

HARMONIA

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The Journal of the Graduate Association of
Musicologists und Theorists at the
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The membership of GAMuT would like to extend its sincere appreciation to Dr. Paul Berry and Dr. Frank Heidlberger for their service as faculty reviewers for this volume of *Harmonia*.

Congratulations to Andrea Recek, whose paper "Implications of Gendered Performing Forces in Schubert's 'Sehnsucht,' D. 656 and 'Mignon und der Harfner,' D. 877, no.1" was the winner of the 2009-2010 GAMuT Paper Competition.

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Implications of Gendered Performing Forces in Schubert's "Sehnsucht," D. 656 and "Mignon und der Harfner," D. 877, no. 1

ANDREA RECEK

Several musicologists in the last few decades have focused on Franz Schubert's sexuality and the portrayal of gender identity in his music, creating a growing list of his works that highlight texts or characters with unconventional sexual identities and relationships.¹ For example, Schubert worked on an opera entitled *Der Graf von Gleichen* that tells the story of a convoluted love triangle between a count, the countess, and a Persian girl named Suleika. The climax of the opera is a bigamous marriage between the three protagonists, and the pope blesses it because he is so moved by their love. Not surprisingly, the Viennese censors did not approve of this glorification of nontraditional relationships and banned the opera. However, Schubert's close friend Eduard von Bauernfeld—who wrote the libretto—records in his diary, "The libretto prohibited by the censorship. Schubert wants to compose it all the same."² Schubert continued working on *Der Graf von Gleichen* until the end of his life.³

Schubert also used music in more subtle ways to emphasize potential homosexual allusions in his songs. Kristina Muxfeldt draws attention to a discrepancy in the reception of Schubert's setting of August von Platen's "Du liebst mich nicht" in which critical reviews such as that in the Leipzig *Allgemeine musikalische Zeitung* objected to the song's purposeless, extravagant harmonic language, but Schubert's friends found it to be beautiful and expressive. Muxfeldt hypothesizes that Schubert's inner circle was privy to a textual meaning unknown to the *AMZ* critics that enabled the former to appreciate a relationship between music and text lost on the latter, and she shows that the places singled out for criticism are the words "vermissen" (to miss) and "Narzissen" (Narcissus). In Greek mythology, Narcissus has homoerotic connotations, and Platen, who was homosexual, used "Narcissus" in his diary as a code name for

¹ See for example Philip Brett, "Piano Four-Hands: Schubert and the Performance of Gay Male Desire," *19th-Century Music* 21, no. 2 (1997): 149–76; Kristina Muxfeldt, "Schubert, Platen, and the Myth of Narcissus," *Journal of the American Musicological Society* 49, no. 3 (1996): 480–527; Maynard Solomon, "Franz Schubert and the Peacocks of Benvenuto Cellini," *19th-Century Music* 12, no. 3 (1989): 193–206; Rita Steblin, "The Peacock's Tale: Schubert's Sexuality Reconsidered," *19th-Century Music* 17, no. 1 (1993): 5–33.

² Erich Otto Deutsch, *Schubert: A Documentary Biography*, trans. Eric Blom (London: J. M. Dent, 1947), 561.

³ Kristina Muxfeldt, "Political Crimes and Liberty, or Why Would Schubert Eat a Peacock?," *19th-Century Music* 17, no. 1 (1993): 47–64, see pgs. 59–60.

one of his young male lovers. Schubert's music treats these words in a way that seems random and disproportionate unless one understands the type of relationship to which the poem truly refers.⁴

Schubert set other poems that allude to unconventional sexuality, including texts with Greek and Persian imagery associated with homoeroticism. Some of the most obvious of these settings are "Ganymed" and "Versunken" from Goethe's *West-östlicher Divan*.⁵ Furthermore, Schubert used poems that express intense desire for a man in which the poetic speaker is identified as a woman only by the title of the poem or from its context within a larger literary work. "Gretchen am Spinnrade" is a prime example of this phenomenon as are the Suleika songs, also with texts by Goethe.⁶

Schubert's compositions based on the songs from Goethe's *Wilhelm Meisters Lehrjahre*, an extremely popular and influential novel in nineteenth-century Germany, illustrate his treatment of these complex issues. Several of the book's characters sing during the course of the story, and Schubert was particularly attracted to their poems. He wrote more than seventeen versions of Mignon's and the Harper's songs, which is remarkable even considering his large output. He used the poem "Nur wer die Sehnsucht kennt" seven times throughout his life in settings that offer a variety of readings of Goethe's text. In the novel, "Nun wer die Sehnsucht kennt" is a duet between Mignon and the Harper, two characters with ambiguous gender associations, and although Schubert's settings of this poem are typically for a single voice, he also wrote a duet and a male quintet. Because of their gendered voicing, these songs have interpretive layers in addition to that of the interaction between text and music. Schubert's duet and quintet settings of "Nur wer die Sehnsucht kennt" present readings of Goethe's poetry that are colored by the composer's attraction to Goethe's characters, the implications of those characters' gender identities, and the songs' gendered performing forces.

Wilhelm Meisters Lehrjahre was published in 1795, and although literature scholars have long considered it to be the

⁴ Muxfeldt, "Schubert, Platen," 480–510.

⁵ In Greek mythology, Ganymede was a beautiful boy who so attracted Zeus that the god brought him up to Mt. Olympus. The story has a long association with homoeroticism and pederasty. "Versunken" is an erotic poem in which the speaker ecstatically runs his hands through his lover's hair. Robert D. Tobin, *Doctor's Orders: Goethe and Enlightenment Thought* (Lewisburg, PA: Bucknell University Press, 2001), 160–61. See also Elisabeth Krimmer, "Mama's Baby, Papa's Maybe: Paternity and *Bildung* in Goethe's *Wilhelm Meisters Lehrjahre*." *The German Quarterly* 77, no. 3 (2004): 257–77, especially pgs. 268–69.

⁶ Muxfeldt, "Schubert, Platen," 513.

prototypical *Bildungsroman*,⁷ it is a rather strange, often episodic story with a variety of unusual characters. The protagonist Wilhelm begins the novel as a naïve, inexperienced, overly emotional, sexually charged adolescent. His father sends him on a journey to collect money from debtors to the family business, and along the way he becomes involved with a company of actors. He is able to indulge his lifelong fascination with the theater, but after a series of misadventures, ill-fated love affairs, the discovery of his own illegitimate son, and guidance from the mysterious Tower Society, he realizes that he cannot reach fulfillment while pursuing the illusory life of an actor. He leaves the theater company to engage in business pursuits and try to marry a woman who will be a suitable partner in his new life.

Wilhelm Meister is unusual because of the high number of cross-dressing, androgynous, or otherwise gender-blurring characters it includes. As early as 1796, literary critics remarked on the number of transvestite women with prominent roles in the story.⁸ Wilhelm desires these women, and it is often their masculine characteristics or appearance that strongly attract him. For example, in the first chapter he visits his lover (Mariane) who is dressed as a soldier for a theatrical role, and he passionately embraces “that red uniform and the white satin vest.”⁹ When he meets Therese later in the novel, her property management skills—a masculine attribute—impress him so deeply that he eventually asks for her hand in marriage.

Two of the most tragic of these sexually ambiguous figures are Mignon and the Harper. Mignon is a young member of an acrobatic troupe who was kidnapped from her home in Italy by the group and forced to join them. When Wilhelm sees their leader beating her, he rescues her, buys her freedom, and takes her into his company as his servant. The Harper joins Wilhelm’s growing group of actors and friends when the old man is singing at an inn and they invite him to stay with them. Mignon is the Harper’s daughter through his incestuous relationship with his sister, but neither of them knows, and she yearns both for the father she believes she never knew and for her lost Italian homeland. This longing (*Sehnsucht*) dominates her life to such a degree that a doctor tells Wilhelm her personality ““consists almost entirely of a deep sort of yearning.””¹⁰

⁷ The *Bildungsroman*, or “education novel,” describes the protagonist’s discovery of himself and his role in society. Tobin, *Doctor’s Orders*, 17.

⁸ Catriona MacLeod, “Pedagogy and Androgyny in *Wilhelm Meisters Lehrjahre*,” *MLN* 108, no. 3 (1939): 389–426, see pg. 389. Tobin, *Doctor’s Orders*, 148.

⁹ Johann Wolfgang von Goethe, *Wilhelm Meister’s Apprenticeship*, ed. and trans. Eric A. Blackall (Princeton, NJ: Princeton University Press, 1989), 2.

¹⁰ Goethe, 320.

In addition to this emotional distress, a visible consequence of Mignon's incestuous origins is her androgyny. When Wilhelm meets her for the first time, he is unsure if she is a boy or a girl. Goethe uses neuter pronouns to refer to her until Wilhelm finally decides she is a girl, and throughout the novel, Goethe alternates between feminine and neuter pronouns. In an earlier version of the story, he even used masculine pronouns. Mignon wears boys clothing, and when the leader of Wilhelm's acting troupe says he wants her to dress like a woman, she replies, "I am a boy, I don't want to be a girl."¹¹

Her character also has homoerotic overtones. Her name itself is the masculine form of the French adjective for "cute" or "darling," and in the seventeenth and eighteenth centuries, "Mignon" was a term for a male homosexual prostitute. Her Italian origins further emphasize this connection because Italy had a reputation as a haven for homosexuals. Goethe commented on this fact in a letter from 1787, and his *Italian Journey* (1816) has multiple references to Ganymede and to Johann Joachim Winkelmann, a prominent homosexual German art historian who had moved to Italy in 1755.¹² Goethe seems to have deliberately associated Mignon with homoeroticism in such a way that his nineteenth-century readers would likely have made this connection as well.

Mignon's androgyny and associations with homoeroticism combine with her young age to make the mutual attraction between her and Wilhelm particularly complex. She desires him as a father and also as a lover, and his fatherly instinct is mixed with eroticism. These feelings create conflict within each character, bringing the tension to the foreground soon after Wilhelm takes Mignon into his care.

There is nothing more moving than when a secretly nourished love and silently strengthened devotion suddenly finds itself face to face with the object that has hitherto been unworthy of its affection, but now at last realizes it. The bud that had been tightly closed for so long was ready to open, and Wilhelm's heart was ready to receive it . . . [Mignon] raised her head, looked at him, then put her hand to her heart as if to stop some pain. He lifted her up and she fell onto his lap. He pressed her to him and kissed her.¹³

Wilhelm pledges to keep her, and she calls him her father. Later in the novel, though, Mignon's affection causes Wilhelm some embarrassment:

¹¹ Goethe, 122.

¹² Krimmer, 268-69. Tobin, *Doctor's Orders*, 160-61.

¹³ Goethe, 81.

Whenever [Mignon] came or went, bade [Wilhelm] good morning or good night, she clasped him so firmly in her arms and kissed him so passionately, that the violence of her developing nature filled him with alarm. The twitching intensity of her movements increased daily, and her whole being seemed to suggest a suppressed state of unrest.¹⁴

Mignon and Wilhelm cannot avoid their feelings for each other although the unconventional nature of the relationship causes stress as Wilhelm becomes yet another unattainable object of Mignon's longing. The incestuous overtones have particular resonance in light of Mignon's own origins.

In order for Wilhelm's *Bildung* to continue, he must renounce what Mignon represents: indistinct gender roles, uncontrolled emotion, and a purely artistic spirit. A member of the Tower Society tells Wilhelm, "I have been distressed, indeed disgusted, that, in order to have some experience of life, you should have given your heart to an itinerant ballad singer and a silly androgynous creature."¹⁵ When Wilhelm greets Therese as his beloved, Mignon drops dead. He rejects the poetic life of an itinerant actor and replaces Mignon with a more appropriately bourgeois partner (although he eventually discovers that that partner is not Therese). Women with an indeterminate gender status have no place within the ordered society of the *Bildungsroman*, and even Natalie, who first appears as an "Amazon," is feminized before the Tower Society approves of her becoming Wilhelm's wife. Mignon believed she had found a father/lover to care for her, but he must discard her because she is too far outside the boundaries of what the bourgeois, *Bildung* culture can assimilate.¹⁶

Mignon expresses her deep unfulfilled longing for Wilhelm and for Italy in song, and these texts particularly attracted Schubert as evidenced by his many settings of them. Schubert took care in selecting poetry; Anselm Hüttenbrenner remembers that if he praised any of Schubert's new songs, the reply was:

'Yes, there you have a good poem; then one immediately gets a good idea; melodies pour in so that it is a real joy. With a bad poem one can't make any headway; one torments oneself over it and nothing comes of it but boring rubbish. I have

¹⁴ Goethe, 156.

¹⁵ Goethe, 113.

¹⁶ Krimmer, 265–68. Robert Tobin, "The Medicinalization of Mignon," in *Goethes Mignon und ihre Schwestern*, ed. Gerhart Hoffmeister (NY: Peter Lang, 1993), 43–60, see especially pgs. 47–58.

already refused many poems which have been pressed on me.¹⁷

A letter from Schubert to the poet Johann Gabriel Seidl confirms this anecdote as Schubert writes, “Enclosed I send you back these poems, in which I could find absolutely nothing poetic or useful for music.”¹⁸ Although he was a prolific song composer, Schubert was selective about the texts he chose.¹⁹

Schubert had such a deep love of literature that he apparently internalized some of the poems he decided to set and worked without reference to a written version. This process is evident only through his occasional mistakes. For example, in his first setting of Schiller’s “Gruppe aus dem Tartarus” (March 1816, D. 396), he misremembered the text of the opening stanza and left out the sentence’s predicate, thus changing the actual subject and confusing the poem’s meaning. This type of error differs from deliberate alterations, such as repeating phrases or words for expressive effect, and would not happen while working from a copy of the text.²⁰

Schubert’s circle of friends shared his literary interests. Together they published a literary journal in 1817 and 1818 (*Beiträge zur Bildung für Jünglinge*), and they formed a reading circle. They went so far as to give each other names from the books they discussed, which included the *Nibelunglied* and Shakespeare’s *King Henry V*. Other works mentioned in the participants’ letters and diaries are Goethe’s *Tasso*, Johann Heinrich Voss’s translation of Homer, and Heine’s *Reiseideen*, from which Schubert set several poems. Even during Schubert’s last illness, he wrote to Franz von Schober asking to borrow more books.²¹

Wilhelm Meister was part of this literary milieu; Bauernfeld wrote in his diary in 1825 that Schober had been “an actor à la Wilhelm Meister.”²² After the novel’s publication, the song lyrics were republished in collections of Goethe’s poetry beginning in 1815. Where textual variants distinguish these two versions,

¹⁷ Otto Erich Deutsch, *Schubert: Memoirs by His Friends* (NY: Macmillan, 1958), 182–83.

¹⁸ Quoted in Susan Youens, *Schubert’s Late Lieder: Beyond the Song Cycles* (Cambridge, England: Cambridge University Press, 2002), 413.

¹⁹ This topic forms the basis of Youens’ monograph. See also Marius Flothius, “Franz Schubert’s Compositions to Poems from Goethe’s *Wilhelm Meister*,” in *Notes on Notes*, trans. Sylvia Broere-Moore (N.p.: Frits Knuf, 1974), 87–138, especially pgs. 88–90.

²⁰ Richard Kramer, *Distant Cycles: Schubert and the Conceiving of Song* (Chicago: University of Chicago Press, 1994), 76–77.

²¹ Deutsch, *Documentary Biography*, 75, 297–99, 302–03, 709, 820.

²² Deutsch, *Documentary Biography*, 428.

Schubert seems to have worked from both the anthology and the novel itself, but because of the novel's popularity, he would likely have known its characters and understood the contexts of their songs in any case.²³

In *Wilhelm Meister*, "Nur wer die Sehnsucht kennt" occurs at the end of Book IV, chapter 11. Wilhelm is thinking longingly of the two women with whom he is enamored, and he hears Mignon and the Harper singing an irregular (*unregelmäßig*) duet with the most heartfelt expressiveness (*herzlichsten Ausdrücke*).

