartine*? RMl LVI (1970), 29-34.

125   According to Haraszti, RMl XXXV (1953), 115.

126   It should be mentioned that the German version of this program was already cited in 1858 by Felix Draeseke. Cf. his article *Franz Liszt's neun symphonische Dichtungen*, in: Anregungen für Kunst, Leben und Wissenschaft, ed. Franz Brendel and Richard Pohl, III (1858), 10 f. With respect to Draeseke's article cf. Liszt's letters of Jan. 10, 1858 and Dec. 30, 1860 (FLB I, 294-296 and 382.

127   Cf. below chapter XIII.

128   Bruckner's respect of Liszt and for Wagner is expressed in the dedications of his Second and Third Symphonies. Interesting details about Bruckner's relationship to Liszt are reported in August Stradel, *Erinnerungen aus Bruckners letzter Zeit*, ZfM 99 (1932), 973-975. For basics, see Floros: *Anton Bruckner. The Man and his Work*, 65-68.

129   Cf. *Brahms und Bruckner*, part III.

130   Cf. Alfred Orel, *Anton Bruckner* (1925), 86 f. and 95 f.

131   Cited from Franz Zagiba, *Tschaikovskij* (1953), p. 191.

132   Cited from Zagiba, ebenda p. 183.

133   Cf. Nikolai van der Pals, *Peter Tschaikovsky*, Potsdam 1940, p. 108 f and plate 15. Cf. Floros: *Peter Tschaikowsky*, Reinbek bei Hamburg 2006, 112-126.

134   Cf. Floros*: Gustav Mahler. The Symphonies*.

135   To be discussed in more detail in chapter XXV, 3.

136   Regarding the hymn as a type of movement and characteristic cf. below chapter XII, 3.

137   Schering, *Beethoven und die Dichtung* (1936), 163-188.

138   In this connection it should be mentioned that in the sketches for the finale of the Ninth Symphony the recitative phrases with which the cellos and contrabasses 'reject' the citation of themes from the three previous movements carry texts. Beethoven justified the rejections of the opening theme with the comment: "*o nein, dieses nicht, etwas anders gefälliges ist es, was ich fordere*". The citation of the scherzo has the text: "*auch dieses nicht, ist nicht besser, sondern nur etwas heitere*". After the Adagio citation he concludes with the remaaaark: "*auch diese es ist zu zärtl., etwas aufgewecktes [?] muss man suchen*". Cf. Gustav Nottebohm, *Zweite Beethoveniana. Nachgelasene Aufsätze*, Leipzig 1887, 189-191. Cf. as well Antonin Sychra, *Ludwig van Beethovens Skizzen zur IX. Sinfonie*, in: Beethoven-Jahrbuch 1959/60, 85-101.

139   Bruckner usually referred to the second themes (or more properly: second thematic complexes) of his symphonies with the term *Gesangsperiode*. Cf. Franz Schalk, *Briefe und Betrachungen*, published by Lili Schalk, Vienna/Leipzg 1935, 79 .

140   Robert Haas, *Anton Bruckner*, Potsdam 1934, 122.

141   Cf. chapter XXII, 2 and Table XIV.

142   Cf. Floros, *Die geistige Welt Gustav Mahlers*, 198.

IX. Musical themes and the "poetical conception"

[143] Here's what Schumann in his review of the *Symphony fanstastique* wrote about this transformation of "main subject": "In the vision, it is played on a common C-and E-flat clarinet, withered, debased and dirty. Berlioz did this on purpose."

[144] See, Felix Weingartner, *Die Symphonie nach Beethoven* (1909), 36-42; idem, *Hector Berlioz. Ein Gedenkblatt geschrieben zur Einführung in die Gesamtausgabe seiner Werke*, in: Akkorde. Gesammelte Aufsätze, Leipzig, 1912, 154-163.

[145] Cf. Hermann Kretschmar, in*: Erläuterungen zu Franz Liszts Sinfonien und Sinfonischen Dichtungen* (Band-Ausgabe der "Kleinen Konzertführer", ed. Alfred Heuss), Leipzig 1912, 35.

[146] Cited from Liszt GS IV, 76.

[147] Cf. further in chapter X, 1.

[148] For the deails on the reworking of *Dies irae* and on the use of the death bells in the *Symphonie fantastique* cf. below chapter XII, 2 and chapter XXVI, 3.

[149] Peter Petersen, *Die Tonalität im Instrumentalschaffen von Béla Bartók* (Hamburger Beiträge zur Musikwissenschaft Band 6), Hamburg 1971, 49-51.

[150] Cf. Berlioz' essay on Beethoven's Seventh Symphony in*: A travers chants*, p. 64 f.

[151] Richard Pohl, *Romeo und Julie. Dramatische Symphonie von Hektor Berlioz* (1857), in: Gesammelte Schriften über Musik und Musiker, 3rd vol.: Hektor Berlioz, Leipzig 1884, 131-169.

[152] Liszt GS V, 172.

[153] Bruckner said to August Göllerich in 1891, "here in the house there was a great ball – next to it the master [cathedral builder Schmidt] on a death bier! That is how it is in life, and that is what I wanted to describe in my Third Symphony: the polka indicates the humor and happiness in the world – the hymn the sadness and suffering in it …". Cf. Ernst Decsey*, Bruckner. Versuch eines Lebens*, Stuttgart/Berlin 1922, 126.

[154] According to Max Auer, *Anton Bruckner. Sein Leben und Werk*, 1st ed. 1923, 2nd ed. Vienna 1934, 192. In a hitherto little known letter to Paul Heyse from Dec. 22, 1890, Bruckner wrote, that the "*theme*" of the "*Gesangsperiode*" was the song of the "*Kohlmeise Zizipe*". A detailed investigation of the program of the Romantic Symphony is presented in my book *Brahms und Bruckner*.

[155] Richard Strauss, *Erinnerungen an Hans von Bülow*, in: Betrachtungen und Erinnerungen, ed. Willi Schuh, Zurich/Freiburg i. Br. 1949, 141-151, citation 148.

[156] Thus the trombones and the tuba present a cantabile melody from the trio of the third movement of the Seventh Symphony (2 bars after line 163), while the violins and the woodwinds play at the same time a waltz melody from the "main movement" (line 118). Numerous other examples are to be found in the second movement of the Ninth Symphony.

X. The Mephisto movement of Liszt's Faust Symphony

157 Liszt GS IV, 58.

158 Eduard Hanslick, *Fünf Jahre Musik* [1891-1895] (Der "modernen Oper" VII. Teil), Berlin 1896, p. 181.

159 Richard Pohl, *Liszts Faust-Symphonie* (1862), in: Gesammelte Schriften über Musik und Musiker, Band II, Leipzig 1883, 247-320, citation 272. A detailed description of this work in my paper: *Die Faust-Symphonie von Franz Liszt. Eine semantische Analyse.*

160 L. Somfai, *Die musikalischen Gestaltwandlungen der Faust-Symphonie von Liszt*, in: Studia Musicologica Academiae Scientiarum Hungaricae II (1962), 87-137

161 Gesammelte Schriften II, 307.

162 Lina Ramann, *Franz Liszt als Künstler und Mensch*, vol. 2, section 2, Leipzig 1894, 186.

163 Max Chop, *Franz Liszts symphonische Werke I* (Reclams Universal-Bibliothek Nr. 6519; Erläuterungen zu Meisterwerken der Tonkunst, 34. Band), Leipzig 1924, 31.

164 Peter Raabe, *Listzs Schaffen*, 53.

165 Humphrey Searle, *The Music of Liszt*, 1st ed. London 1954, 2nd ed. New York 1966, 47 f. and 79.

166 See above p. p. 60 and chapter XXI, 3.

167 Hermann Kretzschmar (*Erläuterungen zu Franz Liszts Sinfonien*, Leipzig 1912, p. 27):"…The Faust Symphony has three movements which Liszt calls "Charakterbilder", thus indicating right from the beginning the scenic development of Goethe's poem."

168 The reasons for this are discussed below on p. 73

169 For details cf. chapter XXIV.

170 Raabe, *Liszts Schaffen*, 54 f.

171 For some examples: *con furore* bar 1, bar 7 and bar 229; *appassionato con forza* bar 51; *molto appassionato ed espressivo* bar 70f.; *teneramente amoroso* bar 76; *teneramente* bar 106; *con passione* bar 133 and bar 296; *agitato* bar 138; *impetuoso* bar 140; *energico nobilmente* bar 164 f.; *Recitativo. Patetico, tremolando con energico, disparat*o b. 198; *Andante lacrimoso* bar 199; *strepitoso* bar 219 and bar 304; *avec enthousiasme* bar 243; *pomposo* bar 292.

172 For more details cf. chapter XXI, 1.

173 Compare the passage in the *Melédiction* with the rubric *Recitativo patetico* (bar 198) with the Faust Symphony, first movement, bars 28-31 and bars 36-39.

174 During the 1850's Liszt occasionally had a special penchant for medial chord progressions in accordance with certain models consisting of chains of third. The chord progression E flat - G flat - A – C in the Mephisto movement is only one of several examples. Thus near the end of the Faust movement at Pp the progression *a – A flat – E – A flat* appears twice. The *Credo* of the Graner Festmesse (1855) closes with a triple *C – A flat – E – D flat* and a choral-like passage (17 bars after CC) in the Bergsymphonie (1848-1856) is based on the triple progression *E flat – g - B flat - G flat*. It is worth mentioning in this connection that Liszt's friend Carl Friedrich Weitzmann discusses in his award

winning *Harmoniesystem* (Leipzig n.d. [1860], 54) the "concluding formations", which also are based on medial chord progressions (eg. *C-f - D flat – f 6/4 –C* and *a - F sharp – d – a*).

175 Gesammelte Schriften II, 282.

176 Curt Mey, *Die Musik als tönende Weltidee. Versuch einer Metaphysik der Musik*, part 1, Leipzig 1901, 345.

177 Ramann, *Liszt* II/2, 179

178 Kretzschmar, in: *Erläuterungen zu Franz Liszts Sinfonien* (1912), 27 and 30.

179 G. Göhler, Einführung zu Eulenburgs kleiner Partitur-Ausgabe der Faust-Symphonie (Nr. 77), VII f.

180 A. Hahn, *Franz Liszt symphonische Dichtungen* (Schlesinger'sche Musik-Biubliothek, Meisterführer Nr. 8), Berlin/Vienna n.d., 169.

181 M. Chop, *Franz Liszts symphonische Werke* I, Leipzig 1924, 22.

Part Two

XI. Characteristics in general

1 Jean Paul, *Vorschule der Ästhetik*, X. Programm § 56 and § 60. Cited from the Jean-Paul edition of Carl Hanser Verlag, vol. V, Munich 1963, 208 and 224.

2 R. Schumann, article *Charakter* in the Damenkonversationslexikon, ed. Herloßsohn and Lühe; cited from GS II, 207.

3 Gustav Theodor Fechner, *Vorschule der Ästhetik*, second part, Leipzig 1876, 64.

4 Schoenberg to William Schlamm on June 26, 1945. Cited from Arnold Schoenberg, *Ausgewählte Briefe*, ed. Erwin Stein, Mainz 1958, 247.

5 Adler, *Mahler* (1916), 87. For details see my paper *„Eine musikalische Physiognomik": Über Theodor W. Adornos Mahler-Interpretation,* in: Dan Diner (Ed.): Simon-Dubnow-Institut. Yearbook XI 2012, 235-243.

6 Adorno, *Mahler* (1960), 66-84, citation 68.

7 With respect to characteristics in Schönberg and Berg, cf. Constantin Floros, *Das esoterische Programm der Lyrischen Suite von Alban Berg. Eine semantische Analyse*, in: Hamburger Jahrbuch für Musikwissenschaft Band I, Hamburg 1975.

8 Adorno, *Mahler*, chapter III; *Charaktere*, 60-84.

9 Paul Bekker, *Mahlers Sinfonien* (1921). Examples of the term 'Durchbruch' on pp. 45, 62, 221; for '*Erfüllung*' on p. 133, 231; for '*Abgesang*' on p. 230 and for '*Episode*' on pp. 152, 154.

10 Ernst Kurth, *Bruckner*, Berlin 1925, 784.

11 Adorno, *Mahler* (1960), 11.

XII. Characteristics derived from vocal music

[12] Adolf Bernhard Marx, *Die Musik des neunzehnten Jahrhunderts und ihre Pflege* (1855), 154.

[13] Paul Mies, *Das instrumentale Rezitativ. Von seiner Geschichte und seinen Formen* (Abhandlungen zur Kunst-, Musik- und Literaturwissenschaft Band 55), Bonn 1968.

[14] Wilhelm Altmann, *Ist Bruckners sogenanntes Choralthema seine eigene Erfindung*?, in: Allgemeine Musik-Zeitung XLVII (1920), 100.

[15] Alfred Orel, *Über "Choräle" in den Symphonien Anton Bruckners*, in: Musica divina IX, 9/10; A. Orel, *Anton Bruckner* (1925), 147 f.- On characteristics in Bruckner's music generally see my book *Anton Bruckner. The Man and the Work* (2011), 132-142.

[16] Cf. Hermann Abert, *W. A. Mozart*, 5th ed. 1919/1921, Vol. II, 199 f. (in connection with the *Maurerische Trauermusik* KV 477); H. C. R. Landon, *The Symphonies of Joseph Haydn*, London 1955, 286-293.

[17] According to Lina Ramann, *Franz Liszt* II/2, 343-345.

[18] According to Max Auer, *Bruckner* (1934), 195.

[19] Haas, *Bruckner* (1934), 126.

[20] Louis Spohr, *Selbstbiographie*, Cassel und Göttingen 1860/1861, Nachdruck Kassel und Basel 1954/955, Zweiter Band, 191 = *Lebenserinnerungen*, ed. Folker Göthel, Tutzing 1968, Zweiter Band, 155 f.; cf. also Otto Kauwell, *Geschichte der Programmusik* (1910), p. 123-127; Hermann Kretzschmar, *Führer durch den Konzertsaal*, I. Abteilung: Sinfonie und Suite, 5th ed. Leipzig 1919, 296-299.

[21] In a letter to his sister Fanny, Mendelssohn wrote on May 25, 1830, that he was sending a copy of the D-Minor Symphony and he asked her to "collect" the voices under the title of the work that he would later choose: "*Reformationssymphonie, Confessionssymphonie, Symphonie zu einem Kirchenfest, Kindersymphonie [!], oder wie du willst.*" Cf. Paul Mendelssohn Bartholdy (ed.), *Reisebriefe von Felix Mendelssohn Bartholdy aus den Jahren 1830 bis 1832*, 3rd ed. Leipzig 1862, 8.

[22] For Mendelssohn's historicism in general cf. Susanna Großmann-Vendrey, *Felix Mendelssohn Bartholdy und die Musik der Vergangenheit* (Studien zur Musikgeschchte des 19. Jahrhunderts Band 17), Regensburg 1969.

[23] Cf. Eugen Segnitz, *Franz Liszt und Rom* (Musikalische Studien VIII), Leipzig 1901; Arnold Schering, *Über Liszts Persönlichkeit und Kunst*, JbP 32 (1927), 31-44.

[24] Liszt GS II, 55-57.

[25] With respect to the origins and development of the Mountain Symphony cf. Peter Raabe*, Die Entstehungsgeschichte der ersten Orchesterwerke Franz Liszts* (1916), 42-54. According to August Göllerich (*Franz Liszt*, Berlin 1908, 155) Liszt said in the last year of his life (1886) that the *Andante religioso* was the "*song of a hermit*" and he mentioned that he had written the composition "*as a recluse in the mountainous region of Karthäuser bei Grenoble, in the south of France.*"

[26] Cf. *Neues Textbuch zu Die Legende von der heiligen Elisabeth*, ed. Theodor Müller-Reuter, Leipzig 1907; as well as Heinrich Maria Sambeth, *Die gregorianischen Melodien*

in den Werken Franz Liszts mit besonderer Berücksichtigung seiner Kirchenmusik-Reformpläne, in: Musica sacra. Monatschrift fur Kirchenmusik und Liturgie, 55. Jg. (1925), 255-265.

[27] According to Lina Ramann, *Franz Liszt* I (1880), 143-148. Cf. as well Peter Raabe, *Die Entstehungsgeschichte der ersten Orchesterwerke Franz Liszts* (1916), 17-20 and the musical examples p. 3-5 (transcription of the original sketch of the Revolution Symphony); also Raabe, *Liszts Leben*, first ed. Stuttgart-Berlin 1931, second ed. Tutzing 1968, 14-16 and the appendix (facsimile of the four page first sketch) and Raabe, *Liszts Schaffen*, 358. It appears that it has not been previously observed that Liszt cites a motif from the *Marseillaise* at the end of the sketch.

[28] Werner F. Korte, *Bruckner und Brahms. Die spätromanische Lösung der autonomen Konzeption*, Tutzing 1963, 129.

[29] Cf. also chapter XII, 3; chapter XII, 3; chapter XXV, 2 as well as the discussion in Floros, *Brahms und Bruckner*.

[30] Max Kalbeck, *Johannes Brahms*, Band III, Berlin 1912, 99.

[31] Compare the chorale of this Andante with the Chorale of St. Anthony over which Brahms wrote the Haydn variations op. 56a.

[32] It should be mentioned that Hugo Riemann, the opponent of the hermeneutic interpretations, viewed the chorale of this finale as a "*warning call of fate*". Cf. his discussion of the Third Symphony in: *Johannes Brahms. Symphonien und andere Orchesterwerke* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 3), Berlin n.d., 76.

[33] A passage in the trombones in the finale of the Second Symphony (5 bars after line 6) acts as the "seed" of this chorale.

[34] In her memoires Alma Mahler reports that immediately after the completion of the Fifth Symphony she told Mahler that she questioned the use of the chorale at the conclusion of the work because it was "*church-like*" and "*uninteresting*". When Mahler answered her by referring to Bruckner she responded: "He can, but not you!" – "and I attempted while wandering through the forest … to make clear to him the difference between him and Bruckner. In my opinion his strength was in a different area than being involved with working a church chorale into a composition" (AME 64).

[35] Kurth, *Bruckner*, p. 528 f.

[36] Bruckner's Benedictus-motif appears as well in the aria of the Magna Peccatrix (line 118) and in a passage in the finale of the Ninth Symphony (bars 48-49 in the horns).

[37] Heinrich Schenker, *Beethovens Neunte Sinfonie. Eine Darstellung des musikalischen Inhaltes*, Vienna-Leipzig 1912, 257-262.

[38] Kalbeck, *Brahms* III, 107-109.

[39] Cf. as well Specht, *Mahler* (1913), 163 f. or Fritz Egon Pamer, *Gustav Mahlers Lieder* in StMw XVII (1930), 125-127. Cf. as well Adorno, *Mahler* (1960), 103-108.

[40] Paul Stefan (*Gustav Mahler. Eine Studie über Persönlichkeit und Werk*, Munich 1920, 130 and p. 153) was probably the first to notice that the opening movement of the Fifth Symphony and the Adagio of the Ninth cited passages from the *Kindertotenlieder*.

[41] Bekker, *Mahlers Sinfonien* (1921), 23-25, 32.

[42] Moritz Bauer, *Die Lieder Franz Schuberts*, Leipzig 1915, 4. Cf. Hans Jochim Therstappen, *Die Entwicklung der Form bei Schubert, dargestellt an den ersten Sätzen seiner Sinfonien* (Sammlung musikwissenschaftlicher Einzeldarstellungen, 16. Heft), Leipzig 1931, 14.

[43] Willi Kahl, *Zu Mendelssohns Liedern ohne Worte*, ZfMw III (1921/21), 459-469.

[44] Cf. Eric Werner, *Mendelssohn* (1963), 267 f.

[45] For details cf. Floros, *Mahler's Symphonies.*

[46] Bekker, *Mahlers Sinfonien* (1921), 300.

[47] Bruno Walter, *Gustav Mahler. Ein Porträt*, Berlin and Frankfurt am Main 1957, 26. The passage in question reads in Walter's memoires *Thema und Variationen* (Frankfurt/Main 1960, 117): "We delighted in playing piano duets for four hands by Schubert, Mozart, Schumann, Dvořák etc. and occasionally Mahler invented texts for Schubert's marches and dances in the Viennese dialect which matched the melodies as if they had been composed to these words."

XIII. Characteristics derived from instrumental music

[48] Specht, *Mahler* (1913), 164.

[49] This story can already essentially be found in Specht's little Mahler monograph of 1905, 19.

[50] Max Brod, *Gustav Mahler. Beispiel einer deutsch-jüdischen Symbiose* (Vom Gestern zum Morgen, Band 18), Frankfurt am Main 1961, 20.

[51] Bekker, *Mahlers Sinfonien* (1921), p. 211 f.

[52] Alfred Einstein, *Das Militärische bei Beethoven*, in: *Von Schütz bis Hindemith. Essays über Musik und Musiker*, Zurich/Stuttgart 1957, 77-83.

[53] The score requires four flutes, three oboes, three clarinets, two bassoons, six horns, four trumpets, three trombones, tuba, complete set of percussion instruments (timpani, cymbals, large and small drums, tamtam) and string orchestra.

[54] Mahler's funeral march is in a march form with two trios. Cf. also Floros, *Gustav Mahler. The symphonies.*

[55] The *Introduzione (Tempo di Marcia funebre)* of the Third Symphony op. 29 (1875) of Peter Tchaikovsky also is based on Liszt's model. .

[56] In a letter to his cousin Eduard Liszt from March 26, 1857) Liszt stressed "the dynamic and rhythmic roots and the increase in intensity which could be conveyed by the percussion instruments" while referring to Beethoven as the model in the finale of the Ninth Symphony and he announced that he would continue to use the percussion instruments "despite the doctrinal criticism" so that the percussion instruments could "be accorded a little respect for a little known effect" (FLB I, 275). Cf. as well the ironic statement which we use as the motto for chapter XXVI.

[57] There is another similarity between Liszt's *Hungaria* and the slow movement of Mahler's First Symphony. The famous "bohemian" melody in Mahler's movement gets its special coloration first with the major/minor changes and also with the intervals of the so-called

"gypsy scale" (d-e-f-g sharp-a-b flat-c sharp-d), i.e. the same scale which makes up a large part of Listzt's *Hungaria* as well.

58   This funeral march-like section in the finale of Bruckner's Fourth is only found in the final version of the symphony. It is missing both is the first and second versions. Cf. R. Haas, *Bruckner* (1934), 129 and ill. 50.

59   Cf. Bruckner's letters to Hans von Wolzogen from March 18, 1885, to Felix Mottl from April 17, 1885 and April 29, 1885, to J. Louis Nicodé from March 3, 1887 as well his letter of thanks to King Ludwig II of Bavaria, in: Anton Bruckner, *Gesammelte Briefe / Neue Folge* (Deutsche Musikbücherei Band 55, Regensburg 1924, 181-185, 201, 218. Cf. as well E. Decsey, *Bruckner* (1922), p. 213 and M. Auer, *Bruchner* (1934), 256. See also my *Anton Bruckner. The Man and the Work* (2011).

60   The "treatise"*De l'expression romantique et du ranz-des-vaches* from Senancour's *Obermann* (1804) is reprinted in Liszt's *Album d'un voyageur* (GA II. 4). It serves here as a sort of introduction to the piano piece *Vallée d' Obermann.*

61   Cf. Hans Engel, article, *Pastorale* in MGG X (1962), col. 937-942

62   Cf. Arnold Schering, *Über Liszts Persönlichkeit und Kunst*, JbP 32 (1927), 34-36.

63   Cf. Arnold Schmitz, *Das romantische Beethovenbild*, Berlin and Bonn 1927, 132.

64   Adolf Sandberg*, Zu den geschichtlichen Voraussetzungen der Pastoralsinfonie*, in Ausgewählte Aufsätze zur Musikgeschichte II (1924), 154-200.

65   Willi Kahl, *Zu Beethovens Naturauffasung*, in: *Beethoven und die Gegenwart. Ludwig Schiedermair zum 60. Geburtstag*, Berlin and Bonn 1937, 220-265.

66   Heinz Wolfgang Hamann, *Zu Beethovens Pastoral-Sinfonie. Vorausnahmen eines Wiener Kleinmeisters aus dem Jahre 1791*, Mf XIV (1961), 55-60.

67   Arnold Schering (*Beethoven in neuer Deutung* p. 72-75) assumes that the programmatic foundation for this Sonata pastorale was the third scene from the fourth act of Shakespeare's *Winter's Tale*. He does not offer any concrete proof of this.

68   Berlioz LW I, 200 f. and 254 f.

69   This Vivace non troppo of the Scottish Symphony belongs to a series of movements which represent Mendelssohn's original scherzo type. The movement is in sonata form, in 2/4 tempo (!) and is distinguished by both its themes and its coloration. Especially striking is the tremolo of the strings and wind instruments (!), which resemble passages in Bruckner.

70   JbP 32 (1927), 34.

71   Mahler conducted Bizet's *Roma* in two concerts of the Vienna Philharmonic on Dec. 18, 1898 and Jan. 29, 1899. Hanslick wrote a review of the second concert. Cf. Eduard Hanslick, *Aus neuer und neuester Zeit* (Der modernen Oper IX. Teil), 3rd edition Berlin 1900, 70-80.

72   Erich Schenk, *Zur Inhaltsdeutung der Brahmschen Wörthersee-Symphonie* in: Musik-verein für Kärnten. Festliche Jahresschrift 1943, Klagenfurt 1943, p. 38-48; reprinted in Ausgewählte Aufsätze, Reden und Vorträge, Graz-Vienna-Cologne 1967, 132-142.

73   Stefan*, Mahler* (1920), 33.

74 This passage in his letter is closely related in content, coloration, diction and style with the third verse *of Der Spielmann* (*Das klagende Lied*, lines 19-33) with the text:

The minstrel begins to play his flute

And lets it loudly sound.

O wonderful, what now happens!

What a strange sad song!

It sounds so sad and yet so beautiful!

Whoever hears it is filled with suffering -

Oh sorrow, woe, O sorrow!

75 The score of *Waldmärchen* was only published in 1973 (after the completion of this study) by the Belwin-Mills Publishing Corp. in New York.

76 Mitchell, *Mahler* (1958), 141-196.

77 Jack Diether, *Mahler's Klagendes Lied – Genesis and Evolution*, MR 29 (1968), 268-287.

78 Hans Holländer, *Unbekannte Jugendbriefe Gustav Mahlers*, Mk XX/11 (1928), 807-813. Cf. also Holländer's article *Zur Entstehungsgeschichte zweier Jugendwerke Gustav Mahlers*, NZfM 131 (1970), 564 f.

79 The fanfare motif is derived from *Tannhäuser* and from *Lohengrin*. The dotted eighth note rhythm in 6/8 meter at the beginning resembles the riding motif of the *Walküre*. The very important motif of the trumpets can be compared almost note for note with the Siegfried motif. Mahler used the Leitmotif in order to semantically recall the fate and the blasphemy motifs. See my book *Gustav Mahler. Visionary and Despot* (2012), 108-117.

80 In the notes of Natalie Bauer-Lechner we learn that two versions of the score existed (BL 106 f.). In the original version – as in the published version of 1899 – a remote orchestra was called for in addition to the large orchestra. In order to not limit the chances of performance Mahler prepared in Hamburg (therefore between 1891 and 1897) a second version in which the remote orchestra was placed within the large orchestra. Later (1898) he recognized while preparing the score for printing that this change "sehr zum Schaden des Werkes geschehen war" and he decided finally for the original version, without taking into consideration the chances for a performance. Cf. D. Mitchell, *Mahler* (1958), 150-153.

81 Cf. the parallel passage in line 68.

82 This is expressed most appropriately in the Lied on Rückert's poem *Ich bin der Welt abhanden gekommen* (= I am lost to the world).

83 The program of the Second Symphony is transmitted in several 'versions'. They differ with respect to diction and details but all contain the same images, ideas and basic plot. The first version created in Hamburg is described by Natalie Bauer-Lechner in a note for January 1896 (BL 21-24). A second version appears in a letter from Mahler to Max Marschalk from March 26, 1896 (GMG 188 f.). A third version was revealed in Mahler's letter to his bride Alma Schindler from Dec. 15, 1901 (AME 267-269). This version was published by Felix Adler in an article entitled: *Gustav Mahlers Schaffen* in: Monatsschrift *Deutsche Arbeit* Jg. 9 (1909/1910), 428-433.

[84] In addition the autograph score has at line 3 the title: "*The crier in the desert*". This title was omitted in the printed score (Friedrich Hofmeister Leipzig or Universal-Edition Wien Copyright 1897) but was included in the transcription for two pianos published in 1895 by Friedrich Hofmeister (Universal-Edition no. 2937).

[85] It might be mentioned that Anton Schaefer (*Gustav Mahlers Instrumentation*, Phil. Diss. Bonn 1933, Düsseldorf 1935, 16-20) interpreted the appearance of the remote orchestra before the resurrection chorus as "a symbol of the atmosphere". He saw "*der grosse Appell*" as a symbol of an "onset, development and growth in a purely idealistic manner". I regret to say that most of Schaefer's interpretations are far from the mark.

[86] Cf. Adler, *Mahler* (1916); Fritz Egon Pamer, *Gustav Mahlers Lieder*, StMw XVII (1930), 116; Adorno, *Mahler* (1960), 41 f. and 152 f.; Ernst Klusen, *Gustav Mahler und das böhmisch-mährische Volkslied*, in: Bericht über den Internationalen Musikwissen-schaftlichen Kongress Kassel 1962, publ. Kassel 1963, 246-251, esp. 248 f.