Nur wer die Sehnsucht kennt, Weiß, was ich leide! Allein und abgetrennt Von aller Freude, Seh ich ans Firmament Nach jener Seite. Ach! der mich liebt und kennt, Ist in der Weite. Es schwindelt mir, es brennt Mein Eingeweide. Nur wer die Sehnsucht kennt, Wieß, was ich leide!	Only someone who knows longing, Knows what I suffer! Alone and separated From all joy, I look at the firmament Toward that side. Ah! he who loves and knows me, Is in the distance. I am dizzy, it burns My entrails. Only someone who knows longing, Knows what I suffer! ²⁴
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Consistent with Mignon's childlike character, this poem is structured as a simple song. However, although it does not have the complexity of a sonnet or Baroque hexameters, its regular rhyme scheme and syllable pattern are artful. It has *Kreuzreim*, in which the ends of every other line form an interlocking rhyme; the pattern here is ababacacabab. This scheme is linked particularly closely because only the quality of the final consonants differentiates the b and c rhymes. The lines alternate between six and five syllables each and include a further alternation between one and two syllable rhymes, i.e. "kennt" and "-trennt" and "leide" and "Freude." In keeping with the poem's songlike nature, its first two lines repeat at the end to form a kind of refrain that reiterates the central theme of longing.²⁵

²³ The text for "Was hör' ich draußen vor dem Tor" (1815) was taken from the poetry collection, and that of "Heiß mich nicht reden" (1821 and 1826) was taken from the novel. The version of "Nur wer die Sehnsucht kennt" in the poetry collection does not differ from that of the novel, so it is not clear which source Schubert may have used for these songs. Sterling Lambert, "Schubert, Mignon, and Her Secret," *Journal of Musicological Research* 27 (2008): 307–33, see pgs. 311–14. Jack M. Stein, "Musical Settings of the Songs from *Wilhelm Meister*," *Comparative Literature* 22, no. 2 (1970): 125–146, see pg. 135. See also Maurice J. E. Brown, "Schubert's *Wilhelm Meister*," *The Monthly Musical Record* 88 (1958): 4–12, especially pg. 4.

²⁴ Translation in Beaumont Glass, *Schubert's Complete Song Texts*, vol. 2 (Mt. Morris, NY: Leyerle Publications, 1996), 766.

²⁵ I am indebted to Dr. Christoph Weber and Dr. Paul Berry for their assistance with the analysis and discussion of "Nur wer die Sehnsucht kennt."

“Nur wer die Sehnsucht kennt” exemplifies the *Sturm und Drang* poetry of the late eighteenth century with its passionate, physical longing as it moves from a metaphysical expression to a sensual experience grounded in the body. After an initial outburst of longing, the poet describes looking at the firmament where limitless, infinite heavens represent an element of the sublime. The next lines state that the poet’s lover is in the distance (*Weite*), which while still part of the infinite firmament, has a more physical, spatial aspect. Finally, the emotion becomes fully sensual as the poet is dizzy with burning entrails. This imagery seems shocking, but *Sturm und Drang* lyrics commonly emphasize the extreme physical expression of emotion. Dizziness was a common motif, and the entrails were considered to be the seat of life, so they were often used to illustrate suffering caused by longing and distress. This intense metaphysical and sensual emotionalism results from Mignon’s dual sexual identity and illustrates why Wilhelm must overcome his attraction and eventually reject her.²⁶

The grammatical structure of “Nur wer die Sehnsucht kennt” has several implications for its gender specificity, reflecting the ambiguous nature of its performers in the novel. The pronouns in this poem are gender nonspecific, with one exception. In the seventh line (“Ach! der mich liebt und kennt”), “der” clearly refers to a masculine subject, which means that the poet’s distant lover is a man. Mignon’s unconventional sexuality makes her desire for a male lover not entirely unproblematic, and in the convoluted fashion typical of *Wilhelm Meister*, the Harper joins with her in yearning for this distant man. The Harper’s relationship to Mignon as her unacknowledged father through incest further complicates the situation. In the song’s context within the novel, Wilhelm is almost a voyeur; he overhears Mignon and the Harper’s emotional expression and listens because it reflects something of what he himself feels at that moment, and the male object of desire echoes his own longing for the transvestite Amazon.

Schubert’s settings of this text highlight different aspects of the poem and its gender narrative. “Sehnsucht,” D. 656 was written in April 1819 and remained unpublished until 1867, but it is probable that the work received at least a private performance during Schubert’s lifetime.²⁷ It is in E major in a slow cut time.²⁸ The piece originally bore only the heading “Quintetto,” and it is for an

²⁶ Lorraine Byrne, *Schubert’s Goethe Settings* (Aldershot, England: Ashgate, 2003), 261–62. Abigail Chantler, “The ‘Sturm und Drang’ Revisited,” *International Review of the Aesthetics and Sociology of Music* 34, no. 1 (2003): 17–31, see pgs. 18–21.

²⁷ Deutsch, *Memoirs*, 148–49.

²⁸ Of Schubert’s seven settings of this text, three are in major keys and four in minor. Four of the songs are in cut time.

unaccompanied male quintet (*Männerstimmen*, TTBBB), which conductor and musicologist Elliot Forbes describes as having a “wonderful new, dark color.”²⁹ This voicing is extremely unusual for Schubert; the only other piece in his output at all similar is “Mondenschein,” D. 875, for TTBBB, but the Tenor I in the latter example is treated as a solo.

Using a male quintet for “Nur wer die Sehnsucht kennt” has profound implications for interpreting the text. Although *Wilhelm Meister* describes the song as a duet, composers typically consider it to be Mignon’s song and set it for soprano. This preference probably results from the poem’s reference to a male lover. Setting “Sehnsucht” for men’s voices emphasizes Mignon’s ambiguous sexual nature and her desire to be a boy. It brings to the foreground the homosexual overtones in Mignon’s name and her desire for Wilhelm while acting as a boy, as five men sing about a man who loves them.

Schubert uses performance indications to ensure that the emotion of “Sehnsucht” is not lost in its translation to male quintet. Male voices would seem to distance the performers from the text, but rather than a dispassionate narration of Mignon’s song, Schubert intends for this piece to express her emotions firsthand. All of Schubert’s unaccompanied male partsongs have many expressive markings, but “Sehnsucht” has even more than usual. Almost every measure has a dynamic indication, and they range from pianissimo to fortissimo, although for most of the piece the dynamic level is pianissimo or piano with gradual swells to shape each phrase.³⁰ This restraint reflects Mignon’s reticence in discussing her emotions; she swore she would never tell anyone her true feelings.³¹ The sole sforzando occurs on the word “liebt” (loves) in m. 17, and the only fortissimos occur in m. 20 on the word “Weite” (distance) and m. 54 on the word “Sehnsucht” (longing). Clearly, these words have important meaning in the poem, with their increased dynamic revealing Mignon’s emotion breaking through her restraint.

²⁹ Elliot Forbes, “Nur wer die Sehnsucht kennt: An Example of a Goethe Lyric Set to Music,” in *Words and Music: The Scholar’s View*, ed. Laurence Berman (Cambridge, MA: Department of Music Harvard University, 1972), 59–82, see pg. 67.

³⁰ Some of Schubert’s markings are notoriously ambiguous, especially the “hairpins” that could indicate either an accent or a decrescendo. Some editors, such as those of the *Neue Schubert-Ausgabe*, interpret these marks almost uniformly as accents. Other editors, including those of the older *Franz Schubert: Complete Works*, interpret them as decrescendos, and David P. Schroeder suggests that these indications actually refer to changes in tempo rather than dynamics. Whatever their meaning, however, the point remains that Schubert took great care to avoid an expressionless performance. David P. Schroeder, “Schubert the Singer,” *The Music Review* 49, no. 4 (1988): 254–66.

³¹ See Goethe, 320.

Schubert's use of the quintet's five voices adds to the poetic interpretation. The texture is homophonic at the beginning of the piece, but at the phrase "Alone and separated" in m. 5, the tenors and the Bass I start the phrase alone, and the lower two basses join a measure later (see Example 1).

Example 1. Schubert, "Sehnsucht," mm. 4–7.³²

The musical score for Example 1 shows five vocal parts: Tenore I, Tenore II, Basso I, Basso II, and Basso III. The music is in G major (one sharp) and 4/4 time. The lyrics are: "lei - de! Al - lein und ab - ge - trennt von al - ler Freu - de." The score includes dynamics such as *p* and *decresc.* and a fermata over the final note of the phrase.

Because the Bass II and III double each other, their line is "alone" against the separated upper voices. The five voices split into this duet-like texture in several places in the song (mm. 5, 12, and 36), and although the exact division of parts varies, it draws attention to Mignon's own turmoil and the song's origins as a duet. The voices become fragmented in m. 22 for the phrase "I am dizzy" (see Example 2). The Bass II and III are again doubled, and the Tenor I sings a rhythmically offset, inverted version of their melodic motive. All of these textural elements combine to express Mignon's dizziness.

The Bass II and III double each other through much of the piece, which reinforces the low register but does not fully exploit the potential of three bass voices. Schubert saves this full expansion until almost the end of the song when in m. 39 the Bass III descends to a low F on the word "Freude" (joy). This note is particularly emphatic because it forms a dissonance with the Tenor I that does not resolve for two quarter notes, which is a significant amount of time at a slow tempo. The harmonic tension expresses the knowledge that joy will not be attained. In m. 44 ("Only someone who knows longing"), the Bass III drops to low E for the first time to create an open three-octave E. The combined textural and registral change emphasizes this restatement of the text and gives it increased impact.

³² Musical examples from "Sehnsucht" are based on the version found in *Franz Schubert: Complete Works*.

Example 2. Schubert, "Sehnsucht," mm. 21-27.

The musical score consists of five vocal staves, each with its own set of lyrics. The lyrics are in German and describe a state of longing and suffering. The score includes dynamic markings such as *p* (piano) and *pp* (pianissimo). The lyrics for the first system are:

- Tenore I: te. Es schwin - delt mir, es
- Tenore II: Es schwin - delt mir, es brennt mein
- Basso I: te. Es schwin - delt mir, es brennt mein
- Basso II: te. Es schwin - delt mir, es schwin - delt mir, es
- Basso III: te. Es schwin - delt mir, es schwin - delt mir, es

The second system of lyrics (starting at measure 24) is:

- Tenore I: brennt mein Ein - ge - wei - - - - de, es
- Tenore II: Ein - ge - wei - - - - - de, es
- Basso I: brennt mein Ein - ge - wei - - - - de, es
- Basso II: brennt mein Ein - ge - wei - - - - de, es
- Basso III: brennt mein Ein - ge - wei - - - - de, es

Having an additional bass voice allows for greater chromatic freedom and expressive potential. The Bass III provides a harmonic anchor while the other four voices create and resolve dissonances within a richer texture than would be possible with a standard TTBB setting. For example, in m. 1-4 the structural harmonic motion is I – IV – V, and the Bass III line is E – A – B. However, the chromatic, nonharmonic tones in the other parts make this conventional progression sound much more adventurous (see Example 3a). The upper voices pull against the low bass as if trying to escape its confines, but they are unable to do so. This tension expresses the text (“Only someone who knows longing knows what I suffer”) and heightens the intensity of longing. A similar situation occurs at the end of the piece in mm. 59-63 for a restatement of the same lyrics (see Example 3b).

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Example 3a. Schubert, "Sehnsucht," mm. 1-4.

Nur wer die Sehnsucht kennt, weiss, was ich leide! Al

Example 3b. Schubert, "Sehnsucht," mm. 59-63.

nur wer die Sehnsucht kennt, weiss, was ich leide.

The Bass III has a pedal point on E, but instead of chromaticism, the other voices alternate between $vii^{\circ}7$ and I, inverted in mm. 59-60 and then in root position. They try a final time to escape the inevitability of returning to E, but gradually even the inversions give way to agreement with the low bass on the last E major triad. The singer is left longing for his (her) beloved and cannot leave his current situation to be with him.

While the piece begins and ends rooted in E major, the rest of the harmonic motion is anything but conventional as it responds to Mignon's increasing agitation. For example, the phrase "I am dizzy, it burns my entrails" (mm. 22-26, shown in Example 2) is harmonically very unstable. A series of dominant sevenths (or nonresolving $Ger+6?$) leads to a "cadence" on an inverted A7 in m. 26 on the final syllable of the word "Eingeweide" (entrails). The physicality of Mignon's longing is expressed here with chromaticism, unresolved harmonies, and instability.

Schubert uses chromatic mediants and the Neapolitan to represent the unattainable objects of Mignon's longing. For the phrase "Alone and separated from all joy" in m. 5, the music modulates to G major (flat III) and moves to C major (flat VI) in m. 12 for "Ah! he who loves and knows me is in the distance." When this phrase repeats at m. 16, the music cadences on F major (the Neapolitan) in m. 20. This striking sonority combines with a fortissimo dynamic and agogic accent to express the true spatial distance between Mignon and her lover. The music in mm. 36-43 ("Alone and separated . . . I look at the firmament toward that side") is basically in C major (flat VI). The cadence in m. 43 echoes that of m. 15 on "Weite" (distance), creating a clear association between the flatted mediant and submediant and the "other side" where Mignon's lover is.

In the poem, only the first two lines repeat at the end. In "Sehnsucht" however, Schubert restates lines 1-6, and then repeats lines 1-2 four additional times. This repetition emphasizes both the lover's distance and Mignon's declaration of longing. The final four statements of lines 1-2 ("Only someone who knows longing knows what I suffer") have deep affective significance. After the C major cadence in m. 43, all five parts sing an E in octaves (see Example 4a).

Example 4a. Schubert, "Sehnsucht," mm. 43-47.

The image shows a musical score for five vocal parts: Tenore I, Tenore II, Basso I, Basso II, and Basso III. The score is in 4/4 time and begins at measure 43. The key signature is three sharps (F#, C#, G#). The lyrics are: "te. Nur wer die Sehnsucht kennt, weiss, was ich lei - de." The dynamics are marked *pp* (pianissimo) for each part. The notation shows a cadence on a whole note E in measure 43, which is the starting point for the next section.

In addition to the registral effect described above, this suddenly open, exposed sonority gives no sense of tonality. It moves to an F in octaves in m. 45, invoking the Neapolitan, before inching into harmony for an unexpected cadence in B-flat major. The tritone relationship between E and B-flat reinforces Mignon's deep turmoil and longing throughout these last lines as the next phrase begins in B-flat and moves through an incredibly chromatic modulation to cadence again in E major in m. 52. The next restatement of the text returns to E in octaves but instead of open octaves on F, a prolonged fortissimo F major triad follows (see Example 4b). F major now has added emotional resonance both as the Neapolitan and as the dominant of B-flat. The phrase does not return to B-flat however,

but instead moves through C major (flat VI) to finally cadence in E major, which leads to the last statement of the text in mm. 59–63, discussed above.

Example 4b. Schubert, “Sehnsucht,” mm. 52–58.

The musical score for Schubert's "Sehnsucht" (mm. 52–58) is presented for five voices: Tenore I, Tenore II, Basso I, Basso II, and Basso III. The score is in E major and 4/4 time. It features dynamic markings of *pp* (pianissimo) and *ff* (fortissimo), and a *decresc.* (decrescendo) marking. The lyrics are: "de, nur wer die Sehnsucht kennt, weiss, was ich lei - - - de." The score shows the vocal lines for each voice part, with the lyrics written below the notes.

These multiple attempts to end the piece show Mignon's deep emotional anguish. She is overcome with longing and wants to both express it and escape from it. This escape is denied, and she is left at the end where she started. In the context of the quintet, these multiple statements have added significance because the text states that "only someone who knows longing knows what I suffer;" a group of singers with this text presents five men who do indeed know each other's longing and suffer together.

Schubert offers another reading of "Nur wer die Sehnsucht kennt" in "Mignon und der Harfner," D. 877, no. 1, composed in January 1826. It is the first of four songs in *Gesänge aus "Wilhelm Meister,"* which was published in 1827 as Op. 62. The set contains lyrics that Mignon sings in the course of the novel, and it is rather unusual because it contains the text "Nur wer die Sehnsucht kennt" as both the first song, scored for a duet with piano, and as the last song, scored for a solo with piano; the latter is entitled "Lied der Mignon." Scholars speculate that Schubert added the solo version when preparing the set for publication because duets had less commercial appeal, and manuscript evidence clearly shows that the duet was conceived together with the second and third songs in the set.³³

The meter, rhythm, and key signature of "Mignon und der Harfner" embody aspects of Mignon's and the Harfner's characters. Like "Sehnsucht," the song is in a slow cut time, and the piano introduces a stately, elegaic, march-like rhythm that pervades the piano and vocal lines throughout the piece (mm. 1, 3, 5, 7, etc; see

³³ Flothius, 130.

Example 5). This figure illustrates the description in the novel of Mignon's singing as solemn.³⁴

Example 5. Schubert, "Mignon und der Harfner," mm. 1-2.³⁵



"Mignon und der Harfner" is in B minor, a key often associated with longing, anguish, and anxiety in critical studies of Schubert's music. Richard Kramer writes, "Schubert in B minor is Schubert at the depths of his soul."³⁶ Kramer demonstrates the affective significance of B minor in *Winterreise*, *Die schöne Müllerin*, and the Rellstab and Heine settings published as part of *Schwanengesang*.³⁷ If Schubert's original conception of *Gesänge aus "Wilhelm Meister"* was only the first three songs, the keys have a clear relationship (B minor, E minor, and B major), which suggests Schubert used these tonalities purposefully. Schubert does not use B minor with any particular frequency in his song output,³⁸ and unlike the Harper's songs which are almost entirely in A minor, Mignon's songs do not have a general key association, so Schubert's use of B minor for "Mignon und der Harfner" highlights Mignon's longing through its tonal affect.

Schubert's harmonies further reveal his interpretation of the poem's emotion and characterization. The four measure piano introduction foreshadows the song's harmonic motion: i – iv – N6 – V7 – i. The tonal structure begins in a relatively conventional manner, with progressions between tonic and dominant, and this compositional choice shows Mignon's simple and childlike nature as well as the clear structure of the poem. At the end of the second line

³⁴ William P. Dougherty, "Mignon in Nineteenth-Century Song: Text, Context, and Intertext," in *Essays in Honor of Steven Paul Scher and on Cultural Identity and the Musical Stage*, ed. Suzanne M. Lodato, Suzanne Aspden, and Walter Bernhart (Amsterdam: Rodopi, 2002), 123–41, see pgs. 133–34. Susan Youens, "Poetic Rhythm and Musical Metre in Schubert's *Winterreise*," *Music & Letters* 65, no. 1 (1984): 28–40, see pg. 32.

³⁵ Musical examples from "Mignon und der Harfner" are based on the version found in the *NSA*.

³⁶ Kramer, 102.

³⁷ Kramer, 102–124.

³⁸ When multiple versions of the same song in B minor are counted, approximately 5% of Schubert's songs are in this key. Excluding multiple versions results in a total of only 4%. These percentages are what one might expect in a hypothetically random distribution of songs in all 24 major and minor keys.

of text in m. 12, the piano part descends to lie totally in the bass register. For the next line (m. 14), which begins to discuss the lover's distance, the right hand moves back into the treble register but the left hand remains low to create a wide separation between the hands. The harmony shifts to B major, but because the major third is in the low bass, it does not feel relaxed as one might expect from the parallel major. The harmony immediately begins to alternate between B major and E minor, which recalls the progression from the song's introduction and reveals the illusory nature of this apparent shift to the major mode (see Example 6).

Example 6. Schubert, "Mignon und der Harfner," mm. 14–25.

Mignon
Al-lein und ab-ge-trennt von al-ler Freu-de seh' ich an's

Harfner
Al-lein und ab-ge-trennt von al-ler Freu-de, seh' ich an's

Piano
ppp *f*

M
Fir-ma-ment nach je-ner Sei-te. Ach, der mich

H
Fir-ma-ment nach je-ner Sei-te. Ach, der mich

Pno.
f *pp*

M
liebt und kennt ist in der Wei-te.

H
liebt und kennt ist in der Wei-te.

Pno.

As in "Sehnsucht," flat VI and the Neapolitan play an important role by representing the distant object of longing. The music moves abruptly to G major (flat VI) in m. 18 for the phrase "I look at the firmament toward that side" (shown in Example 6). When the singers exclaim that their lover is in the distance, the

harmony reaches C major, the Neapolitan (m. 23). This extended sojourn in major keys comes as Mignon contemplates the place where her lover is, and that “other side” has the glow of distant G and C major. The voices then sing together in a horn fanfare (m. 23) that fulfills an ascending fourth motive pervasive in the vocal lines (m. 8 Harper, m. 11 Mignon, m. 12 Harper, m. 15 Mignon, m. 17 Mignon and Harper, etc.). Invoking an association that originated with Beethoven’s *Lebewohl* sonata (“Les Adieux,” Op. 81a), these horn calls evoke the lover’s distance and a sense of absence and regret (shown in Example 6).³⁹

As the poetry becomes more agitated the harmonic motion becomes increasingly unstable, particularly for the lines describing dizziness and burning entrails (mm. 33–36; see Example 7).

Example 7. Schubert, “Mignon und der Harfner,” mm. 33–36.

The music moves up by whole steps through F major, G major, A major, and finally B major. Diminished seventh chords mediate this motion and create an upwardly chromatic bass line that underscores a sense of anguish and intensity. The piano has tremolos in the left hand, and even when the opening music returns with the text repetition in m. 38, these tremolos continue. Because Mignon can

³⁹ Schubert also uses this evocation in “Der Lindenbaum” from *Winterreise*. Charles Rosen, *The Romantic Generation* (Cambridge, MA: Harvard University Press, 1995), 116–18.

barely contain her agitation, the music cannot fully contain its anxiety. Closure only comes in the piano postlude (mm. 47–50). Eighth notes alternate between tonic and dominant in these four measures to finally end on the tonic, thus emphasizing the total inescapability of longing and alienation.

Schubert’s use of the two voices in “Mignon und der Harfner” reveals his understanding and interpretation of these two characters, their gender identities, and their convoluted relationship. Although the song is typically performed by a soprano and tenor, nothing in the score specifies this disposition. Each line is written in treble clef with the designation “Mignon” and “Harfner,” and while Schubert usually notates his solo songs in treble clef regardless of the poetic speaker, the possibility exists for performance by two singers of the same gender. The horn calls in mm. 23–25 actually sound more typical with two singers in the same octave because of the spacing between the parts and the shape of each line (shown in Example 6).⁴⁰ The potential for performance by female and/or male singers reflects the characters’ own gender ambiguities and highlights the genetic sameness between Mignon and her father.⁴¹

This intimate connection between Mignon and the Harper is also evident in the relationship between the two voice parts. They sing in loose canonic imitation one measure apart for most of the song (see Example 6), and Mignon leads until the song’s last section (m. 38). Mignon’s leadership reflects the fact that composers, including Schubert, consider “Nur wer die Sehnsucht kennt” to be Mignon’s song rather than the Harper’s. The Harper echoes Mignon like another part of herself; he is actually part of her although she does not know it. In m. 38, the Harper takes over the lead for music that is exactly the same as at the beginning, except that the two singers exchange roles. Interlocking vocal lines echo the poem’s rhyme structure with its tightly woven *Kreuzreim*. Once again, an intimate connection between the characters is evident and supports the possibility of two same-gendered performers. The voices sing together from mm. 18 to 32, but instead of returning to overlapping imitation in m. 33 (“I am dizzy”), they divide the text between them (shown in Example 7). This fragmentation of the text results from their extreme agitation and perhaps also from the fact that their physical longing is intensely personal. They may know each other’s longing, but they truly experience only their own.

⁴⁰ I would like to thank Dr. Paul Berry for drawing this feature to my attention.

⁴¹ In an apparent attempt to smooth over this tension, the *NSA* gives the Harper’s line a tenor octave clef. Although the critical notes acknowledge that no sources indicate this octave displacement, the editors believe there is no doubt (*kein Zweifel*) that it was intended for a tenor. *Neue Schubert-Ausgabe*, series 4, vol. 3b (Kassel: Bärenreiter, 1992), 288.

Schubert's duet and quintet settings of "Nur wer die Sehnsucht kennt" reflect the ambiguous sexual identities and relationship of Mignon and the Harper. In "Sehnsucht," the use of a male quintet that would seemingly present a dispassionate narration of the text in fact creates a deeper, more nuanced expression of Mignon's emotional character. Schubert's manipulation of the five-voice texture and its harmonic possibilities reveals one of his interpretations of Mignon while also enabling the performance of same-sex desire. Schubert's songs most often received their premieres during gatherings of his friends; "Sehnsucht" creates a situation in which these men could openly express homoerotic feelings.

The duet "Mignon und der Harfner" presents another reading of Mignon as well as the performance of same-sex desire. In this setting, Schubert emphasizes the unconventional interrelationship between Mignon and the Harper, and the distribution of the voices again facilitates his nuanced portrayal. Schubert does not specify the genders of the singers, so the characters' ambiguity comes to the forefront. Whether same- or differently-gendered singers perform the song, the relationship between them and to their distant beloved is inherently complex. With these two musical settings of "Nur wer die Sehnsucht kennt," Schubert reveals aspects of the sexuality and gender identities of Mignon and the Harper that text alone does not express. Schubert's attraction to situations involving unconventional gender identities is evident throughout his compositions, and the performance of "Sehnsucht" and "Mignon und der Harfner" creates the social space to both observe and enact these multilayered relationships.

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Motivic Reinterpretation in Instrumental Works of Brahms

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A well-known musical moment occurs at the end of the development of the first movement of Beethoven's *Eroica* when the horn enters with the first theme four measures early. While presented slightly early and over the dominant, this theme enters in the correct and expected context or key. There is no reinterpretation necessary in this moment to fit the motive logically in its context. This statement of the original theme does not, however, mark the beginning of the recapitulation. According to Scott Burnham, this statement "heralds" the original theme, brings the dying dissonance of the development to an end, and recalls the heroic theme from the exposition, initiating momentum into the recapitulation.¹ For A.B. Marx, the passage "[drifts] entirely out of a lost distance, strange, [and is] a summons not at all belonging to the present moment but which augurs and heralds those to follow – namely, the return of the heroic theme after the struggle seemed extinct."² In other words, the displaced statement of the main theme serves as a recollection of the hero left behind and as an announcement of "his" impending return. Formally speaking, this statement functions as closure to the development and at the same time launches the recapitulation.

Similarly, Brahms too uses opening motives or themes to connect the end of one formal section to the beginning of a new section. However, unlike Beethoven's *Eroica* where the theme returns early but in its expected key, Brahms frequently brings back a motive at the same pitch level either initially understood in a different context and then immediately reinterpreted in the expected context or initially understood in the original context and then reinterpreted to move to a new key area or idea.

What I call motivic reinterpretation, other scholars call thematic transmutation or developing variation. Ann Scott, for example, discusses thematic transmutation, as she calls it, primarily as a "new" idea flowing out of an old one.³ I address Brahms's organic compositional technique of seamlessly connecting themes

¹ Scott Burnham, *Beethoven Hero* (Princeton, NJ: Princeton University Press, 1995), 16.

² Burnham, 13-14. Translated from A. B. Marx, *Ludwig van Beethoven: Leben und Schaffen*, 3rd ed. (Berlin, 1875), vol. 1 p. 281.

³ Ann Besser Scott, "Thematic Transmutation in the Music of Brahms: A matter of musical alchemy," *Journal of Musicological Research* 15/3 (1995): 182.

within movements through his presentation of new themes, like Scott, and through returns of themes, or “old” themes as it were. Walter Frisch calls this latter technique developing variation, saying that Brahms “avoided exact repetition and repeated phrases, motives and other structural ingredients of themes only in varied forms, if possible in the form of...*developing variation*.”⁴ This is the technique I will focus on in this paper: repetition of a theme in a non-exact way, especially with regard to alterations of rhythmic and harmonic structure. I therefore adopt Frisch’s term “motivic reinterpretation” to deal with this specific type of transformation between and within formal sections of a movement or work by Brahms, what Frisch considers to be “metamorphosis of an individual motive or theme”.⁵

I will address moments of motivic reinterpretation in the following movements by Brahms: Symphony no. 3, mvt 1, Symphony no. 2, mvt 3, and 6 Piano Pieces, op. 118 no. 6. In the first movement of Brahms’s Third Symphony I will focus on the sonorities in the opening measures and how they are later reinterpreted with regard to the function of a pitch, A-flat. In the third movement of the Second Symphony, I will focus on the first two notes of the first theme (both B-natural) and how Brahms reinterprets this pitch both metrically and harmonically upon the return of the A sections. Finally, in the sixth piece of Brahms’s op. 118, I will examine how Brahms reinterprets the entire theme (comprised of just three pitches) upon the return of the A section. As I will demonstrate through an analysis of the context of the original presentation of each motive and a comparison to restatement(s) later in the work, Brahms reuses the same material in multiple ways to create smooth transitional moments in his works by blurring formal divisions, often delaying cadential motion, and thereby extending overall phrase length.

I. Symphony No. 3, movement 1

The large-scale form of the first movement of Brahms’s Third Symphony is sonata form and the basic outline is shown in Table 1.

Table 1. Brahms, Symphony no. 3, mvt 1, form.

Section	Measures
Exposition	1-72
Development	77-119
Recapitulation	120-181
Coda	182-224

⁴ Walter Frisch, *Brahms and the Principle of Developing Variation* (University of California Press, London: 1984), 129.

⁵ Frisch, 70.

I take the opening sonorities of mm. 1-3 (see Example 1) as the original motive and identify three instances later in the movement in which these opening measures are reinterpreted with regard to the pitch A-flat (mm. 21-23, mm. 120-124, and mm. 182-183).

Example 1. Brahms, Symphony no. 3 mvt 1, mm. 1-3 (piano reduction).

I vii⁰₃/V I

The upper voice of the main motive shows the third relationship that permeates the movement throughout, especially within the different key relationships of the themes. Indeed, each instance of motivic reinterpretation occurs at a change of key area. The first reinterpretation of the motive occurs in mm. 21-23 (see Example 2).

Example 2. Brahms, Symphony no. 3, mvt 1, mm. 21-23.

I⁶ (in F major) V⁷/D-flat M I/D-flat M

The first time we heard the motive in the opening measures, it was scored for winds only. Likewise, the chord progression in Example 2 is scored for winds only, with the exception of the first violin that is added to the progression. This time, however, under the motive the violas have an offbeat rhythm and the cello and second violin play a triplet figure. Originally, the A-flat in the second chord of the motive functioned as the seventh of vii⁰₃/V in the key of F major. In Example 2, the A-flat in m. 22 functions as the root of a dominant

seventh chord in the key of D-flat major. This reinterpretation of A-flat also defers the expected cadence in F major in m. 21. Instead, there is a cadence in D-flat major two measures later, as demonstrated in Example 2 (V⁷ – I).

Mm. 15-23 serve as a transition from the key of F major to D-flat major, but this is only the first half of the transition and D-flat major is not the goal of the transition. Mm. 23-31 take the same transitional material and repeat it in D-flat major, only this time D-flat major goes to A major (mm. 29-31), which is the key area of the second theme (see Example 3).

Example 3. Brahms, Symphony no. 3, mvt 1, mm 29-31.