[87] At line 21 Mahler wrote that the cow bells were to be placed "*in the distance*". At line 24 he emphasized "*still in the distance*". At line 104 the rubric reads "*deep bell sounds in the distance*". At lines 144-147 finally he wrote that the deep bell sounds "*in the distance*" should fade away before the cow bells "*in the distance*" begin ringing two bars before line 147.

[88] The architectural structure of the *burlesque* resembles the rondo: main movement (bars 1-78) – fugato I (bar 79-108) – secondary movement (= Lied in 4 strophes, bars 109-179) – main movement (bars 180-208) – fugato II with answering themes at the fifth (bars 206-261) – secondary movement (= Lied in 3 strophes, bars 262-310) – fugato III on the model of the "circling" fugue (bars 311 346) – D-major episode (= music from very far away, bars 347-521) – shortened reprise of the main movement including the fugato themes (bars 522-616) – coda (bars 617-667).

[89] Berlioz, *A travers chants*, Paris 1971, 326.

[90] Cf. Hermann Abert, *W. A. Mozart*, fifth ed., Leipzig 1919/1921, Vol. I, 669 f. and 866.

[91] There are both rhythmic and melodic similarities between the C-major march of *Idomeneo* and the wedding march of *Figaro*. Cf. Jean Chantavoine, *Mozart dans Mozart*, Paris 1948, 66.

[92] Arnold Schering (*Beethoven und die Dichtung*, p. 191-195) interpreted the Alla marcia of the Ninth Symphony as a representation of a bacchanalia. He considered the tenor solo "*Froh, wie seine Sonnen fliegen*" and the following male chorus as "*a sort of drunken litany*". Schering came to this impossible interpretation because he considered the usual instrumentation to be Janissary music.

[93] E. N. von Reznicek, *Erinnerungen an Gustav Mahler*, in: Mahler-Heft des Anbruch 2. Jg. (1920), 298-300.

[94] Bruno Walter, *Thema und Variationen*, Frankfurt/Main 1960, 117.

[95] Bizet's instructions read: *Clairons dans la coulise aussi pp que possible – les Clairons se rapprochent – les Chairons s'eloigment*.

[96] R. Wagner, *Programmatische Erläuterung der Ouverture zu "Tannhäuser"* (GS v, 177): "At the beginning only the orchestra presents the song of the pilgrims. As they approach the music swells to a great outpouring of sound and then it disappears at the end."

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[97] Werner Danckert, *Claude Debussy*, Berlin 1950, 40 f.

[98] Cf. Leon Vallas,*Claude Debussy et son temps*, Paris, 1958, 196 and especially Marcel Dietschy, *La passion de Claude Debussy*, Neuchâtel 1962 1962, 128 and 130, footnote 10.

XIV. Scherzo, scherzando and dance characteristics

[99] Mitchell, *Mahler* (1958), 206-211.

[100] Mahler's original titles of the two movements read: *Tempo di Menuetto* and *Scherzando*.

[101] In the autograph score (in the possession of the Gesellschaft der Musikfreunde in Vienna) the movement has the title *Scherzo* in parenthesis.

[102] With respect to the construction of the second movement of the Ninth Symphony cf. Erwin Stein, *Die Tempogestalung in Mahlers IX. Symphonie* (Pult und Taktstock Oct./Nov. 1924) and *Organizing the Tempi of Mahler's Ninth symphony*, in: Erwin Stein, *Orpheus in New Guises*, London 1953, 19-24. We do not agree with Stein's interpretation of the technical irregularities in the movement.

[103] Cf. George Grove, *Beethoven und seine neun Symphonie* (German edition by Max Hehemann), London n.d. (1906), 117 and 235.

[104] Cf. Erwin Stein, *Mahlers Instrumentations-Retuschen* (Pult und Taktstock Nov./Dec. 1927) and *Mahler's Re-scorings*, in: *Orpheus in New Guises* (1953), p. 25-30; Mosco Carner, *Mahler's Re-scoring of the Schumann Symphonies*, MR II (1941), 97-110.

[105] Facsimile of the autograph score of the Ninth edited by Erwin Ratz, Vienna 1971 (UE 13508).

[106] In this connection it might be mentioned that the scherzando was an important category of music for Franz Liszt. Liszt used the term as a musical expression not only in obvious scherzo and scherzo-like movements, but also as a characteristic. One can first mention that Liszt called the third movement (*Allegretto vivace*) of the piano concerto in E flat major a scherzo in a letter to his cousin Edward Liszt from March 26, 1857 (FLB I, 275). One can also mention the last part (Allegro animato bar 507 ff.) of the piano concerto in A-major, the *allegretto pastorale* at bar 255 of the symphonic poem *Les Préludes* and the Mephisto-movement (*allegro vivace ironico*) of the Faust Symphony (cf. above chapter X, 1).

[107] In a secondary autograph score the trio of the Romantic Symphony has the title *Tanzweise während der Mahlzeit auf der Jagd* (Dance performed during the meal on the hunt). Cf. R. Haas, *Bruckner* (1934), 127. Bruckner expressed his opinion in a letter to Wilhelm Tappert from Oct. 9, 1878, that "*das Trio eine Tanzweise bildet, welche den Jägern während der Mahlzeit aufgespielt wird*". Cf. Gesammelte Briefe/Neue Folge, 146).

[108] A leaf from the sketches for the *Blumenstück* of the Third Symphony in the archives of Natalie Bauer-Lechners (now in possession of the Memorial library of Music at Stanford University) has the title *Was das Kind erzählt* (*What the child tells*) from 1895, thus proving that the *Blumenstück* was originally conceived as a children's piece. Cf. also the remarks of J. Killian in BL 20. The leaf contains a 'piano sketch' of the main movement up to line 3.

[109] Sabine Schutte, *Der Ländler. Untersuchungen zur musikalischen Struktur ungerad-taktiger österreichischer Volkstänze* (Collection d'études musicologique Band 52), Strassburg / Baden-Baden 1970, 103.

[110] Schubert GA XII, 87 and 91 f.

[111] In the trio of the First Symphony only the outside sections (lines 16-20 and 4 bars before line 23 until line 26) can be called a Ländler. The middle part is a valse.

[112] Cf. Alfred Orel, *Bruckner* (1925), 54, 58 f., 80 and 191.

[113] An echo of the trio of Bruckner's Third Symphony (bar 15 ff.) can be found as well in Mahler's early Lied *Frühlingsmorgen* (Lieder und Gesange I) at the text "*Die Bienen summen und Käfer! Steh' auf*!".

[114] Constantin Floros: *Alban Berg. Musik als Autobiographie,* Wiesbaden 1992, 343ff.

[115] Liszt's letter to the Fürst Don Onorato Caetani from November 1871 (FLB VII, 237).

[116] A passage in E major / E minor at line 19 anticipates the waltz in E flat major.

Third Part

XVI. The symbol in music

[1] Friedrich Theodor Vischer, *Altes und Neues*, Stuttgart 1889.

[2] Der Merker III (1912), 188.

[3] Arnold Schering, *Das Symbol in der Musik*, Leipzig 1941.

[4] Schering, *Bach und das Symbol. Insbesondere die Symbolik seines Kanons*, in: Bach-Jahrbuch 1925, 40-63.

[5] Hegel, *Vorlesungen über die Ästhetik* III (Werke 15), Frankfurt am Main 1970, 214.

[6] Schering, *Symbol in der Musik*, in: Zeitschrift fur Ästhetik und allgemeine Kunstwissenschaft XXI (1927), 379-388.

[7] Adolph Kullak discusses the "*Symbolik der Formen*" in his series of articles *Über die Symbolik der Töne* in NZfM 57 (1862), 121-124, 129-132, 137-139.

[8] Schering, *Musikalische Symbolkunde*, JbP 42 (1936), 15-30.

[9] Wilhelm Dilthey, *Die Entstehung der Hermeneutik* (1900), GS V, Leipzig and Berlin 1924, 317-338, esp. 232.

[10] JbP 36 (1930), esp. 19.

[11] Wolfgang Boetticher, *Robert Schumann. Einführung in Persönlichkeit und Werk*, Berlin 1941.

[12] Nils-Eric Ringbom, *Über die Deutbarkeit der Tonkunst*, Acta Academiae Aboensis Humaniora XXII/1, Åbo 1955, 111-168.

[13] JbP 42 (1936), 21/ fn. 1.

[14] Ernst Cassirer, *An Essay on Man*, New Haven 1944, 32.

[15] Alfred Lorenzer, *Kritik des psychoanalytischen Symbolbegriffs* (edition suhrkamp 393), Frankfurt am Main 1970, 87-93.

[16] Josef Bohuslav Foerster, *Der Pilger. Erinnerungen eines Musikers*, Prague 1955, 409.

XVII. The semantics of the sounds of birds

[17] Cf. Floros, *Die geistige Welt Gustav Mahlers*, 199.

[18] Claude Debussy, *Du goût*, in: Revue musicale S.I.M., Feb. 15, 1913. From Claude Debussy, *Monsieur Croche et autres écrits*, ed. François Lesure, Paris 1971, 224.

[19] BL 81 and 160.

[20] Cf. Floros, *Die geistige Welt Gustav Mahlers*, chap. IV.

[21] Original title: *Waldvögelein* (DKW III, 58).

[22] Original title: *Ablösung* (DKW III, 77).

[23] Original title: *Wettstreit des Kuckucks mit der Nachtigall* (DKW II, 25). Originally Mahler wanted to give this Lied the title *Lob der Kritik* (In praise of criticism)! In a letter from the summer of 1896 he wrote to Anna von Mildenburg: "*I just composed a very funny little song and it really pleases me just because of the text which comes from Des Knaben Wunderhorn and to which I gave the title "In praise to criticism". It deals with a competition between a nightingale and an old cuckoo, which is to be judged by a donkey. Of course, the donkey decides with a serious face to give the prize to the cuckoo. You'll laugh when you hear it*". Cf. Moderne Welt III (1921-22), 13.

[24] Original title: *Um die Kinder still und artig zu machen* (DKW I, 241).

[25] DKW III, 77 and 57 f. – Cf. as well Ugo Use, *Studio sulla poetica liederistica di Gustav Mahler*, 90.

[26] The texts of the songs of the *Lied von der Erde* were taken from the collection of poems by Hans Bethge *Die chinesische Flöte. Nachdichtungen chinesischer Lyrik*. Mahler – as he was prone to – altered some texts. Cf. Ernest W. Mulder, *Gustav Mahler: "Das Lied von der Erde". Een critisch-analytische studie*, Amsterdam n.d.

[27] Cf. Gustav Ernest, *Beethoven-Studien* III: *Die Vogelstimmen in der "Scene am Bach"*, Mk XI/7 (1911/12), 36 f.; Robert Lach, *Die Vogelstimmenmotive in Beethovens Werken*, Neues Beethoven-Jahrbuch II (1925), 7-22.

[28] In this deep tonal range (on the notes *a-e*) Mahler also imitates a bird call with the clarinet in *Der Abschied* (1 bar after line 21).

[29] Alvin Voigt, *Exkursionsbuch zum Studium der Vogelstimmen*, 12th ed. Heidelberg 1961, 81 f. For readers who are interested in modern research on bird songs one is referred to P. Szöke: *Zur Entstehung und Entwicklungsgeschichte der Musik*, in: Studia Musicologica Academiae Scientiarum Hungaricae II (1962), 33-85.

[30] Cf. the description of the typical 'strophes' of the song of the nightingale by Voigt, *Exkursionsbuch*, 201-203.

[31] Orlando A. Mansfield, *The Cuckoo and the Nightingale in Music*, MQ VII (1921), 261-277, esp. 275 f.

[32] Incidentally, it might be mentioned as well that the *Scène aux champs* by Berlioz from the *Symphonie fantastique* is indebted in several instances to Beethoven's *Pastoral Symphony*. Thus in the bars 67-77 Berlioz copied Beethoven's nightingale and quail calls with a few changes (cf. Table XXXV). It is also worthy of note that earlier Liszt introduced nightingale calls (trill motifs in flutes and violins) in both Faust episodes of the *Nächtliche Zug* (GA I, 10, 4-7). They illustrate the following verses from Lenau's poem: "*O Nachtigall, du teure, rufe, singe! Dein Wonnelied ein jedes Blatt durchdringe!*".

[33] Neues Beethoven-Jahrbuch II (1925), 21 f.

[34] Bernhard Hoffmann, *Kunst und Vogelgesang in ihren wechselseitigen Beziehungen vom naturwissenschaftlich-musikalischen Standpunkte beleuchtet*, Leipzig 1908, 205-209.

[35] Bird calls also appear in Wagner's *Meistersinger*. Cf. Hoffmann, ebenda, 211-215. One can also mention in this connection that the important Leitmotiv "*Kundrys Verlockung*" in Wagner's *Parsifal* resembles a bird call. Kundry is a "*Lockvogel*" (= a bird decoy)!

[36] With respect of the "*murmur*" motif in Wagner generally cf. the discussion by Curt Meys (*Die Musik als tönende Weltidee*, Leipzig 1901, 214-257) although his conclusions are not always well founded. Cf. Carl Dahlhaus, *Wagners Konzeption des musikalischen Dramas* (Arbeitsgemeinschaft "100 Jahre Bayreuther Festspiele" Band 5), Regensburg 1971, 74.

[37] Cf. the discussion of the thrush motif in Beethoven's "*Scene by the brook*" and in Nikolai's *Die lustigen Weiber von Windsor* in Hoffmann, *Kunst und Vogelgesang*, 174.

[38] This term was conceived by Paul Bekker, *Mahlers Sinfonien* (1921), 43.

[39] Hoffmann, *Kunst und Vogelgesang*, 210.

[40] Hoffmann, *Kunst und Vogelgesang*, 204 f.

[41] Voigt, *Exkursionsbuch* (1961), 143 f.

[42] Natalie Bauer-Lechner relates that Mahler, while composing the Second Symphony in Steinbach, "*sneaked*" a "*bewitching raven call*" into the finale (BL 81). This statement can be certainly related to the passage immediately before the introduction of the choir but which is the intended call?

[43] Voigt (*Exkursionsbuch*, 140) give the pitches of the male eagle owl ("*bu hu*") as f^1 - $g\#^1$.

[44] It should be mentioned that this falling motif is also met in the opening movement of the Ninth Symphony (bars 324/325) where it is transposed into the lower range ($e - d - F\#$) and is played by the bassoon.

[45] Hoffmann, *Kunst und Vogelgesang* (1908), 215 f.

[46] The oboe motif four bars before line 22 resembles the notated courtship call of the wood grouse in Voigt's compilation (*Exkursionsbuch* 79).

[47] Richard Specht, *Mahlers Siebente Symphonie*, in: Der Merker, 2. Heft 1909, 1-8.

[48] Bekker, *Mahlers Sinfonien* (1921), 258.