I⁶/D-flat M V⁷/AM I/AM

Thus, we experience a second cadential delay parallel to that in mm. 21-23, only this time the expected cadence in D-flat major in m. 29 is replaced by another iteration of the opening motive, which is now reinterpreted for an arrival in A major at m. 31.

The instrumentation for this second motivic reinterpretation (Example 3) is reduced from that of the previous two examples. The first chord shown in Example 3 is held out by the second flute, oboes, B-flat clarinet, horns, and second bassoon entering in m. 30. The first inversion D-flat Major chord already suggests a motion to another key with Brahms's enharmonic spelling of C-sharp in the flute and oboe. The A-flat, scale degree 5 in the key of D-flat major, is now reinterpreted enharmonically in the next chord as the third of a dominant seventh harmony in the key of A major (G-sharp = the leading tone in A Major). Despite its dominant function in A Major, m. 30 does not instantly switch to an A Major spelling. The A-flat remains in the horn held over from m. 29, while for all other instruments the note is spelled as G-sharp. Because of its reinterpretation, the A-flat becomes the note that must resolve to the tonic of the new key (previously, A-flat was common tone between the dominant and tonic of D-flat Major).

With the arrival in A Major, Brahms achieves his second key area in m. 31, and the second theme begins six measures later in m.

36. A Major is a third away from the tonic key of F Major. However, instead of modulating directly from F Major up a third to A Major, Brahms moves in the opposite direction by thirds, with the end result still being A Major for a second key area (F Major down a major third to D-flat Major, and D-flat Major/C-sharp Major down a major third to A Major). An important feature of this movement is the avoidance of dominant harmony of the tonic key, F Major. The motive in Example 1 suggests early on this lack of dominant in that the vii^{04}_3/V from the second measure never resolves to V until the coda (m. 187), where Brahms finally gives the dominant triad. It is interesting to note that even though Brahms avoids the dominant of F Major in the opening, the moments of reinterpretation in the exposition provide us with dominant to tonic motion (or cadences) in other keys.

The next reinterpretation of the opening 3-note motive occurs at the moment of recapitulation. The motive enters in m. 112 of the development in the key of E-flat Major and is immediately sequenced in m. 115 in the key of C-flat Major. This leads to a retransitional dominant at m. 118; however it is not the sonority expected for a return to the tonic key of the movement, F Major. Brahms then uses a parallel between mm. 120-122 and mm. 21-23 to set up the recapitulation in D-flat Major. The difference between mm. 120-122 and mm. 21-23 is only the inversion of the F Major triad (Example 4).

Example 4. Brahms, Symphony no. 3, mvt 1, mm. 120-124.

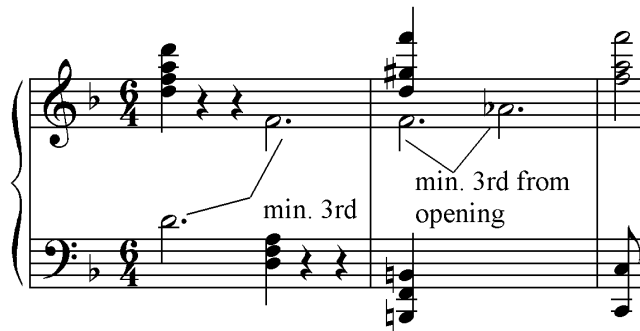
I/FM V⁷/D-flat M I/D-flat vii⁰⁴₃/V(F M) I/FM

Brahms's solution for this problem of beginning the recapitulation in the wrong key is to repeat the motive, beginning on the D-flat Major triad, and then harmonize the second and third notes as in mm. 2 and 3 (vii^{04}_3/V in the key of F) to return to the key of F Major for the recapitulation. Brahms thus combines both reinterpretations from the exposition. He confirms the return to the opening material in mm. 123-124 (as in to mm. 2-3) with the progression $vii^{04}_3/V - I$ in the key of F Major and with the entrance of the first theme in the tonic key at m. 124.

In the recapitulation, the respective key areas from the exposition D-flat Major (for the repeated transitional material from mm. 23-31) and A Major (second key area) are transposed down a fifth, as expected. One significant difference is that Brahms does not repeat the transition in the recapitulation. He does, nonetheless, still move to the key of D Major (the expected key area transposed down a fifth from the exposition) in a similar way. Mm. 140-141 are equivalent to mm. 21-23 in the exposition, but here the progression is transposed to I⁶/G-flat Major – V⁷/G-flat Major – I⁶/G-flat Major. Because there is no repeat of the full transition, Brahms telescopes the harmonic motion so that mm. 142-144 are equivalent to mm. 29-31 from the exposition (I⁶/G-flat Major – V⁷/D Major – I/D Major). Here, as in the corresponding measures in the exposition, scale degree 5 of G-flat Major (D-flat) is reinterpreted as the third of a dominant seventh chord in D Major (in other words the leading tone of D Major).⁶

Because the key areas are transposed down a fifth from the exposition, Brahms ends the recapitulation in the key of D minor since the exposition ended in the key of A minor. Of course, because the movement is in the key of F Major it cannot end here; thus a problem is posed for the end of the recapitulation and, once again, the opening motive is heard in m. 181 with the intent of modulating. This time, just as in the moment of recapitulation, the expectation is a return to F Major (Example 5).

Example 5. Brahms, Symphony no. 3, mvt 1, mm. 181-183.



M. 181 begins with a minor third ascent just as in the opening measures (F – A-flat) but now transposed to the key of D minor (D – F). In m. 182 Brahms again presents the ascending minor third from the opening measures, now at its original pitch level but harmonized differently (reinterpreted). This time instead of vii⁰⁴₃/V Brahms writes a root position vii⁰⁷/V in the key of F, spelled as vii⁰⁶₅/V in the key of D minor (with the use of G-sharp in all instruments except the

⁶ In the exposition scale degree 5 of D-flat was reinterpreted as the leading tone to A-major.

horn and bassoon, which are the only instruments playing the ascending minor thirds). Therefore A-flat is understood both as the seventh of vii^{07}/V in F Major and the root of vii^{07}/V in D minor: it serves as a connection between the end of the recapitulation and the key to which Brahms must return to close the movement (F Major). This double function sonority resolves to a I^6_4 chord in the key of F Major in m. 183, and only five measures later, on the downbeat of m. 187 Brahms finally produces the dominant harmony in the key of F Major, at last confirming the tonic key. As shown, in this movement Brahms continuously harmonically reinterprets the original three-note motive.

II. Symphony no. 2, movement 3

The next movement I look at features both harmonic and metric modulation. This further example of Brahms's motivic reinterpretation is in the third movement of his Second Symphony, a rondo, as shown in Table 2.

Table 2. Brahms, Symphony no. 2, mvt 3, form.

Section	Measures	Meter
A	1-32	3/4
B	33-101	2/4
A	107-125	3/4
C	126-187	3/8
A	194-240	3/4

This movement is shorter in performance than the first movement of the Third Symphony even though it is 16 measures longer. The difference is in the tempo markings for both the B and C sections; the tempo is so quick that it feels like one beat per measure (B: 2/4, C: 3/8). This proves to be an important feature in looking at how the opening two notes of the melody are reinterpreted between the large sections of the rondo (specifically upon the return of the A sections).

Example 6. Brahms, Symphony no. 2, mvt. 3, m. 1.

B-naturals in oboe melody
later reinterpreted

p

The main theme of the A section of this movement begins with two quarter notes on the third scale degree of the key of G Major (Example 6). These B-naturals then return at the end of the 2/4 B section. The tempo and meter change for the B section at m. 33 indicates that what was the quarter note beat for the A section now becomes equal to a half note, or in 2/4, the entire measure (in effect a metric modulation). At the end of the section in m. 101 there are repeated dotted quarter notes in the oboe, bassoon, and horn in C (Example 7).

Example 7. Brahms, Symphony no. 2, mvt. 3, mm. 101-107.⁷

Tempo Primo

B as third of G major triad

B as the root of half diminished seventh chord

B as the fifth of E dominant 7th chord

Due to the tempo differences between the A and B sections (quarter note from opening now equals length of half note) and the placement of the chords on the downbeat of each measure, the six measures in Example 7 imitate the opening two measures of the melody of the A section (with the third beat of each measure missing). Thus, before the official return of the A section meter and melody in m. 107 (indicated with the tempo return of the beginning – “Tempo Primo”) Brahms brings in the first two notes of the melody felt in the exact same time as the opening despite being set in a different tempo AND meter.

This is an example of Frisch’s developing variation achieved metrically. As Frisch puts it, a “new element in Brahms’s style is an extensive use of meter as a tool of developing variation,”⁸ and Brahms’s metrical procedures “become tools of developing variation,

⁷ In measures 101-102 the B-naturals occur in the first oboe, second horn in C and first bassoon; in measures 104-105 the B naturals are only in the second horn in C and the first oboe.

⁸ Frisch, 84.

means for *modifying* and *transforming* thematic-motivic material [emphasis mine].”⁹

In addition to reinterpreting the presentation of the motive in a different meter, when the A section motive returns, there is also harmonic reinterpretation of the motive. It returns the first time as before as the third of a G Major tonic triad (m. 101), then Brahms uses it as the root of a half diminished seventh chord (m. 104), and finally as the fifth of an E dominant seventh chord (V^7/ii in G Major) (m.107). In this way not only are the B-naturals reinterpreted metrically, but also harmonically upon the return of the A section. Brahms blurs the formal boundaries with this motivic reinterpretation because the cadence on G Major and the return of the B-naturals from the opening of the theme suggest that the A section returns in m. 101 even though the Tempo Primo is still six measures away. M. 114 also starts with the same repeated B-natural motive, through this time the motive marks the beginning of what is eventually understood as a new thematic idea in the key of E minor, which then cadences at the end of m. 125 in E Major. This cadence marks the end of the second A section and is evidence of Brahms having traversed a far distance via reinterpretation of his opening motive.

Like the B section, the tempo and meter of C are different than the A section, with the meter now 3/8. Unlike the beginning of the B section where the tempo changed (m. 33) and there was a specific indication of quarter note = half note, there is no equivalent marking here except that this section is at a faster pace than the previous sections (marked *Presto ma non assai*, m. 126). Near the end of the section, in m. 188, Brahms changes the meter to 9/8 and gives the opening two B-naturals again, this time in the flute, clarinet, and bassoon (Example 8).

Unlike the end of the B section (Example 7), the B-naturals in m. 188 (Example 8) do not enter over a G harmony; rather, they are the root of a dominant seventh chord in E minor, then the seventh of a C-sharp half-diminished seventh chord in m. 189. In mm. 190-191, the B-naturals function as the root of the dominant of E minor. Mm. 190-194 are then a transition from what sounds like the tonal goal, E minor, to the key of F-sharp Major in m. 194.

⁹ Frisch, 92-93.

Example 8. Brahms, Symphony no. 2, mvt 3, mm 188-194.

B-natural as root of dominant seventh chord

B-natural as seventh of c-sharp minor seventh chord

B-natural as root of dominant chord in E minor

B-natural as third of a G-sharp half-diminished seventh chord

B-natural as seventh of C-sharp dominant seventh chord

In m. 191 Brahms changes the metric placement of the B-naturals. In the original presentation in m. 188, the two B-naturals occur on beats 1 and 2. In m. 191, the presentation of the two B-naturals is altered, placing them on beats 1 and 3. This is also the crucial moment when the B-natural is reinterpreted from scale degree 5 of E minor to scale degree 4 of F-sharp Major so that the sonority is the dominant seventh of F-sharp Major and B-natural is the seventh of the chord. At m. 194 there is then a cadence in F-sharp major and a return of the entire first eight measures of the A section theme but in the “wrong key” of F-sharp major. However, by the end of these eight measures (mm. 194-201) Brahms has moved to the key of B Major; therefore F-sharp Major was really an extension of the dominant of B Major.¹⁰ This statement of the theme in the wrong key through metric AND harmonic motivic reinterpretation blurs the formal boundary between the end of the C section and the beginning of the final A section. At the close of this movement fragments of the opening theme are heard a final time (in the oboe mm. 233-236) and in m. 239 there is a final iteration of the

¹⁰ This is accomplished with the use of e-natural m. 198 & 200 in the first violin, lowered scale degree 7 in F-sharp major, OR scale degree 4 in B-major. If the melody were to remain in F-sharp major, Brahms would have written an e-sharp.

B-naturals in the correct rhythm and tonic harmony to finish the movement (Example 9).

Example 9. Brahms, Symphony no. 2, mvt 3, m. 239.



Similar to the motivic reinterpretation discussed in the Third Symphony, these reinterpretations focus on a single note, reharmonized specifically at moments of return to the A sections of a rondo. Unlike the first movement of the third symphony, the motivic reinterpretations in this movement also involve meter changes that blur the formal lines between sections.

III. Six Piano Pieces, Op. 118 no. 6

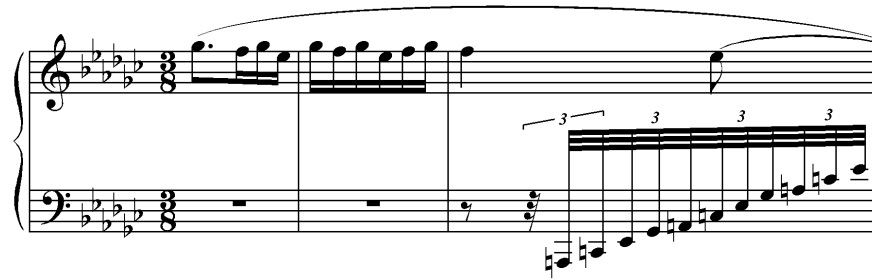
The final piece of Brahms’s op. 118 provides an additional example of motivic reinterpretation. The form of this piece is outlined in Table 3.

Table 3. Brahms, 6 Piano Pieces, op. 118, no. 6, form.

Section	Measures
A	1-40 1-20 21-40 (varied repeat of mm. 1-20)
B	41-62
A'	63-86

In this movement I will look at the opening of the first few measures that returns several times throughout the movement. In the key of E-flat minor, the theme (Example 10, right hand) weaves around scale degrees 1, 2 and 3, but just before the return of A in m. 64, these same pitches are reinterpreted in the context of D-flat major. I will focus on how Brahms abandons the expected resolution at m. 63 and returns to the original key of E-flat minor, thereby completely avoiding any cadential motion between the B and second A sections (in addition to observing other moments where this motive occurs in the piece).

Example 10. Brahms, 6 Piano Pieces, op. 118 no. 6, mm. 1-3.



The piece begins with a treble melody in the key of E-flat minor – the sound of the tonic triad immediately implied by the melodic contour with the implied tonic harmony of E-flat minor and scale degree 2 as neighbor or passing motion (Example 10). However, in m. 3 with the addition of the left hand, we no longer hear the implication of a stable harmony in the key of E-flat minor, but rather an arpeggiation of vii^{07}/V in the key of E-flat minor (mm. 3-7a).

In measures 60-62, the theme returns again but this time heard in the context of D-flat Major (Example 11). The notes of the opening motive, G-flat – F – E-flat, are reinterpreted here as scale degrees 4, 3, 2 in the key of D-flat major. This reinterpretation is supported by the dominant seventh harmony of D-flat Major in m. 61-62. However, instead of the expected resolution to D-flat Major in m. 63, Brahms repeats the theme by itself, as it appears at the beginning of the piece (second system of Example 11), except now an octave lower. Mm. 63-65 are thus almost identical to the opening three measures of the piece; the exception is that the left hand enters with the vii^{07}/V harmony two measures “early.”

There are also registral similarities between the opening five measures and mm. 60-65. The D-flat Major reharmonization of the opening theme is in the same register as the opening three measures. Mm. 63-65 are written in the same register as mm. 5-7. The similarity between thematic registers in measures 1-7 and mm. 60-65 also add another level of blurred formal connection within this movement. In addition to a harmonic motivic reinterpretation, Brahms uses a textural motivic reinterpretation that sets this piece apart from the other two I have discussed so far.

Example 11. Brahms, 6 Piano Pieces op. 118, no. 6, mm 60-65.

Statement of original theme
harmonically and texturally
reinterpreted in the key of D-flat major

statement of original theme with
correct harmony AND texture

It is the textural and registral similarity between the opening measures and mm. 63-65 that bring clarification to Brahms's blurring of the formal boundary in this piece. Scott's thematic transmutation does include the emergence or reappearance of a previous theme out of another theme and in her work she discusses this particular theme, focusing on its last 2 pitches: F-natural and E-flat. However, instead of hearing a thematic transmutation between measures 60-63 and 64-65, she considers 60-63 to be a statement of the theme in the "wrong cadential harmony."¹¹ Scott does not deal with measures 64-65 of this movement at all. While the piece is in E-flat minor—so it is logical to expect a return to that key after flirting with D-flat Major—the build up to a cadence in D-flat Major sounds too strong to simply consider it a cadence in the wrong key. This

¹¹ Scott, 190.

interpretation also completely ignores the significant textural similarities and differences between the two consecutive statements of the theme (mm. 60-65) and the opening measures of the movement.

Similar to the motivic reinterpretation in the first movement of the Third Symphony and the third movement of the Second Symphony, in op. 118 no. 6, Brahms takes a specific pitch or (in this case) group of pitches and reinterprets them at a moment of return to the original material. Two unique aspects of Brahms's motivic reinterpretation in this piece are that he reinterprets more than just a single pitch; in fact, the entire theme is reinterpreted at the end of the B section to suggest a motion to D-flat Major, a goal that is never reached. Brahms also uses a more subtle method of motivic reinterpretation, initially placing the return of the theme in a different textural and registral setting. Again, Brahms's motivic reinterpretation blurs the line of large scale formal divisions via the lack of a cadence between the B and second A sections.

I chose these three works specifically because each has a unique way it reinterprets the motive that the others works do not. While doing so in a variety of ways, Brahms consistently blurs large scale formal divisions through motivic reinterpretation. Brahms's use of developing variation, or motivic reinterpretation, is accepted and discussed by many scholars. This paper has taken Brahms's technique as used in three unrelated movements or works, focusing on more obvious methods of harmonic and metric reinterpretation in addition to a more subtle, but no less important, textural reinterpretation. Hopefully further research will consider how Brahms uses these less obvious methods as a means to understanding the complex formal structures of his works.

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Mahler's Voice through Goethe's Words: The Reinvention of "Faust, Part II" in the Eighth Symphony

J. COLE RITCHIE

When Mahler envisioned the opening of the "Chorus Mysticus," the culminating moment of his Eighth Symphony's second movement, he composed the first five measures on a sheet of toilet paper.¹ Harsh critical reception suggests that reviewers deemed the paper's original intention more appropriate. Theodor Adorno's monograph on the composer unleashes a long diatribe against what is clearly his least favorite of Mahler's symphonic works; he calls it "ostentatious cardboard, [a] giant symbolic shell" and then asserts that the Eighth is "the aborted, objectively impossible resuscitation of the cultic."² The symphony's purported failing rises in part from its aspiration for lasting significance: "In reality it worships itself."³

The critics' claims in part arise from Mahler's audacity to compose such an extravagant musical spectacle. The immense size of the symphony's musical forces (featuring an enlarged orchestra as well as two mixed choirs and a children's chorus; thus the propaganda-stylized moniker 'Symphony of a Thousand') is only equaled by the sublime dimensions of the individual movements. Despite having only two movements, a performance of the Eighth is nearly 90 minutes in duration; the second movement alone requires approximately one hour.

However, Adorno's primary point of contention goes above and beyond Mahler's supposed intent to write such grandiose music. The composer's textual choices, the Pentecost hymn *Veni Creator Spiritus* and the final scene from Goethe's *Faust, Part II*, as well as his changes to these texts, inspired much of the invective. Hans Mayer, a preeminent Goethe scholar, shared this sentiment. He wrote that Mahler was a "first-rate usurper" and a "naïve dilettante."⁴ In Mayer's opinion, the composer appropriated the final scene so as to "construct a profane message in which he also managed to identify himself with Goethe."⁵ Mayer stated that the connection between the second movement of the symphony and *Veni Creator Spiritus* was

¹ Henry-Louis de La Grange, *Gustav Mahler, vol. 3, Vienna: Triumph and Disillusion (1904–1907)* (Oxford: Oxford University Press, 1999), 1:890.

² Theodor W. Adorno, *Mahler: A Musical Physiognomy*, trans. E. Jephcott (Chicago: The University of Chicago Press, 1992), 138.

³ Adorno, *Physiognomy*, 138.

⁴ Hans Mayer, "Musik und Literatur," in *Arnold Schönberg, Ernst Bloch, Otto Klemperer, Erwin Ratz, Hans Mayer, Dieter Schnebel, Theodor W. Adorno über Gustav Mahler* (Tübingen: Wunderlich Verlag, 1966), 145; 146.

⁵ Mayer, 148.

problematic because the composer's edited version removed the Christian interpretation of *Faust's* conclusion.⁶ Adorno faulted Mahler's alterations for neutralizing the drama's effect.⁷ Adorno, too, had written an essay ("Zur Schlussszene des Faust"; 1959) that analyzed the final scene of Goethe's drama. These two critics intimately knew the text and did not appreciate Mahler's revision of the German masterwork.

When most analysts of the Eighth Symphony reproduce Mahler's edited version of the text, they usually mark the alterations with a mere footnote listing the changes.⁸ The aforementioned harsh literary criticism is a possible impetus for the absence of these edits in musicological discourse. Even Henry-Louis de la Grange's massive four-part investigation into Mahler's life and works confines discussion of the alterations to less than half of a page.⁹ These very omissions and rearrangements, however, enable Mahler to craft the final scene according to his own vision. His music reflects and, in many ways, supports these adaptations, which adds strength to his philosophical implications. The highly abstract and symbolic nature of the final scene was conducive to Mahler's textual manipulation; thus, the composer could easily mold Faust's salvation into his own vision of love's redeeming power.

I

Faust was Goethe's life's journey: his development as a writer is encompassed within the drama.¹⁰ He completed the initial version of the story, the '*Urfaust*' manuscript, by age 26.¹¹ Goethe then published the first part of the drama as *Faust: a Fragment* fifteen years later in 1790.¹² He meticulously revised and reworked the second half of the story, *Faust: Part II*, until just a few months prior to his death in 1832.¹³ *Part II* never achieved the popularity of its predecessor even in Germany and has subsequently become assimilated into scholarly, rather than popular, discussion.¹⁴ This is

⁶ John Williamson, "The Eighth Symphony," in *The Mahler Companion*, eds. Donald Mitchell and Andrew Nelson (Oxford: Oxford University Press, 1999), 411.

⁷ Adorno, *Physiognomy*, 138.

⁸ For examples, see Donald Mitchell, *Gustav Mahler: Songs and Symphonies of Life and Death; Interpretations and Annotations* (Berkeley: University of California Press, 1985), 552–67.; and La Grange, 896–904.

⁹ La Grange, 896–904.

¹⁰ Walter Kaufmann, forward to Johann Wolfgang von Goethe, *Goethe's Faust*, trans. Walter Kaufmann (New York: Anchor Books, 1990), 21.

¹¹ Kaufmann, 4.

¹² Kaufmann, 4.

¹³ Kaufmann, 7.

¹⁴ Kaufmann, 21.

due in part to the abstractness of the writing itself: "The world in *Faust II* is reflected not as reality but as image."¹⁵

The final scene of act 5, "Bergschluchten" (Mountain Gorges) is no exception. Faust had just died the previous scene and Mephistopheles, who wished to take Faust's soul as per their agreement in the first part of the play, is thwarted by heaven. One important agent for Faust's redemption, Una Poenitentium (formerly Gretchen), with the help of three other penitent women (Magna Peccatrix, Muler Samaritana, and Maria Aegyptiaca), seeks redemption for Faust, her former seducer and lover. Their pleading allows Faust's body to ascend from the middle region of the mountain (each region symbolizes the planes of the spiritual world with the "higher spheres" representing heaven) to a higher level. The scholar's transition between different levels on the mountain symbolizes the unrepentant Faust's salvation through Una Poenitentium's forgiveness and love.

While the primary purpose for this scene is to illustrate the salvation of Faust through Gretchen's forgiveness, it also contains allegorical elements of the Christian final judgment, enacted in this case by the Mater Gloriosa: Goethe's amalgamation of the Virgin Mary and the Pagan Earth Mother.¹⁶ This dual sovereignty of the Christian matriarch and nature's goddess (the latter a product of Goethe's own pantheistic beliefs) brings forth the unifying elements for salvation. Goethe divides Faust into two halves: the mortal (physical) and the immortal (spiritual). Each of these divisions is represented by one of the entities that comprise the Mater Gloriosa; the Earth Mother occupies the physical world while the Christian mother appeals to spirituality.

That Faust was closely associated with the Devil, never atoned for his life's pursuit of knowledge, and yet still attained heaven expressed Goethe's conception that "He who strives on and lives to strive / can earn redemption still," (lines 11936-37).¹⁷ Through this final scene, which is essentially Goethe's *Deus ex machina* to preserve his character from the depths of hell, Faust would gain forgiveness for his transgressions. Because Faust spent his earthly life continuously striving for understanding, a creed thoroughly in line with Enlightenment ideals despite *Part II's* completion decades after the conclusion of the philosophical era, Goethe would not allow the scholar to fall victim to the machinations of Mephistopheles. Christoph König explains that "the downfall of

¹⁵ John Gearey, *Goethe's Other Faust: The Drama, Part II* (Toronto: University of Toronto Press, 1992), 185.

¹⁶ La Grange, 896.

¹⁷ La Grange, 899.

Faust ordained from on high was unthinkable.”¹⁸ Man would not be punished for a life given to the pursuit of knowledge.

II

In a June 1909 letter to his wife Alma, Mahler specifically details his comprehension of Goethe’s masterpiece and, in particular, his emphasis on the “eternal feminine.”¹⁹ The letter, which is a response to Alma’s own reading of the scene, presents the relationship between the eternal feminine and the eternal masculine (“the eternal longing, striving, and movement toward [the eternal feminine]).”²⁰ The composer then praises his wife for her deduction that the eternal feminine is best described as “the power of love.”²¹ The dialectic between the masculine and the feminine relates specifically to the composer’s relentless work ethic (associated with the eternal masculine) and his love for Alma (the eternal feminine). This element of struggle toward the eternal feminine is the path to redemption for both Faust and Mahler.

The letter also illustrates a clear connection between Mahler’s understanding of *Faust*’s final act and Goethe’s pantheism. A distinctly nature-based element pervades Mahler’s interpretation of Faust’s final redemption: “that which attracts us with mystical power, which every creature, and perhaps even the stones, feels with absolute certainty to be the very centre of its being, [it is that] which Goethe at this point...calls the eternal feminine.”²² Mahler would find a spiritually like-minded artist in Goethe: “The only God he recognizes merges with nature: the All, of which he, Goethe, is part. And it is as a part of the divine All that Goethe honours and esteems himself. His individualism is a part of his worship, and his duties towards himself are derived from his duties toward God.”²³ Both Goethe and Mahler act as “secular saint[s] for whom religious rites counted for nothing,” yet they remain firmly attached to a religious foundation: Mahler chose to set the text of *Veni Creator Spiritus* for the Eighth Symphony’s first movement; Goethe’s final scene of *Faust, Part II* contains undeniable Catholic overtones such as the *Mater Gloriosa*.²⁴ Conrad Burdoch notes the religious incongruity between Goethe’s personal beliefs and the heaven he portrays at the end that neither he nor Faust could accept.²⁵ Still, it is this mysticism that acts

¹⁸ Christoph König, “Cultural History as Enlightenment: Remarks on Ludwig Geiger’s Experiences of Judaism, Philology, and Goethe,” in *Goethe in German-Jewish Culture*, eds. by Klaus L. Berghahn and Jost Hermand (Rochester, New York: Camden House, 2001), 77.

¹⁹ Gustav Mahler, quoted in La Grange, 466–67.

²⁰ Mahler, quoted in La Grange, 467.

²¹ Mahler, quoted in La Grange, 467.

²² Mahler, quoted in La Grange, 466–67.

²³ André Gide, quoted in La Grange, 485.

²⁴ La Grange, 485.

²⁵ Conrad Burdoch, quoted in Gearey, 186.

as the redemptive agent for Faust's spiritual half. Mahler's philosophy, as expressed in his reworking of *Faust, Part II*, is that one must liberate both the spiritual part of the soul as well as the physical (through the pursuit of the eternal feminine) to achieve love and redemption.

III

Mahler's alterations to Goethe's drama fit into four specific categories: omission, reordering, layering, and reattribution of text. Omitting those parts that do not support Mahler's redemptive path would be the easiest way to create his philosophical message from the "Bergschluchten." A second technique, reordering, allows Mahler to take Goethe's original words, in their original poetic verses, but rearrange them so that they convey his desired interpretation instead of Goethe's original meaning. In contrast to omission and reordering, layering and reattribution do not actually alter the order of the text. Layering occurs when two distinct texts sound simultaneously, thus connecting the passages interpretatively and musically. The entrance of the second text typically emphasizes and comments upon a specific line or idea in the first to create additional significance. Finally, reattribution is the movement of text from one speaker to another. This technique can potentially distort the text because the words of one character or allegorical figure are now spoken by another, changing the impetus and nature of the lines. Each of these four tactics allows Mahler to tailor Goethe's final scene to his own purpose.

Using Ortrun Landmann's episodic division of the final scene as a reference for placing the alterations within the movement's narrative context (Appendix A), the most prominent omission of text is within the first episode: "Description of the landscape; presentation of the Paters; entrance of the angels with the soul of Faust (up to 'die ewige Liebe', line 11965)."²⁶ The excluded section of text is substantial, encompassing lines 11890–11925 (See Appendix B for text and translation). Because Mahler removes only ten lines from the remainder of the text, the excision of an entire event is noteworthy. The omitted passage features a dialogue between the anchorite Pater Seraphicus and the Selige Knaben (blessed boys). Pater Seraphicus, located in the middle region of the of the mountain, introduces the boys to the wonders of the earth, but they are frightened. They quickly ask to leave, to which Pater Seraphicus replies that they can "rise now to a higher sphere" (*Steigt hinan zu höherm Kreise*). The omission ends just before the boys start to sing blissfully around the highest peak.

The only explanation of the revision, provided by Susanne Vill, is that the omission of the anchorite removes the symmetry of

²⁶ Ortrun Landmann, quoted in La Grange, 912.

characters.²⁷ Including Pater Seraphicus would create symmetry between four males (the three anchorites and Doctor Marianus) and four females (Una Poenitentium/Gretchen and the three other penitent women) with the Mater Gloriosa positioned at the center.²⁸ The asymmetry caused by the removal of this character is only noticeable visually; thus, the character and his dialogue are not necessary in a musical setting.²⁹ Vill's analysis of the scene, however, avoids the deeper implications of the dialogue and how its omission eliminates some of the Christian imagery, a criticism in line with Hans Mayer's condemnation.

John Gearey describes the Selige Knaben, represented in Mahler's symphonic setting by the children's chorus, as "a chorus of young souls seeking their way. These children, 'born at midnight,' that is between light and darkness...having died unbaptized in the world and in the church bear no traces of human experience on their souls."³⁰ They are the uncorrupted, naïve spirits trapped in limbo (symbolized by the mountain's middle section in which the boys meet Pater Seraphicus) awaiting their release from stasis by the same Deus ex machina that will redeem Faust. According to Catholic theology, the unbaptized children's ascension to heaven from limbo is associated with the second coming of Jesus Christ. Mahler's removal of this passage avoids explicitly Catholic elements, a curious approach given his choice of a Catholic hymn as the basis of the symphony's first movement.