49   Cf. the staccatissimo-motif in the description of the calls of the cooing dove in Voigt, *Exkursionsbuch* 136 f.

50   Cf. Josef Häusler, *Musik im 20. Jahrhundert. Von Schönberg zu Penderecki*, Bremen 1969, 284 f.

XVIII. Elementary Motifs

51   Georg Wilhelm Friedrich Hegel, *Vorlesungen über die Ästhetik* III, Suhrkamp-GA, Band 15, Frankfurt am Main 1970, 150 f.

52   From Carl Fr. Glasenapp, *Das Leben Richard Wagners*, Sechster Band (1877-1883), Leipzig 1911, 374.

53   Ernst Kurth, *Romantische Harmonik und ihre Krise in Wagners "Tristan"*, 1. Aufl. Bern 1920, 2. Aufl. Berlin 1934; Alfred Einstein, *Die Romantik in der Musik* (German edition of *Music in the Romantic Era*, New York 1947), Munich 1950, 112 f.

54   Schumann, GS I, 462 f.

55   Cf. chap. XXV and Table LXXXII/LXXIII and Table LXXXVI.

56   The pentatonic opening motif of the cow herding passage by Berlioz appears in Debussy's *Prélude à l'apres-midi d'un faune* (flute solo bar 3, bar 13, bar 22) almost note-for-note. Is this a coincidence or a citation?

57   One should not be misled by this nomenclature. Even it if might sound old-fashioned it is nevertheless 'historical' and appears to be appropriate for the material under discussion. *Cries, laments* and *cries of joy* are words which Richard Wagner used in his essay on Beethoven (GS IX, 71. The word *Aufschrei* (= scream) was often used by Mahler (cf. GMB 185 f. and Table LXXIV).

58   Cf. the sigh-like call motif in the finale of the *Scottish Symphony* of Mendelssohn (at F).

XIX. Motifs of falling and symbols of the abyss

59   Kurth, *Bruckner*, Berlin 1925, 332-342.

60   Adorno, *Mahler* (1960), 65 f.

XX. Symbols of night and of sleep

61   Liszt placed these four lines of Michelangleo on the score of his funeral ode *Die Nacht* as a motto.

62   This is the first verse of a poem that Mahler wrote in his youth in December 1884. It was published in 1912 in the Mahler-Heft of the Merker III, 183. Cf. Floros, *Die geistige Welt Gustav Mahlers*, Anhang I.

63   Alfred Einstein, *Die Romantik in der Musik*, Munich 1950, 48 f.

64   R. Wagner, *Mein Leben*, GS XV, 146.

65   The two last strophes of the poem read:

Der Weg ist lang und Gottes Engel weit

Und falsche Stimmen tönen lockend, leise –

"Ach, wann soll enden meine Reise,

Wann ruht der Wanderer von des Weges Leid:

Es starrt die Sphinx und droht mit Rätselqualen

Und ihre grauen Augen schweigen – schweigen.

Kein rettend Wort, kein Lichtstrah will sich zeigen –

Und lös' ichs nicht – muss es mein Leben zahlen".

(The way is long, God's angels far away, and siren voices call enticingly and softly - ah, when will my journey end, when will the traveler rest from his journey's anguished sufferings? The sphinx stares blankly and threatens riddling torments, her grey eyes silent - silent. No saving word, no ray of light appears – if I fail to solve them it will cost me my life).

[66] In the autograph of the Third Symphony the programmatic title '*Pan sleeps'* appears after the first passage. The same title appears in the sketches preserved in the Memorial Library of Music at Stanford University and in the Austrian National Library (S. m. 22. 794 M. S.).

XXI. Satanism and the Crucifix

[67] Richard Pohl, *Liszts Symphonie zu Dantes "Divina Commedia"* (1858), in: Gesammelte Schriften über Musik und Musiker, Band II, Leipzig 1883, 238-246, esp. 242.

[68] Hector Berlioz, L W I, 138.

[69] According to information from Richard Pohl (GS II, 256) and Lina Ramann, *Franz Liszt* II/2 (1894), 196 f.

[70] In a letter to Franz Brendel from August 29, 1862 Liszt wrote about the two episodes from Lenau's Faust (FLB II, 24 f): "A thematic connection between the two pieces really does not exist; also there is not a connection between the contrast of feelings. Such a Mephisto could only spring out of poodle!" Cf. as well the letter to Prince Friedrich Wihelm Constantin von Hohenzollern-Hechingen of Jan. 26, 1862 in: Liszt, *Briefe aus ungarischen Sammlungen 1835-1886*, ed. Margit Prahács, Kassel 1966, 111.

[71] Cf. Julius Kapp, *Liszt. Eine Biographie*, 15. Bis 18. Aufl. Berlin 1922, 57.

[72] According to an unpublished letter from the Princess Wittgenstein to Liszt cited by Kapp (*Liszt*, 116).

[73] Ramann, *Liszt* II/2 (1894), 17, footnote 1. Cf. as well August Göllerich, *Franz Liszt*, Berlin 1908, 187

[74] Peter Raabe, preface to the score of the Dante Symphony in the GA I, 7 (1920), IV.

[75] Hegel, *Vorlesungen über die Ästhetik* III (Werke 15), Frankfurt am Main 1970, 349 f.

[76] Goethe, *Faust* I, verse 338f: Der Herr: *Von allen Geistern, die verneinen, ist mir der Schalk am wenigsten zur Last.*

77 Cited from Paul Lehmann, *Die Parodie im Mittelalter*, Munich 1922, 97. Cf. as well Walter Benjamen, *Ursprung des deutschen Trauerspiels*, Frankfurt am Main 1963, 156 and 257-262.

78 Rudolf Louis, *Franz Liszt* (Vorkämpfer des Jahrhunderts. Eine Sammlung von Biographien, Zweiter Band), Berlin 1900, 133-135.

79 The expression *humanitarian* (humanitaire = philanthropical) was used by Liszt in his fragment *Über zukünfige Kirchenmusik* (1834), GS II, 55-57.

80 A few examples from Liszt's letters to the Princess: Laissez-moi m'abîmer en vous et m'y reposer, c'est ma seule destinée et elle sera glorieuse avec la bénédiction de Dieu! (Feb. 28, 1848, FLB IV, 22). – Que bon Dieu vous bénisse, et bénisse bon Magnolet! (Dec. 5, 1855, FLB IV, 292). – Que sa bénédiction remplisse aussi votre Coeur de joie et de consolation! (June 11, 1860, FLB V, 15). – Après-demain, fête des apôstres St. Simon et St. Jude, je continuerai ma constant prière aux Sts. Anges de vous assister dans votre travail – de vous consoler dans vos tristesses – et de combler votre âme des divines bénédictions! (Oct. 26, 1876, FLB VII, 164).

81 Peter Raabe, preface to the score of the Dante Symphony, GA I, 7, IV.

82 The French original text of the testament is published in FLB V, 52-60: "Jésus Christ crucifié, la folie de l'exaltation de la Croix, c'était là ma véritable vocation. Le renoncement à toute chose terrestre fut l'unique mobile, le seul mot de ma vie … Non, plus jamais, depuis mes dix-sept ans, à travers les nombreuses fautes et erreurs que j'ai commises, et dont j'ai une sincère repentance et contrition, la divine lumière de la Croix ne m'a été entièrement retirée. Parfois même elle a inondé de sa gloire toute mon âme! J'en rends grâce à Dieu, et mourrai l'âme attachée à la Croix, notre rédemption et suprême beatitude".

83 Richard Pohl, Gesammelte Schriften Band II, 242. Cf. Liszt's letter to Franz Brendel from August 29, 1862 (FLB II, 23f.).

84 Cf. Zofia Lissa, *Zur Genesis des "Prometheischen Akkords" bei A. N. Skrjabin*, in: Musik des Ostens II (1963), 170-183. We believe that it is possible that Skriabin also had Liszt's *Prometheus* in mind when composing his *Prométhée*. Skriabin's score literal crawls – as in Liszt's scores – with programatic expressions.

85 Liszt cited the incipit of *Prometheus* in a letter to Hans von Bülow from Dec. 28, 1858 (Briefwechsel Liszt-Bülow, 214).

86 Felix Draeseke, *Franz Liszt's neun symphonische Dichtungen*, in: Anregungen fur Künst, Leben und Wissenschaft, ed. Franz Brendel and Richard Pohl, III (1858), 402.

87 Ramann, *Liszt*, II/2 (1894), 150

88 Georg Münzer in: *Erläuterungen zu Franz Liszts Sinfonien und Sinfonischen Dichtungen*, ed. Alread Heuss, Leipzig 1912, 98.

89 Arthur Hahn, *Franz Liszt. Symphonische Dichtungen* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 8), Berlin-Vienna n.d., 76

90 Max Chop, *Franz Listzs symphonische Werke II* (Reclams Universal-Bibliothek Nr. 6548: Erläuterungen zu Meisterwerken der Tonkunst, 35. Band), Leipzig 1925, 33.

[91] Liszt mentioned in several letters that his *Hungaria* – as well as *Funérailles* (GA II,7) – was his answer to Vörösmarty's poem. Thus is a letter to Mehály Mosonyi from Nov. 10, 1862: "Mit der symphonischen Dichtung Hungaria glaube ich bereits meine Antwort an Vörösmarty geliefert zu haben." (Cf. Franz Liszt, *Briefe aus ungarischen Sammlungen 1835-1886*, 113). In a letter to the Princess Wittgenstein from Sept. 28, 1870 he said (FLB VI, 266): "Son Excellence m'a fair l'insigne honneur de réciter en entire et par coeur, en guise de toast – la belle poésie que Vörösmarty m'a adressée en 1840, à laquelle je crois voir un peu répondu par la Hungaria, les Funérailles et d'autre opuscules." Cf. also Peter Raabe, *Liszts Schaffen*, 301, as well as George Münzer in *Erläuterungen zu Franz Liszts Sinfonien und Sinfonischen Dichtungen*, Leipzig 1912, 143-154. The complete text of Vörösmarty's poem is translated into German by G. Steinacker and is included in Lina Ramann, *Liszt* II/1 (1887), 49-51. For other passages from *Hungaria* cf. below chapters XXIV and XXVI,2.

[92] Cf. Goethe, Faust I, verse 2811 f.: Faust. *Hat sich dir was im Kopf verschoben? Dich kleidet's wie ein Rasender zu toben*! = There must be some disorder in thy wit! To rave thus like a madman, is it fit?

[93] The letter is in French.

[94] According to José Vianna da Motta, Kritischer Bericht zur GA II, 9 (1927), VII.

[95] In his interesting yet unfortunately often misunderstood book *The Language of Music* (London 1959, 84-89), Deryck Cooke was the first to draw attention to the fact that the tritonus was used in modern music at least since Weber's *Freischütz* (1820) by many composers to characterize the diabolical in music. His list of examples reaches from Buxtehude (1683) to Benjamin Britten (1954). Liszt is represented by three examples, namely the beginning of the Dante Sonata, the triplet motif from the Dante Symphony and the second Mephisto Waltz. Our list shows that the examples can be multiplied tenfold (cf. also chapter XXII, 2). With respect to Cooke's book cf. Geoffrey Madell, *Thematic Unity and the The Language of Music,* MR 23 (1962), 30-13 and Ivo Supičić, *Expression and Meaning in Music*, in: International Review of the Aethetics and Sociology of Music II (1971), 193-212.

[96] F. Raillard (born 1804) was a researcher of Gregorian chant, theologian and physicist. In 1859 his work on notation (*Explication des neumes ou anciens signes de notation*) was published and in 1861/1862 he published two studies on the restoration of Gregorian chant. In addition the *Revue archéologique* published in 1861 two of his articles about quarter tones in Gregorian chant. With respect to the strophici and the various theories about the existence of non-diatonic steps in the older chant repertoire cf. Floros, *The Origins of Western Notation,* Peter Lang: Frankfurt am Main 2011, 39-42 and 66-69.

[97] Cf. Peter Wagner, *Einfühung in die gregorianischen Melodien, Dritter Teil: Gregorianische Formenlehre. Eine choralische Stilkunde*, Leipzig 1921, 83-106.

[98] For example Lina Ramann, *Franz Liszt* II/2 (1894), 452 f.; Peter Raabe, *Liszts Schaffen*, 140 f.

[99] Cf. Liszt's letter to Joachim Raff from February 1857 (FLB I, 265).

[100] In a copy of the score the Princess Wittgenstein wrote in the text of Lamennais' prayer parallel to the music. Cf. Raabe, *Liszts Schaffen*, 306. The complete edition (GAI, 12) appears to have made use of this copy.

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[101]   CF. Liszt's letter to the Princess Wittgenstein from Dec. 16, 1883 (FLB VII, 395).

[102]   *B-minor Sonata* (GA II, 8) bars 105-119, 298-310, 303-306, 364-385, 601-616, 701-711.

[103]   Cf. Walther Krüger, *Das Concerto grosso in Deutschland*, Wolfenbüttel/Berlin 1932, 27f. and 55 f.; Arnold Schering, *Musikalische Symbolkunde*, JbP XVII (1936), 22; Alfred Einstein, *Schubert. Ein musikalisches Porträt*, Zurich 1952, 228; Karl H. Wörner, *Das Zeitalter der thematischen Prozesse in der Geschichte der Musik* (Studien zur Musikgeschichte des 19. Jahrhunderts Band 18), Regensburg 1969, 179-185.

[104]   Cf. Gerd Sievers, *Analyse des Finale aus Mozarts Jupiter-Symphonie*, Mf VII (1954), 318-331.

[105]   Mendelssohn to Ferdinand David on March 12, 1842. Cf. J. Eckardt, *Ferdinand David und die Familie Mendelssohn-Bartholdy*, Leipzig 1888, 171.

XXII. "*Dall' Inferno al Paradiso*"

[106]   Cf. Liszt's letter to Anton Rubinstein from June 3, 1855 (FLB I, 201).

[107]   Cf. Wagner's letter to Liszt from June 7, 1855 in: *Briefwechsel zwischen Wagner und Liszt*, 2. Aufl. Leipzig 1900, II, 78-84.

[108]   Richard Pohl, *Liszts Symphonie zu Dantes "Divina Commedia"* (1858), in: GS II, 238-246, quotation 240.

[109]   *Briefwechsel zwischen Wagner und Liszt*, II, 79.

[110]   According to Erich H. Muelller von Asow, *Richard Strauss. Thematisches Verzeichnis*, Band I, Vienna/Wiesbaden 1959, 116f.

[111]   Liszt to Berlioz on Oct. 2, 1839 (GS II, 253 f.).

[112]   Theophil Spoerri, *Einführung in die Göttliche Komödie*, Zurich 1946, 60.