However, this deleted sequence features a potentially damaging element to Mahler's concept of redemption through nature: namely, the boys' initial reaction to the wonders of the earth. When Pater Seraphicus first identifies the presence of the infant spirits (*junge Geisterschar*), and they ask the Pater what they are seeing, he recognizes that they have not suffered the tribulations of earthly life and thus explains the surrounding landscape. After viewing the rocks, trees, and rushing water, the boys are frightened: "What we see is full of might, / but too somber to conceive; / We are shaken with sheer fright. / Noble, good one, let us leave" (lines 11914–17). Terror in the face of nature's majesty clearly does not correspond to Mahler's pantheistic sympathies; thus, he removes it and relocates the boys' subsequent rejoicing chorus (lines 11926–11933) elsewhere.

²⁷ Suzanne Vill, quoted in La Grange, 904, fn. 41.

²⁸ Vill, in La Grange, 904.

²⁹ Vill, in La Grange, 904.

³⁰ Gearey, 188–89.

Example 1. Goethe, *Faust, Part II*, trans. Walter Kaufmann: lines 11926–11933

	CHOR SELIGER KNABEN (<i>un die höchsten Gipfel kreisend</i>)	CHORUS OF BLESSED BOYS (<i>circling around the highest peaks</i>)
	Hände verschlinget [euch] ³¹	Hand in hand clinging,
	Freudig zum Ringverein,	Joyously reeling,
	Regt euch und singet	Stirring and singing
	Heilge Gefühle drein!	Of holy feeling,
11930	Göttlich belehret,	Divinely inspired,
	Dürft ihr vertrauen;	You may be bold;
	Den ihr verehret,	Whom you admired
	Werdet ihr schauen.	You will behold.

This chorus appears at rehearsal 58, layered in counterpoint with the choir of angels bearing Faust's immortal half. The placement of the text implies that the boys are now cheering for Faust. The moment within the angels' text at which the boys' chorus enters solidifies this interpretation. To facilitate reappropriation of the chorus, Mahler again manipulates the text, reordering the angels' stanza to appear before the words of the blessed boys. The children's choir enters following a couplet which Mahler clearly wished to accentuate: "Who ever strives with all his power, / We are allowed to save" (Lines 11936–37). The boy's arrival comes in the middle of "erlösen" (save) and continues in a tonally ambiguous manner (see Example 2). Their melody features a chromatic descent on the words "Heil'ge Gefühle" (holy feeling) two measures before rehearsal 59 and then concludes with a descending tritone from E to A-sharp at rehearsal 60. In addition to the timbral incongruity between the vocal qualities of the children's choir and the adult angels, Mahler emphasizes C-sharp, the second scale degree of B major, for four consecutive measures (mm. 411–14) so as to reinforce the peculiarities of the line. Mahler may in fact be evoking the very material he chose to omit through the blessed boys' nebulous melodic direction. Having never experienced the world, the blessed boys would not be expected to adhere to the theoretical ideas that govern earthly music; the boys' lyrical line tends to meander around the key center as opposed to the choir of angels that sings simultaneously yet remains closer to the established tonality. Not yet angels, the blessed boys must learn the heavenly approach to music.

³¹ The word "euch" was added by Mahler.

RITCHIE

Example 2. Mahler, Eighth Symphony, mvt. 2 , reh. [57] + 3.

Knabenchor *ff* Han - de ver

Chor der Engel *sempre ff* *sf* Wer im - mer stre-bend sich be-müht, den kön - nen wir_ er - lös - en;

58
schlin-get euch freu - dig zum Ring-ver - ein, regt euch und sin - get heil' - ge Ge-
ff und hat an ihm die Lie - be gar von o-ben teil - ge-

59
füh - le drein! Gött - lich be - leh - ret, dürft_ ihr ver - trau - en;
nom - men, be - geg - net ihm die sel - ge Schar

60
den ihr ver - eh - ret, wer - det ihr schau - en.
mit herz - - li - chem Will - kom - - - men.

The boys' chorus initially adheres to the established key of B major at its entrance (reh. 58), but five measures into the polychoral texture, the entire ensemble highlights an E major chord, which, in addition to functioning as the subdominant of B, is the key that represents the Mater Gloriosa as evinced by her entrance at rehearsal 106.³² The presence of this chord, aided by the misappropriated cheers from the blessed boys, is a brief section of anticipation for Mahler's musical and philosophical direction.

IV

Not all of Mahler's omissions are as egregious as this deletion of an entire event. At the outset of Landmann's second episode, "We approach the sphere of the Mater Gloriosa; Dr. Marianus and the children start to take care of Faust's soul (up to 'Göttern ebenbürtig', line [12012])," Mahler removes a single line from the text of Die Jüngeren Engel: "Die Wölkchen warden klar" (The clouds part and grow clear).³³ The absence of this line at first seems inconsequential. In the scene, the younger angels look up to the highest peak, which is obscured by clouds that then separate and the angels can identify the Seliger Knaben floating above in a circle. By removing that line, the clouds that previously obstructed the angels' view of heaven

³² Williamson, 415.

³³ Landmann, quoted in La Grange, 912.

disappear and a clear path to paradise is visible. Intriguingly, three of the four omitted passages from the “Bergschluchten” contain the word “Wölkchen” (little cloud): this section, the first line of Pater Seraphicus’s text (“Welch ein Morgenwölkchen schwebet,” line 11890), and a section in Doctor Marianus’s speech detailing the beauty of the Mater Gloriosa (“Sich leichte Wölkchen,” line 12014). Omitting the cloud imagery from Goethe’s text allows an unobstructed view of heaven. However, the exclusion of this line is not Mahler’s most noticeable alteration to the text of the younger angels.

The reordering of entire blocks of text occurs several times in the movement, often in conjunction with the layering procedure. Conversely, in only two locations does the composer actually change the order of individual lines: this section with the younger angels (lines 11966–74) and a couplet that concludes the penitent women’s address to the Mater Gloriosa (lines 12035–36). In the latter case, the lines are simply inverted, and the similarity of their content and construction, “Du Ohnegleiche, / Du Gnadenreiche!,” makes the exchange a negligible issue. The former example is a stark contrast, however, as Mahler meticulously reorders the text of the younger angels in addition to erasing the above mentioned line (see Example 3).

After removing line 11970, Mahler inverts each couplet except for the final two lines. While this reordering facilitates some grammatical changes (most noticeably the clarification of the direct object for “Ich” now in line 1), the primary roles of the rearrangement are to strengthen the couplet pairing and to reverse the rhythmic pattern created by the poetic meter. The focus on the structure of the text also coincides with Mahler’s removal of line 11970 as, along with removing the imagery of the clouds as mentioned above, its syllabic construction does not correspond to the established rhythm found in the surrounding lines and thus should be omitted for the sake of presentation.

Example 3. Comparison of Goethe’s Original and Mahler’s Reordering, lines 11966–74.

Goethe’s Original	English Trans. (Kaufmann)
Nebelnd um Felsenhö Spür ich soeben, Regend sich in der Näh, Ein Geisterleben.	Misty round rocky height I now discover, Stirring in nearby flight Spirits that hover.
11970 Die Wölkchen werden klar,	The clouds part and grow clear,
Ich seh bewegte Schar Seliger Knaben, Los von der Erde Druck, Im Kreis gesellt,	I see a host appear Of blessed boys; Freed from the stress of earth, Their circle comes near,

Example 3 cont.**Mahler's Reordering**

- (2) Ich spür soeben,
 (1) Nebelnd um Felsenhöh',
 (4) Ein Geisterleben,
 (3) Regend sich in der Näh'.
 (7) Seliger Knaben
 (6) Seh ich bewegte Schar
 (8) Los von der Erde Druck,
 (9) Im Kreis gesellt,

English trans. provided for performances³⁴

- I have just perceived,
 Like a mist around the rocky
 heights,
 Bustling nearby,
 A stir of spiritual activities.
 I see an excited troop
 Of blessed boys,
 Free from earth's pressure,
 Assembled in a circle,

To accentuate the construction and periodicity of these pairings, Mahler sets the passage using two-measure sections for each verse and keeps the couplets rhythmically self-contained. The music for the first three couplets repeats a rhythmic pattern, in which each segment of the couplet sounds like the reverse of the other (see Example 4).

Example 4. Mahler, Eighth Symphony, mvt. 2, reh. 81.

Soprano
 Ich spür' so - c - ben, ne - belnd um Fel - sen - höh',
 Alto
 Ich spür' so - c - ben, ne - belnd um Fel - sen - höh',

While the line is clearly not palindromic, the dotted-quarter to eighth-note rhythm bookending the period separates the individual groups. In addition to the rhythmic relationship linking the first three couplets, the opening melodic gesture is the same in each period: the half-step arc B-flat – C-flat – B-flat. Mahler's setting of the manipulated text illustrates an interrelation both within and between the couplets.

At first, the pattern appears to continue through the fourth couplet (five measures after rehearsal 82) as the B-flat–C-flat–B-flat opening motive is again repeated; however, this motion recurs in the following measure, breaking the established pattern. The following line ultimately terminates the pattern by extending to three

³⁴ Gustav Mahler, *Symphony No. 8* (New York: Dover Publications, Inc., 1989).; Interestingly, the translation that accompanies the score includes the omitted line 11970 (“Die Wölkchen werden klar”) and translates it as “the cloudlets become clear.”

measures and concluding with an ascending diminished fifth in the soprano. As this deviation from the previously-established motive coincides with the only two lines of the stanza that Mahler did not invert, it emphasizes Goethe's original order: "Freed from the stress of earth / Their circle comes near." The angels' ascension to join the blessed boys at the heavenly level, in accordance with Mahler's reinterpretation of the text, is now due in part to the spirituality of nature.

V

Mahler subjects Doctor Marianus's initial speech (lines 11989–12030) to more modification than any segment of Goethe's final scene: textual omissions, reordering, reattribution, and even a displacement of stage direction all appear within this segment. Overlapping Landmann's second and third episodes (the third episode being the "Principal episode: appearance of the Mater Gloriosa; prayers of the three sinning women and of Gretchen (from line 12075)"), the changes to this portion build excitement leading up to the grand entrance of the Mater Gloriosa.

The majority of the layering —Doctor Marianus begins four lines from the conclusion of the younger angels' second stanza and the blessed boys, who in Goethe's original precede Marianus, are inserted after the Doctor's first couplet— serves to insert polychoral effects into the section as each of the character groups address different aspects of the scene: the younger angels speak of raising Faust to Paradise, the blessed boys are excited by their promotion to the level of angels and feel that Faust should receive a similar treatment, and Doctor Marianus extols the virtues of the Mater Gloriosa. Marianus's solo continues beyond calls for Faust's salvation, implying that the splendor of the Mater Gloriosa is the prevailing emotion of Mahler's scene. Indeed, the choir joins Marianus for three of his final four lines. The text, "Virgin, beautifully pure, / Venerable mother, / Our chosen queen thou art" (lines 12009–11), reflects the importance that Mahler places upon the Mater Gloriosa as the eternal feminine.

To heighten this concept further, Mahler shifts the Mater's entrance from the conclusion of Doctor Marianus's speech to the middle. Marianus concludes his solo without choral accompaniment on the line "Göttern ebernbürtig" (Peer of gods, no other!) (line 12012, the end of the Landmann's second episode) at rehearsal 104. The music crests nearing the sixth measure after rehearsal 105 then slowly dies away into a semitone modulation from E-flat major to E-major accompanied by a textural reduction to only a sustained chord in the harmonium, arpeggiations in the solo harp, and a stately melody in the first violin. When the words of Doctor Marianus return at rehearsal 109, they are sung not by the Mater's herald as Goethe intended but instead by a choir. This instance is potentially

one in which Mahler makes an alteration primarily to aid the drama. The chorus assumes the words of Doctor Marianus beginning with “Thou art undefilable” (line 12020), heightening the musical intensity of the section by expanding the size of the ensemble presenting those lines.

For the entrance at reh. 109, Mahler needed to omit seven lines (12013–19; Example 5) from Marianus’s speech.

Example 5. Goethe, *Faust, Part II*, trans. Walter Kaufmann: lines 11966–74.

	DOCTOR MARIANUS	DOCTOR MARIANUS
	<i>(in der höchsten, reinlichsten</i>	<i>(in the highest, cleanest cell):</i>
	<i>Zelle):</i>	
	Um sie verschlingen	Clouds form a garland
	Sich leichte Wölkchen,	Around her splendor
12015	Sind Büßerinnen,	Penitent women,
	Ein zartes Völkchen,	People so tender,
	Um Ihre Kniee	Her knees embrace,
	Den Äther schlüpfend,	Drinking the ether,
	Gnade bedürftend.	Asking her grace.

Marianus’s lines are largely descriptive: the penitent women embrace the knees of the Mater and ask for her grace. The imagery cannot be literal as in Goethe’s text because the Mater Gloriosa has not yet entered the scene, but the deleted section plainly states the women’s purpose. Though Mahler shifts the Mater Gloriosa’s entrance to earlier in the scene, the omitted passage’s literal meaning does not fit the composer’s philosophical aim; and thus he replaces it with an orchestral interlude that frames her arrival.

The other omission in this section, “Wen betört nicht Blick und Gruß / Schmeichelhafter Odem?,” (One is fooled by eye and lip / Flatteries smooth as oil) again revolves around a description of the penitent women rather than the Mater Gloriosa. These lines describe a love that is not spiritual but physical as they speak of being fooled by eyes, lips, and flattery. Mahler retained earlier passages explaining that one cannot independently free oneself from lust’s chains, so he may have felt that details of the women’s sins were unnecessary. However, because the section featuring Doctor Marianus’s solo, and the movement itself, points toward the glory of the eternal feminine, explaining exactly how these women were seduced would distract from the eternal feminine’s relationship with the eternal masculine. The idea that one could circumvent the struggle to attain the eternal feminine through deceit and avoid the virtue of labor, the trait epitomizing the eternal masculine, does not support Mahler’s philosophy as outlined in his letter to Alma.

VI

Mahler found it necessary to edit Goethe's text in order to extract his desired meaning. The composer's numerous reorderings and omissions clear away the text that obscured his philosophical aim: the path to the eternal feminine through struggle and determination. Still, regardless of the composer's lofty intent, that Mahler had the audacity to deem himself worthy to modify one of Germany's literary masterpieces was particularly offensive to critics, as was his exploitation of Goethe's *Deus ex machina* to support his own interpretation. In light of the multitude of pessimistic readings that describe Mahler's other symphonies, the Eighth Symphony seems disingenuous. Adorno felt the composer's greatest crime was that of the redeemer; however, in light of Mahler's principal edit (removing the "Bergschluchten" from its original context and juxtaposing it with the first movement's *Veni Creator Spiritus*), the redemption of the symphony itself can be found by understanding the composer's philosophy through the words of Germany's most important poet.³⁵

³⁵ Adorno, *Physiognomy*, 142.

Appendix AOrtrun Landmann's Episodic Divisions of the Second Movement:³⁶

1. Description of the landscape; presentation of the Paters; entrance of the angels with the soul of Faust (up to "die ewige Liebe," line 11965).
2. We approach the sphere of the Mater Gloriosa; Dr Marianus and the children start to take care of Faust's soul (up to "Göttern ebenbürtig," line 12012).
3. Principal episode: appearance of the Mater Gloriosa; prayers of the three sinning women and of Gretchen (from line 12075).
4. Faust's soul blossoms; the Mater Gloriosa pronounces redemption; hymn to the action of grace (up to "Göttin, bleibe gnädig," line 12103).
5. Chorus Mysticus: final commentary.

Appendix B

English Translation taken from Walter Kaufmann:

<u>Line</u>	<u>German</u>	<u>English (Kaufmann)</u>
	PATER SERAPHICUS (<i>mittlere Region</i>)	PATER SERAPHICUS (middle region)
11890	Welch ein Morgenwölkchen schwebet Durch der Tannen schwankend Haar! Ahn ich, was im Innern lebet? Es ist junge Geisterschar.	See the cloud the dawn reveals Through the spruces' wavering hair? Can I guess what it conceals? Infant spirits approach there.
	CHOR SELIGER KNABEN	CHORUS OF BLESSED BOYS
11895	Sag uns, Vater, wo wir wallen, Sag uns, Guter, wer wir sind! Glücklich sind wir, allen, allen Ist das Dasein so gelind.	Tell us, father, what we're seeing, Tell us, please, what we have done, Who we are, so blessed: Being Is so kind to every one.
	PATER SERAPHICUS	PATER SERAPHICUS
11900	Knaben! Mitternachts—Geborne, Halb erschlossen Geist und Sinn, Für die Eltern gleich Verlorne, Für die Engel zum Gewinn. Daß ein Liebender zugeden, Fühlt ihr wohl, so naht euch nur!	Born at midnight on the earth, Half unsealed spirit and brain, For their parents lost at birth, For the angels sweetest gain. That a loving one is present You can feel: come to my place!

³⁶ This version of Landmann's chart is reproduced from La Grange, 912.

	Doch von schroffen Erdewegen,	Of earth's ways, rude and unpleasant,
11905	Glückliche, habt ihr keine Spur. Steigt herab in meiner Augen Welt— und erdgemäÙ Organ, Könnt sie als die euern brauchen, Schautein diese Gegend an! <i>(Er nimmt sie in sich)</i>	Happily, you have no trace. Enter deep into my eyes, Organs for the earthly sphere, They are yours to utilize: Look upon this landscape here! <i>(He receives them into himself)</i>
11910	Das sind Bäume, das sind Felsen, Wasserstrom, der abestürzt Und mit ungeheurem Wälzen Sich den steilen Weg verkürzt.	These are trees, and these are rocks, Thundering torrents, glistening spray Plunge over tremendous blocks, Shortening their craggy way.
	SELIGE KNABEN <i>(von innen)</i>	BLESSED BOYS <i>(from within)</i>
11915	Das ist mächtig anzuschauen, Doch zu duster ist der Ort, Schüttelt uns mit Schreck und Grauen. Edler, Guter, laÙ uns fort!	What we see is full of might, But too somber to conceive; We are shaken with sheer fright. Noble, good one, let us leave!
	PATER SERAPHICUS	PATER SERAPHICUS
11920	Steigt hinan zu höherm Kreise, Wachset immer unvermerkt, Wie nach ewig reiner Weise Gottes Gegenwart verstärkt. Denn das ist der Geister Nahrung, Die im freisten Äther waltet, Ewigen Liebens Offenbarung,	Rise now to a higher sphere, Growing swiftly all along, As God's presence, pure and clear, Makes you and all spirits strong. For in the celestial field That becomes the spirits' food: Timeless loving is revealed.
11925	Die zur Seligkeit entfaltet.	That unfolds beatitude.

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Adorno's Landscapes, Liszt's Teleology: Alternative Perspectives on Schubert's *Schwanengesang*

JONATHAN SAUCEDA

An aphorism often apocryphally attributed to Albert Einstein defines madness as “doing the same thing over and over again and expecting different results.”¹ Bach, Beethoven, and Brahms spun elaborate musical compositions from ideas presented in the first few measures of a piece and obtained both unity and variety by developing these ideas throughout the work. For Brahms “there is no real creating without hard work;” the composer executes this compositional ethic not only in the finished product of the piece but within the piece itself as the theme progresses through musical space.² The aesthetic ideology associated with nineteenth-century large instrumental genres came to require this element later called developing variation.³

Schubert's utilization of repetition rather than development as a key element in his instrumental music was seen as a weakness, leading Scott Burnham to pose a question many had asked either implicitly or explicitly: “can Schubert handle large instrumental forms?”⁴ The question is rhetorical, and Burnham answers in the affirmative. In the process he applies an idea Theodor Adorno had proposed as a solution to Schubert's so-called tautological problem.⁵ Rather than regarding his themes as deficient because of their failure to fulfill a developmental ideal, “Schubert's themes are self-possessed apparitions of truth...that [do not] require temporal evolution; his repetitive, fragmentary forms are inorganic rather than organic, crystalline rather than plantlike.”⁶ Schubert employs repetition because his themes are complete in and of themselves. In

¹ Sherry Rosenthal, *The Complete Idiot's Guide to Toltec Wisdom* (New York: Penguin Group, 2005), 76.

² Walter Frisch, *Brahms and the Principle of Developing Variation* (Berkeley: University of California Press, 1983), 33. Frisch quotes an excerpt from George Henschel's diary and applies Henschel's statement to developing variation. George Henschel, *Personal Recollections of Johannes Brahms* (Boston: R. G. Badget, 1907), 22-23.

³ Walter Frisch, “Brahms, Developing Variation, and the Schoenberg Critical Tradition,” *19th-Century Music* 5 (1982): 216.

⁴ Scott Burnham, “Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition,” *19th-Century Music* 29 (2005): 31.

⁵ Theodor Adorno, “Schubert (1928),” edited by Jonathan Dunsby and Beate Perrey, *19th-Century Music* 29 (2005).

⁶ Burnham, 40.

literary terms he does not create a *Bildungsroman* where characters develop through hardship, struggle, and difficult choices.⁷ His characters are fully realized at their inception. Adorno contrasts Schubert's treatment of instrumental material with that of Beethoven who often tampers with "the structure of the theme."⁸ Although these generalizations are artificial and fail to explain the composers' respective oeuvres, the emulation of Beethoven's technique by many composers of nineteenth-century instrumental music contrasts with Schubert's use of repetition in his Lieder. Burnham and Adorno focus their argument in support of Schubert's ability to compose instrumental forms but their understanding of "landscapes" in Schubert's music extends interpretive avenues into his Lieder, especially when juxtaposed against Franz Liszt's alternative reception of these songs as expressed in his transcriptions of *Schwanengesang*.⁹

For Liszt, thematic transformation was not simply an arbitrary compositional technique chosen because it could unify an otherwise disparate large-scale form; it was also a rhetorical device utilized for its ability to evoke evolutionary process. In "*Après une Lecture de Liszt: Virtuosity and Werktreue in the 'Dante' Sonata*," David Trippett quotes a letter in which the composer says, "coherence arises from...the 'necessary developments of ... inner experiences...feeling and invention.'"¹⁰ According to Liszt unity was of secondary importance, an offshoot of the storytelling process. To generalize Liszt as a composer who created solely based on thematic transformational grounds is unwise but certain characteristics of his Schubertian transcriptions suggest teleological tendencies. Here the idea of telos is used in its most basic sense as a "goal, aim, or end."¹¹

⁷ A relation many authors have pointed out including Susan McClary: Susan McClary, "Constructions of Subjectivity in Schubert's Music" in *Queering the Pitch: The New Gay and Lesbian Musicology*, edited by Phillip Brett, Elizabeth Wood, and Gary C. Thomas, (New York: Routledge, 1994), 205 – 233.

⁸ Adorno, 11.

⁹ There are many studies of Liszt's use of thematic transformation in a number of genres including: Andrew Bonner, "Liszt's 'Les Préludes' and 'Les Quatre Éléments: A Reinvestigation," *19th-Century Music* 10 (1986): 95-107; Alexander Main, "Liszt after Lamartine: 'Les Preludes,'" *Music & Letters* 60 (1979): 133-148; both discuss thematic transformation as a key element in Liszt's compositional technique with regard to large instrumental works; and Detlef Altenburg, "Franz Liszt and the Legacy of the Classical Era," *19th-Century Music* 18 (1994): 46-63 which discusses thematic transformation and its relationship to forms of the Classical Era.

¹⁰ David Trippett, "*Après une Lecture de Liszt: Virtuosity and Werktreue in the 'Dante' Sonata*," *19th-Century Music* 32 (2008): 52-93; quoted from Liszt's letter to Louis Köhler, 9 July 1856, in *Letters of Franz Liszt*, p. 273.

¹¹ Andrew Bowie, *Introduction to German Philosophy: From Kant to Habermas* (Malden, MA: Blackwell Publishing Inc., 2003), 279.

It is the idea that the piece's material progresses from the beginning to the end, undergoing change in the process of storytelling. In the genre of transcription, specifically in his adaptation of "Abschied" and "Frühlingssehnsucht" from Schubert's *Schwanengesang*,¹² Liszt was limited in developing themes but motivic variation was not necessarily the *raison d'être* of the piece: it was a means to an end. The teleological effect remained an underlying aesthetic motivation of Liszt's transcription.

Liszt's transcriptions, guided by a goal-oriented aesthetic, changes the more repetitive paradigm in Schubert's original *Schwanengesang*. Because the act of repetition is stationary, change that does occur evokes, as Burnham and Adorno argue, a change of landscape. It presents an abrupt shift to a new locale, not a logical progression to conclusion. Liszt's removal of several strophes in his transcription of *Schwanengesang* can be seen as an attempt to ameliorate a perceived repetitive deficiency. But rather than fully realizing the original composer's intentions—according to a Burnham/Adornian model that accepts repetition as a positive element proving the integrity of themes as they *are* rather than in how they should *become*—Liszt's reinterpretation of those intentions creates the effect of an alternative aesthetic with regard to repetition, one that favors movement to climax rather than stasis followed by unexpected change.

The genre of transcription limits compositional options.¹³ Liszt could not transform main motives as he could in theme and variations or sonata form. The operative tools are dynamics, texture, register, and performance markings. Changes in harmony or melody may take place rarely if ever (and then only sparingly). While a teleological explanation for the rationale behind Liszt's compositional choices may offer insight into the mind of the transcriber, the impact of the change of genre—from Lied to solo piano work—cannot be minimized. Schubert composed piano-accompanied songs, a genre that could rely on several elements to stimulate interest in the listener such as two distinct timbres, the voice and the keyboard. The text was another resource the composer could use to engage the listener through storytelling or poetic imagery. The lyrics also functioned as implicit performance

¹² Liszt's transcriptions are taken from: Franz Liszt, *The Schubert Song Transcriptions for Solo Piano. Series III: The Complete Schwanengesang* (Mineola, N.Y.: Dover 1999), 47-64. Schubert's *Schwanengesang* is taken from the NAS which contains the works as they were published in their first edition, an edition similar to one Liszt most likely used: Franz Schubert, *Neue Ausgabe Sämtliche Werke*, edited by Internationalen Schubert-Gesellschaft (Kassel: Bärenreiter, 1992), Band 4: 111-117: 133-141.

markings, providing general instructions to an experienced performer on the manner in which he or she should deliver the music. Repetition was thus not a handicap for German song but a characteristic that, in spite of Schubert's expansion and elevation of the genre, the composer had limited license (and probably limited interest) in altering substantially.

Unless programs containing the words were presented to the audience or the listeners were intimately familiar with the original Lied, Liszt could not depend on any textual factors to stimulate listener interest. Though he included the lyrics in the score before the actual transcription for the benefit of the pianist, these would almost certainly not be in the possession of the listener during the performance. Liszt was obliged to resort to other factors such as dynamics, texture, register, performance markings, and an elimination of strophes to engage his audience. In his transcription of selections from *Schwanengesang*, his application of these elements results in a build to climax as opposed to Schubert's presentations which do not indicate such an interpretation.

The following analysis of these pieces from a Burnham/Adornian perspective (which focuses on the dichotomy between a Beethovenian thematic variation approach and Schubertian repetition) does not purport to clarify the motivations of the transcriber or the composer. But it does demonstrate the changed effect the lowered aesthetic value Liszt associated with repetition and the composer's teleological orientation accomplishes when applied to selections from *Schwanengesang*. Regardless of motivation, whether from the dictates of genre or a teleological aesthetic, the change reveals something lost in transcription, and an application of the Adorno/Burnham hermeneutical method can provide insight into the pieces, the motivations of Liszt, and the expressive properties of the respective genres themselves.

Of the pieces that Liszt chooses to transcribe the most repetitive as they are originally set by Schubert are "Abschied" and "Frühlingssehnsucht."¹⁴ Their generic adaptation demonstrates Liszt's awareness of their so-called tautology and his attempt to imbue within them an element of evolutionary development lacking

¹⁴ Other forms utilize a certain degree of repetition but none more statically or consistently than "Abschied" (ABABC with return of A at the end) and "Frühlingssehnsucht" (AAAAB). A brief summary of the forms of the other pieces follows: 1. "Liebesbotschaft" (ABA) 2. "Kriegers Ahnung" (through-composed) 4. "Ständchen" (AAB) 5. "Aufenthalt" (ABCBA) 6. "In der Ferne" (AA'A'B) 8. "Der Atlas" (ABA') 9. "Ihr Bild" (ABA) 10. "Das Fischermädchen" (ABA) 11. "Die Stadt" (ABA') 12. "Am Meer" (ABAB) (strophic, but not as repetitive as "Frühlingssehnsucht" or "Abschied") 13. "Der Doppelgänger" (ABA'A' or a' c) 14. "Der Taubenpost" (ABAC).

in strophic repetition and expected in post-Beethovenian solo piano works. In Schubert's setting of the text, the pieces share very similar forms. Both are mostly strophic but the final strophe unexpectedly presents a motive similar to the earlier strophes in an unprepared new key lacking a smooth transition to the new tonality. These final strophes shift the landscape even as the basic motives of the piece remain the same. By eliminating stanzas Liszt diminishes or negates this effect, utilizing inter-strophe change to simulate compositional progression.

Schubert sets Rellstab's "Abscheid" into five identical verses followed by an unexpected, climactic sixth verse (ABABAC). Shifts in "Abschied" are not developmental but imply a sudden shift of "landscape." The key centers of "Abschied" include E-flat (the tonic), A-flat (the subdominant), and C-flat (the flattened submediant). Five stanzas alternate between E-flat major and its subdominant. The final stanza unexpectedly modulates to C-flat major before the second measure of the piano interlude (Example 1).

Example 1. Schubert, "Abschied," mm. 127-130.



The change here from E-flat major to E-flat minor is all the more striking because of the direct modulation. While E-flat minor functions as a common chord between E-flat major and C-flat major, it does not accomplish the usual function of a common chord. It does not facilitate a smooth transition; to the contrary, it highlights the different "landscapes" in which the theme is situated. The "atmosphere is what changes [i.e. the tonality] around things [i.e. the motives] that remain timelessly the same."¹⁵ The ear is transported to another realm, maintaining identification with the music only through the familiar motive. Adorno valued Schubert's seemingly unprepared transitions: "Instead of developmental transitions, there are harmonic shocks, like changes in lighting, that lead us into a new realm, a new landscape, one that knows as little evolution as the one that preceded it."¹⁶ For Adorno and Burnham, Schubert's harmonic shock in "Abschied" occurs in the final stanza through a sudden shift in tonality from the familiar tonic and subdominant regions to the major submediant.

¹⁵ Adorno, 11.

¹⁶ Burnham, 33.

Schubert's shift in tonality is sudden but that is not to say that his composition lacks unity. The entire vocal line is built on two non-static motives presented in the first entrances of the voice (Example 2).

Example 2. Schubert, "Abschied," mm. 9-11.

The musical score for Example 2 consists of three staves. The top staff is the vocal line in soprano clef, the middle staff is the piano accompaniment in treble clef, and the bottom staff is the bass line in bass clef. The key signature is two flats (B-flat major) and the time signature is 4/4. The lyrics are: "A - de! du mun - tre, du froe - li-che Stadt." The vocal line begins with a rest, followed by a half note G4, a quarter note A4, a quarter note B4, a quarter note C5, a quarter note B4, a quarter note A4, and a half note G4. The piano accompaniment features a rhythmic pattern of eighth notes and chords. The bass line consists of quarter notes and eighth notes.