[113]   Felix Draeseke, *Liszt's Dante-Symphonie*, NZfM 53 (1860), 193-196, 201-204, 213-215, 221-223; August Wilhelm Ambros, *Culturhistorische Bilder aus dem Musikleben der Gegenwart*, Leipzig 1860, 161-168; Lina Ramann, *Liszt* II/2 (1894), 315-333; Otto Klauwell, *Geschichte der Programmusik* (1910, 172-180; Arthur Hahn, *Franz Liszt. Symphonische Dichtungen* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 8), Berlin/Vienna n.d., 198-216; Hermann Kretzschmar, *Führer durch den Konzertsaal* I (1919), 394-397; Max Chop, *Franz Liszts symphonische Werke*, I (1924), 57-75. With regard to the conception and development of the Dante Symphony cf. the preface to the complete edition (GA I, 7).

[114]   It appears that Liszt 'borrowed' the suggestive title *Allegro frenetico* from the finale of the Harold Symphony (1834) of his friend Berlioz.

[115]   Walter Niemann, *Erläuterung der Orchesterphantasie Francesca da Rimini*, in: *Peter Tschaikowsky's Orchesterwerke* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 14), Berlin/Vienna n.d., 99-115.

[116]   Cf. Floros, *Gustav Mahler. The Symphonies*.

[117]   Guido Adler, *Richard Wagner. Vorlesungen gehalten an der Universität zu Wien*, 2. Aufl. Munich 1923, 331 f.

[118] According to a statement of Liszt's pupil August Göllerich (*Franz Liszt*, Berlin 1908, 22 f.) Liszt told him the following : "These are very well-known intervals, which I've very often used, even in *Elizabeth*"– "When Wagner showed me *Parsifal* for the first time he exclaimed: "Well, you'll see how I have stolen from you!" – I did not know what to think. Then he sang for me the beginning of the *Excelsior*, which he had kept in his memory from the performance in Pest" – "Incidentally these are *Catholic intonations*, which I also did not invent".

[119] Cf. Arthur W. Marget, *Liszt and Parsifal*, MR XIV (1953), 107-124, esp. 111-113.

[120] According to Adler, *Wagner* (1923), 342.

[121] For details cf. Floros, *Brahms und Bruckner*.

[122] Cf. the remarks below on page page 216 f. and 244 f.

[123] In Alfred Lorenz' division of *Siegfried* the "Friedensmusik" forms the 13th "*poetical-musical*" period of the third act. Cf. Lorenz, *Die musikalische Aufbau des Bühnenfestspieles der Ring des Nibelungen* (Das Geheimnis der Form bei Richard Wagner Band I), Berlin 1924, 40 und 95/96. The "*peace melody*" was originally intended for a quartet composed in 1864 which was to be dedicated to Cosima (according to Curt von Westernhagen, *Die Entstehung des "Ring" dargestellt an den Kompositionsskizzen Richard Wagners*, Zurich and Frieburg i. Br. 1973, 208). It should be mentioned that Wagner used the thematic substance of the "peace melody" for a greater part of the *Siegfried-Idyll* (1870). Cf. Hermann W. von Waltershausen, *Das Sigfried-Idyll oder die Rückkehr zur Natur* (Musikalische Stillehre in Einzeldarstellungen Nr. 2), Munich 1920.

[124] German text cited from the text edition of *Siegfried* in GS VI, 172.

XXIII. La Gamme terrifiante

[125] Arnold Schönberg, *Harmonielehre*, 1. Aufl. Leipzig/Vienna 1911, 435-445.

[126] Rudolf Louis and Ludwig Thuille, *Harmonielehre*, 1. Aufl. 1907, 7. Aufl. Stuttgart n.d., 348-351.

[127] Cf. Edwin von der Nüll, *Moderne Harmonik*. Leipzig 1932, 30-32; Werner Danckert, *Claude Debussy*, Berlin 1950, 86-88; Hellmut Seraphin, *Debussy Kammermusikwerke der mittleren Schaffenszeit*, Phil. Diss. Erlangen, 2. Aufl. Kassel/Wilhelmhöhe 1964, 21-34; Peter Ruschenburg, *Stilkritische Untersuchungen zu den Liedern Claude Debussy*, Phil. Diss. Hamburg 1966, 132-142.

[128] Irregular expanded three-note chords can be found in Liszt's *Sonetto 104 del Petrarca* (*Année de Pèlerinage. Deuxième Année*) of 1838/39. Cf. the statement concerning Liszt's technique by August Göllerich (*Franz Liszt*, Berlin 1908, 21).

[129] Cf. Richard Wagner, *Mein Leben*, part III, GS XV, 120 f.

[130] Wagner apparently failed to notice, that the first conclusion of the Dante Symphony, which he admired, also ended "*plagally*".

[131] Ramann, *Liszt* II/2, 328.

[132] Carl Tausig (1841-1871) was the most prominent pupil of Liszt together with Hans von Bülow.

[133] According to Peter Raabe, Bemerkungen (Vorwort) to the Liszt complete edition GA VII, 3 (1922), XII.

XXIV. Rhythmic Leitmotifs

[134] E. Th. A. Hoffmann, *Schriften zur Musik, Nachlese*, ed. Friedrich Schnapp (Band V, Dünndruck-Ausgabe im Winkler-Verlag), Munich 1963, 47.

[135] Berlioz in Journal des débats Aug. 14, 1852. Cited from Wilhelm von Lenz, *Beethoven, Eine Kunststudie*, Neudruck ed. A. Chr. Kalischer, 5. bis 8. Aufl. Berlin 1922, 77.

[136] Adorno, *Mahler* (1961), 204.

[137] An undated letter of Alban Berg to his wife reveals Berg's rapturous admiration of Mahler and contains an interpretation of several passages in the opening movement of the Ninth Symphony. Cf. Alban Berg, *Briefe an seine Frau*, Munich/Vienna 1965, 238 f. This letter was first published on June 8, 1936 in the *Wiener Musikzeitschirft "23"* no. 26/27, 12.

[138] Max Chop, *Die c-moll-Symphonie als Ausgang der modernen Motivtechnik*, Beethoven-Jahrbuch II (1909), 48-74.

[139] Anton Schindler, *Biographie von Ludwig van Beethoven*, Erster Theil, 3. Aufl. Munster 1860, 158.

[140] Adolf Bernhard Marx, *Ludwig van Beethoven. Leben und Schaffen*, 1. Aufl. 1859, 6. Aufl. Berlin 1908, Zweiter Teil, 62.

[141] Wilhelm von Lenz, *Kritischer Katalog sämmtlicher Werke Ludwig van Beethovens mit Analysen derselben* (Beethoven. Eine Kunst-Studie), *Dritter Theil: II. Periode op. 21 bis op. 100, Zweite Hälfte op. 56 bis op. 100*, Hamburg 1860, 70-95.

[142] Paul Bekker, *Beethoven*, 1. Aufl. 1912, 31. bis 36. Tausand Stuttgart/Berlin 1922, 234-243.

[143] Heinrich Schenker, *Beethoven. Fünfte Sinfonie*, Vienna 1925, 7 und 35.

[144] Hugo Riemann in: Alexander Wheelock Thayer, *Ludwig van Beethovens Leben*, Band III, Leipzig 1923, 90-97.

[145] Arnold Schering, *Zur Sinndeutung der 4. und 5. Symphonie von Beethoven*, ZfMw XVI (1934), 65-83.

[146] Arnold Schering, *Zur 5. Symphonie Beethovens. Ein Nachtrag*, Allgemeine Musikzeitung Nr. 47, 1938.

[147] Karl H. Wörner, *Das Zeitalter der thematischen Prozesse in der Geschichte der Musik* (Studien zur Musikgeschichte des 19. Jahrhunderts Band 18), Regensburg 1969, 16-29.

[148] Allegro moderato bars 243-250 (horns, trumpets and timpani), bars 304-317 (horns), bars 333-335 (timpani), bars 371-373 (trumpets), bars 380-382 (trumpets and woodwinds).

[149] Vörösmarty's poetic ode has the inscription '*An Franz Liszt*' and consists of 14 strophes. The verses quoted above come from the seventh strophe.

[150] Arthus Hahn, *Franz Liszt. Symphonische Dichtungen* (Meisterführer Nr. 8), 158.

151 Georg Münzer in: *Erläuterungen zu Franz Liszts Sinfonien und Sinfonischen Dichtungen*, Leipzig 1912, 191.

152 Joseph Heinrichs, *Über den Sinn der Lisztschen Programmusik* (1929), 39, fn. 19.

153 Lina Ramann, *Liszt* II/2 (1894), 292-299.

154 Raabe, *Liszts Schaffen*, 99 f., 107 f., 228 and 302.

155 Cf. the accompanying rhythm of the Marcia funebre in *Hungaria*.

156 Raabe's thesis was taken up by Humphrey Searle (*The Music of Liszt*, 74 f.) and others and modified.

157 Cf. Berlioz/Strauss, *Instrumentationslehre*, Leipzig n.d. [1905], 326-337

158 Felix Draeseke, *Franz Liszt's neun symphonische Dichtungen*, in: Anregungen für Kunst, Leben und Wissenschaft III (1859), 404.

159 Cf. Werner Breig, *Das Schicksalskunde-Motiv im "Ring des Nebelungen". Versuch einer harmonischen Analyse*, in: *Das Drama Richard Wagners als musikalisches Kunstwerk* (Studien zur Musikgeschichte des 19. Jahrhunderts Band 23), Regensburg 1970, 223-233.

160 These are the specific passages (based on the version of 1890): Opening movement bars 25-27 trumpets once ff; bars 229-234 horns (variant) twice fff; bars 239-244 horns (variant) twice fff; bars 247-249 horns once fff; bars 255-261 trumpets three times pp; bars 271-277 trumpets three times '*sehr leise'*; bars 369-389 trumpets and horns ten times(!) ff and later fff. The rhythm is intoned as well in the finale in bars 183-211 several times by the horns fortissimo. It should be pointed out, that Bruckner's Eighth is based on a program. Cf. Floros, *Brahms und Bruckner. Studien zur musikalischen Exegetik*. See my book *Anton Bruckner. The Man and the Work* (2011), 143-147.

161 Anton Bruckner, *Gesammelte Briefe/Neue Folge*, 238

162 Hermann Teibler, *Erläuterung der Tondichtung Macbeth*, in: *Richard Strauss, Symphonien und Tondichtungen*, ed. Herwarth Walden (Schlessinger'sche Musik-Bibliothek, Meisterführer Nr. 6), Berlin n.d., 61-73, quotation 65.

163 Richard Specht, *Richard Strauss und sein Werk*, Band I, Leipzig/Vienna/Zurich 1921, 195-213.

164 Wilhelm Mauke in: *Richard Strauss – Symphonien und Tondichtungen* (Meisterführer Nr. 6), 72-91

165 Norman Del Mar, *Richard Strausss, A Critical Commentary of his Life and Works,* vol. I, London 1962, 79.

166 Cf. especially the following passages from the Fourth Symphony: 8 bars after Q and 25 bars after V.

167 Cf. Nikolai van der Pals, *Peter Tschaikowsky*, Potsdam 1940, 128.

168 Cf. above chapter XXII, 3. Van der Pals says of this coda, that it reminds one "*of a funeral march*". An exaustive Interpretation of the *Symphonie pathétique* is found in my book *Hören und verstehen. Die Sprache der Musik und ihre Deutung*, Mainz 2008, 150-157.

169 Specht, *Mahler* (1913), 292 f.

[170] Bekker, *Mahlers Sinfonien* (1921), 209.

[171] The harmonic sequence and the 'Leit' rhythm appear in combination in the following passages: in the opening movement 4 bars before line 7 and 2 bars before line 33; in the finale 7 bars before line 104, then line 107, 7 bars before line 144, line 156, line 158, 7 bars before line 165 and 3 bars before the close. – Without the rhythmic motif or other rhythms the harmonic passage appears in the following passages; in the opening movement 5 bars after line 31; in the scherzo line 102 until the close; in the finale 2 bars before line 109, then line 113, 2 bars before line 134 and 5 bars after line 134. – Without the harmonic sequence the 'Leit' rhythm is prominent in the following passages: in opening movement line 14 (four times one after the other in the timpanis), line 17 (five times one after another in the timpanis), line 18 (three times in the timpanis); in the scherzo 7 bars after line 84 (once in the timpanis); in the finale 4 bars before line 151 and 11 bars after line 162.

[172] Adorno, *Mahler* (1960), 206.

[173] Cf. for details Floros, *Gustav Mahler. The Symphonies*.

XXV. Guiding sounds (Leitklänge)

[174] Arnold Schönberg, *Harmonielehre*, 1. Aufl. Leipzig/Vienna 191, 447.

[175] Kurth, Ernst. *Romantische Harmonik und ihre Krise in Wagner's "Tristan"* (1923), 82.

[176] George Grove, *Beethoven und seine neun Symphonien* (1906), 231-235.

[177] Arnold Schering, *Beethoven und die Dichtung* (1936), 211-236, esp. 228.

[178] Franz Liszt, *Der Fliegende Holländer von Richard Wagner* (1854), GS III/2, 220-227.

[179] The tamtam is for Wagner – as well as for Liszt, Strauss, Mahler, Tchaikovsky and others – a sound symbol for the macabre and eerie, Cf. below chapter XXVI, 2.

[180] Pohl, Gesammelte Schriften II, 314 f.

[181] Studia musicologica II (1962), 130 f.

[182] Wihelm Mauke in: *Richard Strauss. Symphonien und Tondichtungen*, 46-60.

[183] Cf. Ernst Kurth, *Romantische Harmonik* (1923), 171, fn. 1.

[184] Cf. above chapter XXIV, footnote 38.

[185] Specht, *Mahler* (1913), 292 f.

[186] Bekker, *Mahlers Sinfonien* (1921), 209.

[187] Adler, *Mahler* (1916), 61.

[188] Kretzschmar, *Führer durch den Konzertsaal* I (1919), 752.

[189] Mahler conducted the F major symphony of Brahms at a concert of the Vienna Philharmonic on Dec. 3, 1899. Natalie Bauer-Lechner recorded that he was "*fascinated*" with the symphony (BL 133).

[190] Wagner, *Zum Vortrag der neunten Symphonie Beethovens*, GS IX, 231-257, esp. 241.

[191] Wagner, *Programm zu Beethovens neunter Symphonie*, GS II, 56-64.

192 Schering, *Beethoven und die Dichtung* (1936), 121-135.

193 At this point we must mention that Mahler's involvement with Beethoven's Ninth manifested itself also in another respect. It is well known, that in Beethoven's Ninth the scherzo is in second place (a further new feature!). Now it has been noted that the scherzo in Mahler's Second originally stood in second place. This becomes clear from a study of the numbers in the printed score, but also thanks to a previously unknown statement of Mahler which we placed at the beginning of chapter VI. Cf. the remarks of Erwin Ratz in the preface to the critical edition of the Second Symphony in the Mahler complete edition (Vienna 1970). J. Killian noted as well that the Andante of the Second Symphony (the second movement in the printed version) in Mahler's "original transcription" (in the Bauer-Lechner estate) is designated as the fourth movement (BL 117). On this occasion it might be also mentioned that in his final disposition of the *Symphonie fantastique* Berlioz followed the example of Beethoven's Ninth. However in this instance the result was exactly the opposite from Mahler's procedure. In the original version of the *Symphonie fantastique* the slow movement was in second place and the *Valse*, which represents the scherzo, was in third place. Only later did Berlioz - probably in view of Beethoven's model – switch the order of the movements. Cf. also Barzun Jacques, *Berlioz and the Romantic Century*, Boston, 1950, I, 157, fn. 6.

194 Cf. Martin Vogel, *Der Tristan-Akkord und die Krise der modernen Harmonie-Lehre* (Band 2 der ORPHEUS-Schriftenreihe zu Grundfragen der Musik), Düsseldorf 1962.

195 Hermann Erpf, *Studien zur Harmonie- und Klangtechnik der neueren Musik*, Leipzig 1927, 11, 51-53, 91 f., 161-167. Ernst Kurth (*Romantische Harmonik* [1923], 188 f. designated Erpf's "*Doppelleittonklänge*" with the less sussessful title "*Nebenton-einstellung*". A very good example for the "Tripelleittonklang" is found in Arnold Schönberg's cycle *Erwartung* (R. Dehmal), op. 2, no. 1 of 1899 – a composition that is built consequently on two chord series (bar models) and therefore is one of the earliest examples of the technique of the "Klangzentrum" (tonal center). Cf. Floros, *Kompositionstechnische Probleme der atonalen Music*, in: Kongressbericht Kassel 1962 (publ. 1963), 257-260.

196 Kurth, *Bruckner* (1925), 554.

197 For more details cf. Floros, *Mahler's Symphonies*.

198 In this connection it might be remarked that the exposition of the finale of the Third Symphony by Bruckner peaks in a Neapolitan Sixth chord (*Gflat6*) (in the second version of 1878 in bars 213-217).

199 Mahler himself designated the beginning of the second intonation of the theme of the chorale (one bar before line 29) as the "*Höhepunkt*" (= climax). Cf. above chapter XII, 2.

200 For more details with respect to Mahler's military signals cf. Floros, Gustav *Mahler. The Symphonies.*

201 Josef Braunstein, *Beethovens Leonore-Ouvertüren. Eine historisch-stilkritische Unter-suchung*, Leipzig 1927, 142 f.

202 Herwarth Walden, *Richard Strauss. Symphonien und Tondichtungen* (Meisterführer Nr. 6), 134.

203 Reinhard C. Muschler, *Richard Strauss* (Meister der Musik III. Band, Hildesheim n.d. [1925], 347.

204 Richard Specht, *Richard Strauss und sein Werk*, I (1921), 261.

205 *Richard Strauss und Franz Wüllner im Briefwechsel*, ed. Dietrich Kämper (Beiträge zur Rheinischen Musikgeschichte Band 51), Cologne 1963, 41.

206 Anton Bruckner, *Vorlesungen über Harmonielehre und Kontrapunkt an der Universität Wien,* ed. Ernst Schwanzara, Vienna 1950, 151.

207 In his lectures Bruckner mentioned that six sounds appeared in his symphonies, remarking: "with six sounds the third and fifth are usually omitted". According to Schwanzara, *Bruckner-Vorlesungen*, 125.

208 With respect to the "Stufenlehre" of Bruckner's teacher Simon Sechter cf. Ernst Tittel, *Wiener Musiktheorie von Fux bis Schönberg*, in: *Beiträge zur Musiktheorie des 19. Jahrhunderts* (Studien zur Musikgeschichte des 19. Jahrhunderts Band 4), Regensburg 1966 163-201.

209 Alfred Orel, *Ein Harmonielehrekolleg bei Anton Bruckner*, Berlin/Vienna, Zurich 1940, 48-54. Cf. also Ernst Schwanara, *Bruckner-Vorlesungen*, 108.

210 Anton von Webern already pointed out the use of an eleven-note sound in Schönberg's *Erwartung* in bars 283-383 in 1912. Cf. his article *Schönbergs Musik* in: Sammelband *Arnold Schönberg*, Munich 1912, 22-48, esp. 46. With respect to the 12-note sound in Berg's *Über die Grenzen des All* cf. Ernst Křenek in Willi Reich, *Alban Berg*, Vienna/Leipzig/Zurich n.d. [1937], 43-47, esp. 46 and Hans Ferdinand Redlich, *Versuch einer Würdigung*, Vienna/Zurich/London 1957, 83 f. Alban Berg used a nine-note sound as the chiffer of his love of his wife in a letter to her from March 10, 1914. Cf. Alban Berg, *Briefe an seine Frau*, Munich/Vienna 1965, 244-247.

211 Wihelm von Lenz, *Kritischer Katalog sämmtlicher Werke Ludwig van Beethovens mit Analysen derselben, Dritter Theil, II. Periode op. 21 bis op. 100, Zweite Hälfte op. 56 bis op. 100*, Hamburg 1860, 256: "… diese seine oft gebrauchte Schreckensnote … hat hier einen humoristischen (militärisch-übermüthigen) Sinn."

212 Grove, *Beethoven und seine neun Symphonien* (1906), 272.

213 Kretzschmar, *Führer durch den Konzertsaal* I (1919), 238.

214 Arnold Schering, *Humor, Heldentum, Tragik bei Beethoven, Über einige Grundsymbole der Tonsprache Beethovens. Mit einem Vorwort von Helmuth Osthoff* (Collection d'études musicologiques v. 32) Strassburg/Kehl 1955, 29-36.

215 The movement is a sonata rondo with the structure: exposition (bars 1-90); development I (bars 91-161); reprise I (bars 161-266); development II (bars 267-355); reprise II (bars 355-437); coda (bars 438-502).

216 12 and 16 bars after line 4, 12 bars after line 12, line 13, line 23 and 9 bars after line 35.

XXVI. Idiophonic sound symbols

[217] Liszt to Alexander Ritter on 4.12.1856 (FLB I, 245).

[218] Arnold Schering, *Symbol in der Musik*, in: Zeitschrift für Ästhetik und allgemeine Kunstwissenschaft XXI (1927), 379-388, Cf. above chapter XVI, 2.

[219] For example Horst Goerges, *Das Klangsymbol des Todes im dramatischen Werk Mozarts. Studien über ein klangsymbolisches Problem und seine musikalische Gestaltung durch Bach, Händel, Gluck und Mozart* (Kieler Beiträge zur Musikwissenschaft Heft 5), Wolfenbüttel/Berlin 1937.

[220] Especially noteworthy with respect to the Brahm's attitude towards the notorious use of percussion instruments among the "New Germans" is the fact that within his symphonic oeuvres he employed as an exception two contrabassons, three timpanis and a triangle in the *Allegro giocoso* of the Fourth Symphony (1855), a movement with a pronounced march-like character, but neither a military drum nor the large drum.

[221] Claude Debussy, *Du goût*, in: Revue musicale S.I.M., Feb. 15, 1913. Quoted from Debussy, *Monsieur Croche et autres écrits*, Paris 1971, 223.

[222] Cf. Christoph Caskel, article *Schlaginstrumente* in MGG XI (1963), Sp. 1806; article *Tamtam* in RiemannL Sachteil, Mainz 1967, 935; Peter Hyde Tanner, *Timpani and Percussion Writing in the Works of Hector Berlioz*, Phil. Diss. The Catholic Universtity of America (Studies in Music no. 30), Washington 1967, 31.

[223] *Berlioz's Orchestration Treatise: A Translation and Commentary*, ed. H. Hugh Macdonald, Cambridge/ New York 2002, 286.

[224] The example cited by Berlioz from Meyerbeer's *Robert* is a four part chorale.

[225] Tanner, *Timpani and Percussion Writing*, 224-229.

[226] Regarding the instrumentation in the art works of Wagner cf. Egon Voss, *Studien zur Instrumentation Richard Wagners* (Studien zur Musikgeschichte des 19. Jahrhunderts Band 24), Regensburg 1970, with some comments on the use of the tamtam in the *Flying Dutchman* and in *Rheingold*.

[227] The formal arrangement and instrumentation of the *Andante mesto* of the *Mountain Symphony* in the final version differs substantially from the first version. Cf. the musical examples in Raabe, *Die Entstehungsgeschichte der ersten Orchesterwerke Franz Liszts* (1916), 53 f.

[228] Cf. chapter XXI, 3 and Table XLIX

[229] Eulenburg score, Edition no. 441 = U.E. 1075 W.Ph.V. 240.

[230] Cf. above page 230f. and 243f.

[231] Small Eulenburg score (Symphonien No. 42 = U.E. 1078 E.E. 3501), 97.

[232] Cf. as well the interpretation of Hugo Riemann, who was of the opinion that the tamtam beat marked the moment when those suffering "on the field honoring wounded and dying heros"(!) find "their end". Cf. Peter Tschaikowsky's *Orchesterwerke* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 14), Berlin/Vienna n.d., 57.

[233] Alban Berg, *Kurze thematische Analyse* der symphonischen Dichtung *Pelleas und Melisande* von Arnold Schönberg, Vienna-Leipzig n.d. [1920], 8.

234 This special meaning of the tamtam beat was missed by Pierre Jean Jouve and Michel Fano (*Wozzeck ou le nouvel opéra*, Paris 1953, 150 f.) in their extended study about tone symbolism in *Wozzeck.*

235 Jean Paul, *complete works* XL, Berlin 1827, 16.

236 Jean Paul, *complete works* XI, Berlin 1826, 123.

237 *Berlioz's Orchestration Treatise: A Translation and Commentary*, ed. H. Hugh Macdonald, Cambridge/New York 2002, 274. With respect to the 'scientific interest' of Berlioz in bells cf. Tanner, *Timpani and Percussion Writing*, 229/230.

238 In the score of the symphonic epilogue *Triomphe funèbre du Tasse* "*deep bells or the tamtam*" are called for at 6 bars after "S".

239 Cf. Adolf Bernhard Marx, *Die Lehre von der musikalischen Komposition*, third part, Leipzig 1879, 561.

240 Cf. Mahler's letter to Anna von Mildenburg from Dec. 8, 1895 (GMB 157 f.).

241 The title "*Was mir die Morgenglocken erzählen*" is found in the full score sketch for the choir of angels of the third movement of the Third Symphony (now in the Cary Collection no. 140a of the Piermont Morgan Library in New York) and in the programmatic sketch which Mahler sent his friends Dr. Fritz Löhr and Dr. Arnold Berliner in August of 1895 (GMB 108 and 140). The title "*Was mir die Engel erzählen*" appears in the programmatic sketch which Mahler gave to Max Marschalk on August 6, 1896 (GMB 198). The more extended title "*Was mir die Morgenglocken erzählen (Die Engel)*" is contained in the programmatic sketch recorded by Bauer-Lechner in the summer of 1895 (BL 20 and 42/Anm.) and it is also found in the sketch which Mahler gave to Fritz Löhr on August 29, 1895 (GMB 107). With respect to the full score sketch of the three movements of the Third Symphony cf. Otto E. Albrecht, Herbert Cahoon und Douglas C. Ewing (eds): *The Mary Flagler Cary Music Collection*, The Piermont Morgan Library New York 1970, 105. Cf. the review by Susan T. Sommer in Notes 28 (1972), 681 f. and the article by Otto E. Albrecht, *Musical Treasures in the Morgan Library* , Notes 28, 643-651.

242 Cf. Floros, *Mahler's Symphonies.*

243 That the glockenspiel in this passage has the semantics of a symbol of eternity is confirmed by a previous unnoticed comment of Mahler (according to Bauer-Lechner), which the author became aware of only after completing the present study. It reads: [With respect to the appropriate performance of the *Urlicht*] I used the voice and the simple expressions of a child as I myself on hearing the peal of bells thought about the souls in heaven, where they transformed into children after a person's death and they must begin anew." Cf. Floros, *Die geistige Welt Gustav Mahlers*, 196.

244 Mahler was extremely disappointed by the misunderstanding and rejections by the public and by the critics after the first performance of his First Symphony. He expressed his feelings to Bauer-Lechner (BL 152) and in a letter to Alma of 1903 (AME 285).

245 The first performance of the Seventh Symphony took place on Sept. 19, 1908 in Prague. The work was performed in Munich for the first time on October 26, 1908.

246 Edgar Istel, *Persönlichkeit und Leben Gustav Mahlers*, in: *Mahlers Symphonien* (Schlesinger'sche Musik-Bibliothek, Meisterführer Nr. 10), Berlin-Vienna n.d. (1910), 12

f. – Paul Stefan, *Mahler* (1912), 104 and Guido Adler, *Mahler* (1916), 72 repeat Mahler's comment – apparently based on Istel – in a condensed form.

[247] That Strauss was influenced in his use of cowbells in the *Alpine Symphony* by Mahler's Sixth and Seventh Symphonies is reveals first of all by the use of expressions characteristic of Mahler in his score 4 bars before line 51 to line 56. They read: "*leise, wie von Ferne*", "*verschwindend*", "*stärker einsetzen*", "*schwäche*r", "*verschwindend*", "*leise*", "*leise beginnen*", "*stärker*", "*stark*", "*abnehmen*", "*immer schwächer*", "*etwas stärker beginnen*", "*ganz verschwinden*". As an argument *ex silentio* is the observation that Struass did not use cowbells in *Don Quixote* (1897) although the program of the composition (Don Quixote's fight with the sheep herders) would have given him an opportunity.

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BERLIOZ, *Symphonie fantastique* (1830), Finale, GA I, 138-141
Dies irae et Ronde du sabbat (ensemble)

Table II
Contrapuntal Interweaving of Contrasting Themes

BERLIOZ, *Harold Symphony* (1834), March of the Pilgrims, GA II, 66 f.
Solo viola has the *Harold* theme, the strings play the 'chorale' of the pilgrims.

Table III
Contrapuntal Interweaving of Contrasting Themes

BERLIOZ, *Roméo et Juliette* (1839), second part, GA III, 67-69
The rhythmical Allegro-theme, played by the first flute, first violin and viola, is the theme of the ballet music (Shakespeare, Act I, 5); the Larghetto-theme, performed in elongated note values by the piccolo, second flute, oboes, clarinets, bassoons, horns, cornets and first trombone, refers to the passage in the ballet scene when Romeo sees Juliette for the first time.

Réunion des deux Thèmes, du Larghetto et de l'Allegro.
Vereinigung der zwei Themen, des Larghetto und des Allegro.
The two themes, Larghetto and Allegro combined.

Table IV
Contrapuntal Interweaving of Contrasting Themes

LISZT, *Tasso, Lamento e Trionfo* (1849), GA I, 1, 189 f.
The woodwinds play a minuet-like passage which refers to the music of the Ferrara court; the two solo cellos play the Tasso theme.

Hier nimmt der Vortrag des Orchesters einen doppelten Charakter an: die Bläser leicht und flatterhaft; die singenden Streich-Instrumente sentimental und graziös.
Here the orchestra assumes a dual character: the wind-instruments lightly and flutteringly; the cantabile stringed instruments sentimentally and gracefully.
L'exécution de l'orchestre prend ici un double caractère: les joueurs d'instruments à vent d'une façon légère et volage, les instruments chantants à archet d'une façon sentimentale et gracieuse.

F. L. 2.

F. L. 2.

Table V
Contrapuntal Interweaving of Contrasting Themes

BRUCKNER, Third Symphony, Finale: polka-like section for strings and a chorale-like passage for the winds = 'Frohsinn und Ernst der Welt'
With kind permission of the Musikwissenschaftlicher Verlag of the International Bruckner Society, Vienna 1959, GA vol. III/3 (Nowak edition), 151

Table VI
Contrapuntal Interweaving of Contrasting Themes

BRUCKNER, Fourth Symphony, opening movement, second thematic complex:
Birdcall of the 'great tit' (*Zizipe*) in the first violin; the melody in the viola in contrast
expresses the '*feeling of happiness*' of the wanderer in the forest.
With kind permission of the Musikwissenschaftlicher Verlag of the International Bruckner
Society, Vienna 1953, GA vol. IV/2 (Nowak edition), 8

The curse motif rhythm ℂ 𝄾 ♫ – (con furore)
in the concert movement *Malédiction*, GA I, 13, 183

Malediction für Klavier solo und Streichinstrumente.

Malediction
for Piano solo and String-Instruments.

Malédiction
pour Piano solo et Instruments à cordes.

Malédiction
zongorára és vonóshangszerekre.

F. Liszt.

The *orgueil*-theme with the curse motif rhythm in the concert movement *Malédiction*, GA I, 13, 184

The Malédiction theme in the Mephisto movement of the Faust Symphony, GA I, 8-9, 124

322

The Mephisto emblem (tritone with chromatic 'filling') at the beginning of the third movement of the Faust Symphony, GA I, 8-9, 103

Mephisto movememt, GA I, 8-9, 107:
Curse motif rhythm in the winds, Mephisto – sixlets in the violins

Table X
Mephisto and curse motifs in the Faust Symphony of Liszt (cont.)
Mephisto movement, GA I, 8-9, 178-179

Mephisto emblem appears three times in augmentation and in contrary motion, the curse motif rhythm as an 'opening'

Table XI

Instrumental Recitative and Arioso
Ostinato as a recurring 'sigh' motif
Music from afar
MAHLER, Second Symphony, Finale, no. 22, GA II, 175
With kind permission of Universal Edition, A.G., Vienna

Table XII
Chorale

MAHLER, Second Symphony, Finale, GA II, 148: the *Dies irae* theme as the antecedent phrase, the Resurrection theme as the consequent phrase
With the kind permission of Universal Edition A.G., Vienna

Table XIII

The Hymn as a movement type

A Benedictus theme in Bruckner and Mahler

BRUCKNER
F minor Mass
Benedictus
bars 18-22

MAHLER
Sixth Symphony
Finale
4 bars after no. 139

ibid., no. 161

ibid., no. 162
(the theme in
reverse)

MAHLER
Eighth Symphony
Part II
4 bars before no. 36

Table XIV
Song without Words

MAHLER, Third Symphony (1895/96), opening movement no. 39

First 'Strophe'
antecedent phrase

consequent phrase

Second 'Strophe'
antecedent phrase

consequent phrase

Table XV
Song without Words

MAHLER, Fifth Symphony (1901/02), Rondo-Finale

antecedent phrase ("Stollen")

consequent phrase ("Gegenstollen")

conclusion ("Abgesang")

Table XVI

Marziale

MAHLER, Second Symphony, Finale, GA II. 158
March-like theme derived from the *Dies irae* – motif
With the kind permission of Universal Edition A.G., Vienna

Table XVII
Funeral Music with Tamtam
MAHLER, Second Symphony, opening movement ("*Todtenfeier*"), GA II, 13
With the kind permission of Universal Edition A.G., Vienna

Table XVIII

Funeral Music with Tamtam

MAHLER, Ninth Symphony, opening movement, GA X, 49
With the kind permission of Universal Edition A.G., Vienna

Table XIX
Pastorale

BEETHOVEN, Sixth Symphony op. 68 (1807/08), opening movement, conclusion of the exposition: 'call of the alp horn' in the woodwinds, passages in the lydian fourths in the violins, burden bass in the horns and the deep strings

Table XX
Pastorale

LISZT, *Les Préludes* (1854), Allegretto pastorale, GA I, 2, 85 f.
The expressive theme of the first violin is the love theme (in the male chorus *La Terre* it
appears with the verses "*tous les êtres amoureux*"); the pentatonic accompanying motif of the
violas and the cellos is a pastorale motif.

P. L. 2.

P. L. 3.

Table XXI
Pastorale
BRAHMS, Third Symphony op. 90 (1883), opening movement, secondary theme, GA II, 4 f.

MAHLER, Second Symphony, opening movement ("*Todtenfeie*r"), GA II, 16
The motif of the English horn recalls the magic sleep motif from Wagner's *Walküre*.
With the kind permission of Universal Edition A.G., Vienna

Table XXIII

Pastorale (cont.)

MAHLER, Second Symphony, opening movement ("*Todtenfeier*"), GA II, 17
With the kind permission of Universal Edition A.G., Vienna

MAHLER, Fourth Symphony (1900), Finale: "*Wir geniessen die himmlischen Freuden*", GA
IV, 121

Table XXV
Scherzo and Scherzando

BEETHOVEN, Ninth Symphony, 2nd movement

MAHLER, Second Symphony, 2nd movement / "Trio" (in the style of a scherzo), no. 3, "Nicht eilen. Sehr gemächlich"

BIZET, *L'Arlésienne*, second suite, Pastorale

MAHLER, Third Symphony, 2nd movement / "Trio" (in a scherzo-like manner), no. 3

MAHLER, Third Symphony, 3rd movement: Scherzando; original title: "*Was mir die Tiere im Walde erzählen*"; the oboe imitates the quail
With the kind permission of Universal Edition A.G., Vienna
GA III, 134 (U.E. 2939 = U.E. 13822)

Table XXVI

Menuett

BIZET, *L'Arlésienne*, 2nd suite, Menuett
With kind permission of the Edition Eulenburg (Nr. 829)

MAHLER, Third Symphony, 2nd movement; original title "*Was das Kind erzählt*" (1895) and
"*Was mir die Blumen auf der Wiese erzählen*" (1895)

MAHLER, *Das Lied von der Erde*, 4th movement: *Von der Schönheit*, GA IX, 61
With the kind permission of Universal Edition A.G., Vienna
GA III, 105 (U.E. 2939 = U.E. 13822)

Table XXVII
"Gemächliche" Ländler

MAHLER, Second Symphony, 2nd movement, GA II, 57

MAHLER, Ninth Symphony, 2nd movement, GA X, 61
With the kind permission of Universal Edition A.G., Vienna as a comparison:

SCHUBERT, Seventeen Ländler, op. 9 (D.366), GA XII, 91

SCHUBERT, ebenda, GA XII, 92

Table XXVIII
Contrapuntal Interweaving of Ländler Melodies

MAHLER, Fourth Symphony, 2nd movement, GA IV, 66
The first violin plays the "*slow*" Ländler; the contrasting theme in the woodwinds is a
"*gemächlicher*" Ländler. With the kind permission of Universal Edition A.G., Vienna

U. E. 2944

Table XXIX
Contrapuntal Interweaving of Ländler Melodies

MAHLER, Ninth Symphony, 2nd movement, GA X, 75 f.
Horn, first violin and first oboe play the "*slow*" Ländler; the contrasting theme (bassoon, cellos, 2nd violin and clarinets) is a "*gemächlicher*" Ländler.
With the kind permission of Universal Edition A.G., Vienna

Table XXX

Ländler

BRUCKNER, Fourth Symphony (2nd version of 1878), Trio: "*Tanzweise während der Mahlzeit auf der Jagd*"

MAHLER, Second Symphony, 3rd movement, 2 bars before no. 31

MAHLER, *Rheinlegendchen* (1892/93), bars 17-24

Ländler from Stumm in Zillertal/Tirol
(Zoder's Volkstanzarchiv in Vienna 35, no. 5)

DOUBLE THEMES IN STYLE OF THE LÄNDLER
BRUCKNER, Third Symphony (2nd version of 1878), Trio

MAHLER, First Symphony, Trio

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Table XXXI

Waltz

MAHLER, Fifth Symphony, 3rd movement, "Scherzo", GA V, 118
With kind permission of the C. F. Peters Verlag, Frankfurt/New York/London

Table XXXII
Waltz (cont.)

MAHLER, Seventh Symphony, 3rd movement, GA VII, 143
With kind permission of the Bote & Bock Verlag

MAHLER, Ninth Symphony, 2nd movement, GA X, 66
With the kind permission of Universal Edition A.G., Vienna

Table XXXIII
VALSE

BERLIOZ, *Symphonie fantastique* (1830), 2ⁿᵈ movement, *Un bal* (*Valse*), GA I, 37

*) Le signe ⌣ indique qu'il faut traîner le son d'une note à l'autre. (H. Berlioz.)
Das Zeichen ⌣ bedeutet, daß der Ton von einer Note zur andern herabgezogen werden soll.
The sign ⌣ indicates that the tone should be drawn down from one note to the other.

TCHAIKOVSKY, Fifth Symphony op. 64 (1883), 3ʳᵈ movement, *Valse*

MAHLER, First Symphony (1888/93), 2ⁿᵈ movement, no. 20

TCHAIKOVSKY, Fifth Symphony, *Valse*, bars 20-27

MAHLER, Fourth Symphony (1900), 3ʳᵈ movement, bars 246-253

Table XXXIV
VALSE

MAHLER, Fifth Symphony, 3rd movement, GA V, 126
With kind permission of the C. F. Peters Verlag, Frankfurt/New York/London

Table XXXV
Birdsongs in Berlioz

SYMPHONIE FASTASTIQUE (1830), 3rd movement, *Scène aux champs*, GA I, 64: imitation of the nightingale and the quail after the model of Beethoven's "*Scene am Bach*"

Table XXXVI
The "*Birds of the Night*"

Tawny Owl and Owl Calls in Mahler

Second Symphony
Finale no. 29

Third Symphony
Midnight Song
no. 2

ibid., no. 8

Um Mitternacht
(text: Rückert)
no. 2

Seventh Symphony
Nachtmusik I
2 bars before no. 99

Eighth Symphony
Part I, no. 20

Der Abschied
no. 20

Table XXXVII

"Music from afar"

The "*bird of death*": song of the nightingale as the "*echo of earthy life*"

MAHLER, Second Symphony, Finale: "*Der grosse Appell*", GA II, 185
With the kind permission of Universal Edition A.G., Vienna

Table XXXVIII
The "*bird of death*": song of the nightingale as the "*echo of earthy life*"

MAHLER, Second Symphony, Finale: "*Der grosse Appell*", GA II, 186
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Table XXXIX
Birdcalls in Mahler

The third (last) "*bird concert*" in the first *Nachtmusik* of the Seventh Symphony, GA VII, 116
With kind permission of the Bote & Bock Verlag

Table XL
Birdcalls in Mahler

The third (last) "*bird concert*" in the first *Nachtmusik* of the Seventh Symphony, GA VII, 117
With kind permission of the Bote & Bock Verlag

Table XLI

Sigh Formations with similar meanings

BRAHMS, *German Requiem*, 3rd movement
Herr, lehre doch mich, dass ein Ende mit mir
haben muss und mein Leben ein Ziel hat und
ich davon muss

MAHLER, *Das klagende Lied* (1880), no. 8-9
…da liegt ein blonder Rittersmann unter
Blättern und Blüthen begraben.

ibid., no. 28
Um ein schönfarbig Blümelein hat mich mein
Bruder erschlagen!

STRAUSS, *Death and Transfiguration* (1889), bars 54-61

MAHLER, Second Symphony, opening movement, 8 bars after no. 6

ibid., 6 bars after no. 11

MAHLER, Second Symphony, Finale, no. 7

ibid., no. 39

ibid., no. 22

MAHLER, Ninth Symphony,
opening movement, bars 130-132

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Table XLII

'SCREAMS' AND CRIES OF PAIN

LISZT, Mountain Symphony, GA I, 1, 26 f.

zweimal
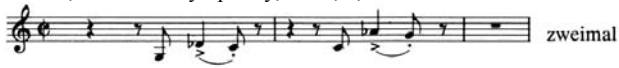
MAHLER, Second Symphony (1894), Finale, 1 bar after no. 14

MAHLER, Fifth Symphony (1901/02), opening movement, no. 15

MAHLER, Fifth Symphony, 2nd movment, bars 6-10

MAHLER, Fifth Symphony, ebenda, 1 bar after no. 11

MAHLER, Sixth Symphony (1903/04), Finale, 4 bars after no. 104

CRIES OF JOY

WAGNER, *Tristan*, Act III, First scene

(Engl. horn in the theatre)

MAHLER, *Das klagende Lied* (1880), *Wedding Piece*, no. 46

Table XLIII
Calls with Echoes

BERLIOZ, *Symphonie fantastique* (1830), *Scène aux champs*, GA I, 60

MAHLER, Seventh Symphony (1904/05), *Nachtmusik* I, GA VII, 81
With kind permission of the Bote & Bock Verlag

MAHLER, Fifth Symphony (1901/02), Scherzo, GA V. 168
With kind permission of the C. F. Peters Verlag, Frankfurt/New York/London (from EP 3087a)

Table XLIV
Tone Painting of Sleep Motifs

MAHLER, Third Symphony (1896), opening movement, 3 bars before no. 10
GA III, 14 and 23 (U.E.2939=U.E.13822)

ebenda 5 bars after no. 17

STRAUSS, *Don Quixote* (1897), conclusion of fourth variation (Sancho Panza goes to sleep)
(U.E.1132, 99)
With the kind permission of Universal Edition A.G., Vienna

MAHLER, *Der Abschied* (1908), 3 bars after no. 15
GA IX, 105-106 (U.E.3392.3637)

Table XLV

Tone Painting of Sleep Motifs

MAHLER, *Der Abschied* (1908), GA IX, 108
With the kind permission of Universal Edition A.G., Vienna
Bird Calls

Table XLVI
Diabolus in musica:
The symbol of the sinister in Liszt's music

Tritone as a Lucifer and Inferno Emblem
Dante Sonata (1849), GA II, 6, 96

Tritone as a Symbol of a bad omen
"*Unstern*", GA II, 9, 170

Table XLVII

Diabolus in musica:
The symbol of the sinister in Liszt's music

'Wholetone scale' four note chord as a symbol of the underworld
Requiem for Male Voices (1868), Offertorium, GA V, 3, 86

'Wholetone scale' four note chord as a symbol of a curse
Malédiction for piano and strings, GA I, 13, 183

Four-note chord with tritone as a symbol for the audacity (*audace*) of the Titan:
Prometheus (1855)

Table XLVIII
Diabolus in musica:
The symbol of the sinister in Liszt's music

Tritone motif as symbol of suffering (*souffrance*)
Prometheus (1855), GA I, 3, 6 f.

Tritone motif used to symbolize pain and the grave
Zum Grabe: *Die Wiege des zukünftigen Lebens* (1881), GA I, 10. 178

Tritone as symbol for the spooky and unearthly
Lenore (1857 or 1858), GA VII, 3, 152

*) Jeden Vers nach dem Anschlag des Akkords sprechen während dieser Zeilen und der 2 folgenden Seiten.

F. L. VII 104.

Table XLIX

Diabolus in musica:
The symbol of the sinister in Liszt's music

Tritone as symbol of suffering and death
Tamtam as an idiophonic sound symbol for death
Hungaria (1848/1856), GA I, 5, 63

Table L

Diabolus in musica: The symbol of the sinister in Liszt's music

Tritone as symbol for raging

Der Tanz in der Dorfschenke (1860), GA I, 10, 57

The Legend of St. Elisabeth (1862), Part II, no. 5

'Reminiscences' of "*das Toben auf wildem Schmerzensmeer*"

Table LI
Diabolus in musica:
The symbol of the sinister in Liszt's music
Tritone as a symbol of doubt
Second Mephisto Waltz (1880/81), conclusion GA I, 10, 160
Liszt's explanation of the passage (FLB II, 316):
Viser haut n'est pas défendu: atteindre le but reste le point d'interrogation, à peu près comme la terminaison de la Valse Méphistophélique sur si fa, intervalles accusés dès les prèmieres mesures du même morceau.

Table LII
The Inferno Motif in the Dante Symphony of Liszt, GA I, 7

"Motif" I
The beginning and conclusion of this "motif" form a tritone, the symbol of Lucifer
bars 22-25

"Motif" II
bars 64-72

"Motif" III
bars 71-76

"Motif" IV
bars 163-175

Table LIII
The Inferno Motif in the Dante Symphony of Liszt (cont.)

"Motif" V
The Lucifer symbol in chromatic and 'diatonic' versions, bars 269-278

Contrapuntal Doublings
The Inferno 'triplets' (Motif I) with the Lucifer symbol (Motif V), bars 53-55

Table LIV
"Metamorphosis" of Liszt's Inferno motifs in the Finale of the First Symphony of Mahler

LISZT, Dante Symphony, *Inferno*, bars 22-25
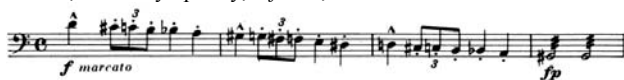
MAHLER, D*all'Inferno*, 5 bars before no. 2

ibid., 3 bars after no. 3

LISZT, *Inferno*, bars 163-170

MAHLER, *Dall'Inferno*, no. 22

diabolus in musica

Series of swelling Brass Sounds

LISZT, *Inferno*, bars 43-46

MAHLER, *Dall'Inferno*, bar 12

Cf. Richard Strauss, *Ein Heldenleben* (1898), 3 bars before no. 97.

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Table LV
Motivic Combinations in Mahler

"BATTLE" OF CONTRASTING MOTIVIC SYMBOLS
First Symphony, Finale: *Dall'Inferno al Paradiso*, no. 32 (GA I, 132)
"colliding" of Inferno and Paradiso

Inferno-Triplets   *diabolus in music*

Cross motif   Cross motif

SERIALIZATION OF MOTIVIC SYMBOLS
Second Symphony, Finale, 8 bars before no. 19
(cf. as well the opening movement, 8 bars before no. 17)

Dies irae

Resurrection motif   Cross motif

Resurrection motif   Eternity motif

Dies irae   *Dies irae*

re: *Dies irae* cf. Table XII; for the Resurrection motifs cf. Table XXXVIII; for the Cross motif cf. Table LVII; for Eternity motif cf. Table LVIII.

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Table LVI
Motivic Combinations in Mahler

CONTRAPUNTAL COUPLING OF MOTIVIC SYMBOLS

Second Symphony, Finale, no. 20
The triplets in the woodwinds represent the Inferno (cf. Table LIV); the trumpets play a
variation with the tritone of the *Dies irae* motif; the trombones have the "*terrifying fanfare*"
(cf. chapter XXV,3)

Second Symphony, Finale, no. 26
'Sigh' formations in the Faith Theme in the high strings,
diabolus in musica in the cellos and contrabasses.
With the kind permission of Universal Edition A.G., Vienna (U.E. 2933)

Table LVII
The "*Tonal Symbol of the Cross*"
in Liszt, Wagner, Mahler and Tchaikovsky

LISZT, Elegy *Les Morts* (1860/66), GA I, 12, 76 f.

WAGNER, *Parsifal* (1882), Holy Grail Theme
Motif of the Cross + Dresden Amen

MAHLER, First Symphony (1888), Finale, 1 bar before no. 53

MAHLER, Second Symphony, opening movement (= "*Todtenfeier*"), no. 5

TCHAIKOVSKY, *Pathétique*, opening movement, Epilogue

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Table LVIII
Eternity Motifs in Wagner and Mahler

WAGNER
Siegfried
Act III

ibid.

MAHLER
2nd Symphony
Finale
7 bars after no. 49

ibid., no. 28
(chromatic
variation)
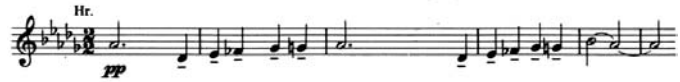
ibid. no. 47
(augmentation)

MAHLER
Fourth Symphony
3rd mov., no. 13

ibid., bars 344-350

MAHLER
Eighth Symphony
Part II
2 bars after no. 198

Der traurige Mönch

Ballade von Nicolaus Lenau
mit melodramatischer Pianoforte - Begleitung zur Deklamation.

Frau Franziska Ritter geb. Wagner gewidmet.

Franz Liszt.
(Vertont im Oktober 1860.)

In Schweden steht ein grauer Turm,
Herbergend Eulen, Aare;

F. L. VII 105.

Table LX

La Gamme terrifiante
from the history of the whole tone scale

LISZT, *Der trauige Mönch*, GA VII, 3, 164

Gespielt mit Regen, Blitz und Sturm
Hat er neunhundert Jahre;
Was je von Menschen hauste drin,
Mit Lust und Leid, ist längst dahin.

Verrufen ist der Turm im Land,
Daß Nachts, bei hellem Lichte,

F. L. VII 105.

Table LXI

'Leit' Rhythm in Beethoven and Liszt

BEETHOVEN, Fifth Symphony op. 67 (1808): "Rhythm of Fate"

3rd movement, bars 19-26

Finale, bars 45-48

LISZT, Piano Concerto in Eflat Major (1849)

4th movement (GA I, 13, 34)

eight times

note: "*the rhythm of the first motif in the timpani precisely and sharply marked*"

LISZT, *Hungaria* (1854): heroic 'Leit' rhythm

bars 208-215, 243-250, 304-317, 371-373, 380-382, 425-453, 547-562, 563-574, 675-679

LISZT, *Die Ideale* (1857): 2nd movement: *Enttäuschung*, letter "U"

three times

Table LXII
Various Forms of the "wavering" 'Leit' Rhythm
in Liszt's *Hamlet* (1858), GA I, 5
Semantics: *To be nor not to be*

Beginning

bar 83 ff. twice

bar 41 ff. three times

bar 346 ff.

bar 225 ff. several times

bar 232 ff. several times

bar 369 ff. three times

Table LXIII

A "Fighting' Rhyhm in Liszt and Tchaikovsky

LISZT, *Tasso, Lamento e Trionfo* (1849), GA I, 1, 152

ibid., 205

LISZT, *Prometheus* (1855), GA I, 3, 8 accompanying rhythm

LISZT, *Der Kampf um's Dasein* (1881), GA I, 10, 165

TCHAIKOVSKY, *Roméo et Juliette* (1869/1870/1880), bar 111 ff.

TCHAIKOVSKY, *Francesca da Rimini* op. 32 (1876), bar 504 ff.

TCHAIKOVSKY, *Symphonie pathétique* op. 74 (1893), opening movement, development

Table LXIV

Rhythm of Death in Wagner and Bruckner

WAGNER, *Götterdämmerung* (1874), funeral march after death of Siegfried

ibid.

compare to Wagner's funeral march:

LISZT, *Eine Faust Symphonie* (1854), *Gretchen*, 4 bars after J

BRUCKNER, Eighth Symphony, first version (1887), bar 389 ff, "*die Todesverkündung*"

ibid., second version (1890), letter V: the rhythm 10 times in a row

Table LXV
"Fate Rhythm" in Tchaikovsky

Fourth Symphony op. 36 (1877), beginning

Symphonie pathétique op. 74 (1893), opening mov., beginning of development

Fifth Symphony op. 64 (1888)
Various forms of the Fate Rhythm which appear in all the movements as an *idée fixe* in the manner of Berlioz
Opening movement, beginning

2nd movement (*Andante cantabile*)

ibid.

3rd movement (*Valse*), letter P

Finale, beginning

ibid., bar 16-19

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Table LXVI
Rhythm of Death in Richard Strauss

Macbeth op. 23 (first version: 1888)

bars 84, 88, 92, 94

bars 374, 376, 382, 384

bar 366

bars 473, 479

bars 354, 360, 362

bars 403-406

bars 427 f.

bar 97 ff.

Death and Transfiguration op. 24 (1889)

bars 1-4 (four times)

bars 6-8 (three times)
bars 365-374 (10 times)

bars 121 f., 287 f., 296 f.

bar 76 f.

bars 270 f., 278 f.

Table LXVII
'Leit' Rhythms in Mahler

The "Fate Rhythm" in the Sixth Symphony (1903/04)

OPENING MOVEMENT
bars 57-60 (twice)
bars 332-335 (twice)

bars 123b-131 (four times)
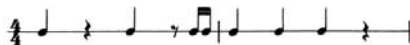
bars 152-174 (9 times)
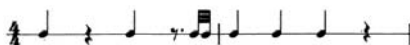
SCHERZO
bars 228-231

FINALE
bar 65 f.
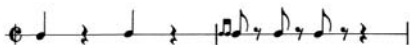
bars 622-625 (twice)
bars 668 f., 686 f.,
bars 754-759

bars 9-14
bars 530-535

bars 783-788

bars 820 f.

The 'Leit' Rhythm in combination with the Major-Minor Shift
OPENING MOVEMENT bars 57-60

Table LXVIII
'Leit' Rhythm in Mahler

The Rhythm of Death in the Ninth Symphony (1909/10)

OPENING MOVEMENT

bars 1-2, 4-5

bars 4, 83, 100, 187, 286
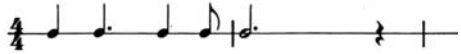
bars 117-120

bars 108-110

bars 304 (horn), 307 (2nd violin)

bars 314-322

FINALE bars 122-124

Table LXIX
The Major-Minor Motivic Shift in Schubert, Mahler, Strauss and Brahms

SCHUBERT
String Quartet
G major op. 161
(1826)

MAHLER
Second Symphony (1894)
Opening movement
2 bars before no. 27

MAHLER
Third Symphony
(1895/96)
4th movement no. 4

MAHLER
Sixth Symphony
(1903/04)
Opening movement
2 bars before no. 7

Table LXX
The Major-Minor Motivic Shift in Schubert, Mahler, Strauss and Brahms (cont.)

MAHLER
Seventh Symphony
(1904/05)
Nachtmusik I
2 bars before no. 92

STRAUSS
*Also sprach
Zarathustra* (1896)
Beginning

SCHUBERT
String Quintet
C major op. 163 (1828)
Beginning

BRAHMS
Third Symphony
(1883)
Beginning

Table LXXI
The "*terrifying fanfare*" (Wagner GS IX, 241)
in Beethoven's Ninth Symphony

Finale, beginning

Table LXXII

The "*terrifying fanfare*"
in Mahler's Second Symphony
Finale, beginning, GA II, 134: fanfare in trumpets and trombones
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Table LXXIII
The "*terrifying fanfare*"
in Mahler's Second Symphony (cont.)
Finale, beginning, GA II, 135: fanfare in trumpets and trombones
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Table LXXIV
Dissonances as cries of pain or screams

DOUBLE LEADING NOTE SOUND

MAHLER, First Symphony (1888)

Finale, beginning
Mahler's explanation
of the passage (GMB 185 f.):
"*It is simply the cry
of a deeply wounded
heart ...*"

MINOR NINTH CHORD

SCHUBERT, *Unfinished Symphony*, opening mov., bars 134-139

MAHLER, *Das klagende Lied* no. 81

MAHLER, First Symphony, Finale, 5 bars before no. 4

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Table LXXV
Catastrophic Climaxes

Formed of the minor ninth chord with the lower altered fifth

STRAUSS, *Don Quixote* op. 35 (1897), conclusion of the introduction

MAHLER, Fourth Symphony (1900), opening movement, bars 219-222

MAHLER, Sixth Symphony (1903/04), opening movement, 4 bars after no. 5

Table LXXVI

The "*kleine Appell*" (BL 145)

MAHLER, Fourth Symphony, opening movement, GA IV, 30
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Table LXXVII
Nine-tone, Eleven-tone and Twelve-tone Sounds
in Mahler, Schönberg and Alban Berg

MAHLER
Tenth Symphony (1910)
Adagio bars 203-208

SCHÖNBERG, *Erwartung* (1909), bars 266-270

ebenda bars 382-383

SCHÖNBERG
Die glückliche Hand
(1910/13), bar 115 ff.

BERG
*Über die Grenzen des
All* op. 4 no. 3 (1912)

From Berg's letter
to his wife
from Mar. 10, 1914

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Table LXXVIII
Tamtam as a Tonal Symbol of Death in Mahler

Third Symphony, 5th mov.: "*Es sungen drei Engel einen süssen Gesang*"
The first tamtam beats appear 3 bars after no. 4 to the words of the soloist "*Ich hab'
übertreten die zehn Gebot*". Mahler interpreted the text passage theologically in the sense of
the "*deadly sins*", which "*killed*" a person's chances for heavenly grace (cf. Rom. 1, 32 and 1
Cor., 10). With the kind permission of Universal Edition A.G., Vienna
GA III, 199 (U.E.2939=U.E.13822)

Table LXXIX
Bell Sounds as a Symbol of Eternity in Mahler

Second Symphony, 4th mov.: "*Urlicht*", GA II, 130

The seven (!) glockenspiel tones sound the eternity

Mahler's explanation: "*I used the voice and the simple expressions of a child as I myself on hearing the peal of bells thought about the souls in heaven, where they transformed into children after a person's death and they must begin anew*."

Cf. Floros, *Die geistige Welt Gustav Mahlers*, Anhang II, 196

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U. E. 2933.

Table LXXX

Cowbells as a Sound Symbol of "*otherworldly solitude*" in Mahler
Sixth Symphony, Andante moderato, GA VI, 134
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