These motives are repeated and varied to populate the first and second stanzas and by extension the entire piece. This is not developmental. "Development" implies some sort of teleology absent from "Abschied." In such a piece, chord progressions and tonality would reflect progression to a final goal by evincing a continual process of change. The motives alone do not accomplish this but rather permeate the Lied, serving as unifiers. Schubert has the opportunity to associate the motives with a teleological process à la Beethoven in the first stanza but by maintaining a pair of static key centers, he forgoes this option. He reinforces the absence of progression-to-goal in the second through fifth stanzas by reiterating previously stated material. The final strophe is thus, as Burnham would put it, a "harmonic shock."¹⁷

Liszt begins the piece in a manner similar to Schubert but utilizes the relatively scant generic resources at his disposal to create a new work suggesting a teleological objective. In the A section he places the melody between the two hands. The B section heightens drama by transposing the melody up an octave, adding crescendos, doubling the octave in the left hand, and employing *rinforzandi* in mm. 43, 47, and 50 (Example 3).

¹⁷ Burnham, 33.

Example 3. Liszt, “Abschied,” m. 43, m. 47, m. 51.

In the A section that follows the decrescendo and *tranquillo* indications of the piano interlude interrupt the progression to climax. In spite of the lowered dynamics, the doubling of the octave in the melody (now sounding two octaves higher than at the beginning) and use of a wider keyboard range continue the sense of forward motion. More crescendos and *rinforzandi* occur, followed by a *molto piu rinforzando* in m. 74 and continuing until *forte energico* in m. 77 (Example 4). The subsequent decrescendo does not diminish the sense of movement to climax.

Example 4. Liszt, “Abschied,” m. 74, m. 77.

In the B section that follows octaves are displaced within measures of each other, adding more tension to the piece in spite of the *dolce* marking. The extremely wide range the melody employs from m. 89 to 91 is indicative of the sense of tension Liszt continues to create (Example 5).

Example 5. Liszt, "Abschied," mm. 89-91.

Liszt closes the B section *con bravura* in m. 101 and *energico* in 104. The anticipation of climax is extended through *ritenuto* and *smorzando* markings, followed by a dramatic pause in m. 108 (Example 6).

Example 6. Liszt, "Abschied," m. 108.

The sudden change from simple to compound rhythmic subdivision in m. 109 (following the dramatic pause) and frequent octave displacement in the melody increase the tension at the beginning of the fifth strophe. Liszt moves the melody between two registers, first higher in m. 109, then lower in m. 110, higher in m. 112, and lower in m. 114 (Example 7).

Example 7. Liszt, "Abschied," mm. 109-114.

Meanwhile the dynamics swell, and duple and triple divisions of the beat battle one another beginning in m. 118 (Example 8).

Example 8. Liszt, "Abschied," mm. 118-119.

An *accelerando* speeds to a double *forte* in m. 127, the highest point dynamically thus far and the end of the last familiar strophe. The dynamics, the marking *precipitato* (impetuously), the resolution of a dominant-seventh to tonic chord, the synthesis of beat groupings in both the right and left hands, and most importantly the simultaneous sounding of all of these elements at this point in the form—the final cadence of the last familiar strophe—combine to give the passage a sense of climax.

The final strophe is a harmonic shock but one Liszt has prepared through performance markings and dynamic accretion in earlier stanzas. The modulation to the flat submediant is prepared only by a modally borrowed E-flat minor chord in m. 130 of the interlude, and a satisfactory dominant-tonic progression is not achieved until seven measures into the C section (mm. 139-140). Liszt utilizes tranquil markings such as *espressivo armonioso*, *dolcissimo*, and *sotto voce*. In m. 144 excitement builds with chromatic passing tones in the left hand. The markings *agitato* and *crescendo molto* convey a sense of internal struggle resulting from a need to return to the tonic of the piece from the parallel minor. A musical intensification occurs in m. 149. Liszt heaves the melody up one octave and marks it *forte*, but the weak tonic-tonic progression across the barline diminishes any sense of climax (Example 9). The next important cadence occurs several bars later in m. 156 (Example 10) and achieves an effect similar to that of m. 127 owing to the fact they are both the same part of the A section. Nonetheless it surpasses the m. 127 climax by virtue of its use of all the elements listed as well as a more extreme octave range and the key change to the tonic from the unexpected flat submediant. The remainder of the piece decrescendos to the conclusion.

Example 9. Liszt, “Abschied,” mm. 147-149.

The musical score for Example 9 shows two staves. The top staff is in treble clef and the bottom staff is in bass clef. Both are in G-flat major (two flats). The treble staff contains a melodic line with triplet eighth notes and a fermata over the final note. The bass staff contains a harmonic line with chords and moving lines, also featuring triplets. Performance markings include 'cresc. molto' and 'f energico'. An '8va' marking with a dashed line indicates an octave shift for the final notes of the treble staff.

Example 10. Liszt, “Abschied,” mm. 154-156.

Schubert’s approach to “Frühlingssehnsucht” is similar to the one adopted in his rendition of “Abschied” but even more repetitive. The introduction prepares the listener for repetition. The motive utilized in the first measure forms the accompanimental basis of much of the work (see Example 11).

Example 11. Schubert, “Frühlingssehnsucht,” mm. 1-4.

Within a single strophe Schubert evokes what Adorno would call a landscape shift. Towards the latter half of the first four strophes, which had been consistently in B-flat major, the tonality suddenly changes to A-flat major, the subtonic of the parallel minor but the accompanimental and melodic patterns are maintained (see Example 12).

Example 12. Schubert, “Frühlingssehnsucht,” mm. 38 - 41.

The distance of the key relation in combination with the maintenance of motive elicit Adorno's idea of abrupt environmental change.

A shift of another kind without the maintenance of motive occurs later in the strophe. The key changes again via a less jarring common chord modulation in m. 46 to D minor, a key more closely related to B-flat major than A-flat major. Again the key moves unexpectedly without a common chord to ease transition in m. 50, this time to A-flat minor (see Example 13).

Example 13. Schubert, "Frühlingssehnsucht," mm. 49 - 53.

Here, without the use of the same motive to unify the piece and through the use of the lengthiest of notes in both the accompaniment and melody of the entire piece, the shift remains even as motivic stasis becomes more clearly pronounced. The stroboscopic effect occurs at a particularly shocking moment as the tonality shifts from the now familiar A-flat major to the even more distantly related A-flat minor. The impact of the tonal changes of the first stanza becomes lessened through its repetition in the three subsequent strophes. The normalization of the strange and new can only take place through exact repetition. By the conclusion of the fourth stanza, the ear either expects a *piano* conclusion or new text with reiterated music; it receives neither.

Contributing to the sense of stasis is Schubert's use of repeat signs. There is nothing bizarre in utilizing these performance directions. What is noteworthy is how they visually present the sound's stasis. In actual practice the strophes would undoubtedly be performed differently with nuances depending on textual meaning and word stress. As a purely visual object, however, repeat signs nullify the effect of progression because they point to what would undoubtedly be heard regardless (barring exceedingly dramatic fluctuations of dynamic level, text accent, or tempo on the part of the performer); that is, the static property of each of the strophes. The signs visually create Adorno's aural landscape. They set the music apart from what has happened and from what will happen. When the performer leaves the repeat signs at the beginning of the final stanza in m. 103, there is a sense of newness of landscape even

before the music is heard to be deviating from the previously traversed path. The pianist and vocalist enter new territory analogous to pioneers journeying across the sea to a new continent, and while not knowing how their surroundings will be different, they know they will be occupying a strange place even before they set foot on shore. The familiarity of the flora at first glance (analogous to key signature, tempo, meter, and general melodic contour) is deceiving because at the first step (beat) onto the beach they realize how disassociated they and their locale have become from that with which they were acquainted. The enclosure of the repeat signs (ship) isolates and separates the new and old landscapes from each other.

The final strophe begins as the others but with a shift of mode to B-flat minor. There is no preparation for key change in the previous conclusion to the fourth stanza. The jarring effect of the beginning of the stanza sets the mood for the remainder of the piece. The melody is presented verbatim except for the addition of the three flats of the minor key until m. 110. The melody of the next line of poetry follows the contour of the previous stanzas a minor third higher in D-flat major without cadencing on the key's tonic but remaining on a dominant pedal point. In m. 122 Schubert seems to follow the form of the final strophe of "Abscheid" by introducing elements from the other strophes as if to end the piece as he ended the previous strophes, but in m. 129 he adds an F-flat in the melody, an addition that the ear may miss if the performer passes over it quickly. The F-flat invokes a tonal ambiguity that will be reflected through the final chords of the piece and alerts the ear that the upcoming final line may thwart previous expectations.

The concluding line mixes an adherence to the previous strophes' melodic contour with octave displacement. The moment of most difference occurs in m. 141 where the previous strophes had likewise been the most harmonically striking: here the voice moves to G-flat rather than F-flat and the accompaniment evinces characteristics of B-flat minor. The foreign element of the parallel minor had thus far been absent in the verses' closing sections. While chromaticism had been an element, the use of the parallel minor here is especially striking because it represents an orientation to a key with the same tonal center as B-flat major but with a quite disparate affect. The ambiguity of key is repeated in the penultimate chord in m. 147 when an E-flat minor chord evokes a B-flat minor tonality just as the piece moves to cadence plagally. Shifts occur most noticeably at the beginning and end but these do not result from progressions; they are sudden changes, unexpected and unprepared.

Liszt's realization of "Frühlingssehnsucht" utilizes a paradigm much more inclined to evolution than static changes of

scenery. Needless to say there are no repeat signs in Liszt's transcription. Each section presents a progressive development. Because of generic constrictions this evolution cannot come thematically but must rely on continual forward motion evoked through performance markings and the elimination of strophes. From the beginning Liszt's reception and transformation of the piece suggests a teleological paradigm. The *agitato* marking at the beginning intimates unease, a problem to be worked out. The *dolce* and *leggero* markings at the entrance of the voice do not diminish the introduction's effect; they merely push it to the periphery even as the listener senses tension below the surface.

The tension comes to a head in Liszt's setting at the same place that Schubert inserted a change of landscape—at the modulation to A-flat major (Example 14).

Example 14. Liszt, "Frühlingssehnsucht," mm. 38 – 42.

The musical score for Example 14 consists of two staves. The upper staff is in treble clef and contains a melodic line with several triplet markings (indicated by a '3' and a bracket) and a fermata over the final measure. The lower staff is in bass clef and contains a bass line with chords. Performance markings include 'molto cresc.' and 'f' (forte). The key signature has one flat (B-flat major), and the time signature is 3/4.

Liszt heightens the tension by increasing the range of the accompanimental pattern (here in the right hand) and crescendoing to a double *forte* in m. 43. This was also a point of climax for Schubert but it was presented harmonically rather than through performance markings. While a crescendo is indicated it only extends to m. 39 (where Schubert notates a decrescendo) and not to a double *forte* dynamic marking. Instead of employing a fermata here Liszt elects to continue moving forward rather than allowing any sense of stasis. The authentic motion of the bass from dominant to tonic (instead of the movement of the dominant in first inversion to the tonic as in Schubert's setting) confirms arrival. Though subtle, the change of inversion implies a teleological intention to arrive at A-flat major whereas Schubert's less assertive progression seems more hesitant or self-conscious, not driven to this goal from the outset but visiting it in passing. Though Liszt is sure of his movement to A-flat major, as the lack of fermata indicates, he is not content in passively staying there. Forward motion continues unabated.

Sometimes it is difficult to view performance markings as evidence of an opposing Lisztian/Schubertian dichotomy because the latter rarely indicates his performance intentions as clearly as Liszt. Where Schubert does provide direction, Liszt usually avoids direct contradiction. One clear difference between performance markings occurs in m. 50 of Schubert's setting and m. 52 of Liszt's (see Examples 15 and 16).

Example 15. Liszt, "Frühlingssehnsucht," m. 52, *sforzando* marking at a *fortissimo* dynamic level.

Example 16. Schubert, "Frühlingssehnsucht," m. 50, *pianissimo*.

For Liszt, the unexpected shift of tonality demonstrates climactic tension for which the entire strophe, *agitato* introduction included, had prepared. The misgivings lurking beneath the surface of the strophe are now brought out in full detail. The teleological process had left the disquieting introduction in the background but must now deal with the consequences. Schubert's setting suggests no such goal-oriented reading. His shift is striking not because of tension located somewhere beneath the surface but because of the unexpected change of perspective.

Perhaps even more notable than the use of the opposite dynamic marking is Liszt's cadence in the major rather than the minor mode (see Examples 15 and 16). While F-flat appears in the next measure, its presence can be explained as a chromatic upper neighbor. It is not a chord member. Its presence is coloristic, not

foundational. On the A-flat chord in m. 53 the transcriber prefers a climax unfettered by intimations of sadness or defeat. The strophe had supposedly solved the problems articulated in the introduction, but the appearance of the parallel minor presents another obstacle. Liszt's rise to climax, his *Steigerung*, at the end of the verse indicates a general rising motion as in his transcription of "Abschied," presented visually in Figure 1.

Figure 1. Graphical representation of Liszt's progression to climax in "Frühlingssehnsucht."



To work within this model Liszt must have miniature climaxes as he journeys towards his goal. Movement to the minor where the major had already been presented represents retrogression rather than progression if the ultimate goal is to evoke victory or peace. Schubert's insertion of the unexpected minor mode in an unexpected key interferes with Liszt's teleological process and is thus modified in the transcription.

The second strophe (m. 62) reflects the model of Figure 1 through the introduction of duplet against triplet beat division and longer periods of crescendo. Though duplet-triplet simultaneous division occurred in the first strophe, in the second it is even more explicit through repeated duplet eighth-notes in the left hand against triplet eighth-note accompaniment in the right hand (see Example 17).

Example 17. Liszt, “Frühlingssehnsucht,” mm. 62-64. Continuous duplet-triplet beat division.



The crescendo marking begins in m. 80 and continues until m. 86 where *più crescendo* is notated. Though the dynamic marking *forte* in m. 90 appears less than the *fortissimo* marking in m. 44, the markings are not absolute indications of decibel level but general instructions as to how to play the music in relation to its surroundings. The double *forte* in the first strophe was not approached as gradually as that in the second; its suddenness thus creates instability that requires the following strophe to reiterate a substantial proportion of the first but to dynamically do so more methodically and assuredly. The second strophe also demonstrates its advanced progression towards climax over the first through the immediate extension of range in m. 90 instead of waiting until the final measures of the strophe.

Liszt’s addition of extra measures which contain harmonies independent of the Schubertian setting demonstrates a gradual progression towards finality rather than a direct shift of locale. Their difference is for the purpose of alerting the listener to upcoming change. They prepare the ear for something new – a preparation alien to Schubert’s “landscape” method (Example 18).

Example 18. Liszt, “Frühlingssehnsucht,” mm. 105-107.



The E major and vii^{o7}/F chords signal difference while the B-flat minor chord prepares the ear for the tonality of the final strophe.

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The marking *espressivo appassionato* in the final verse indicates explicitly the affect Schubert may have meant implicitly. The sensitivity of the marking suggests for Liszt a weakness to overcome. Whereas Schubert ends with unsure ambivalence between major and minor, Liszt presents the outcome of the piece as a victorious triumph with colorings of minor that highlight more than distract from the major modality. Liszt's triumph occurs simultaneously with the modulation to B-flat major from the parallel minor though he had prepared the sense of victory through crescendos. To heighten the effect of climax he eliminates the decrescendo marking, indicates *forte fuocosso*, and cuts the B-flat minor chord Schubert had had moving to B-flat major, a weaker, less conclusive harmonic motion (see Examples 19 and 20).

Example 19. Liszt, "Frühlingssehnsucht," mm. 127-129.

The musical score for Example 19 consists of two staves. The upper staff is in treble clef and contains five measures of music, each featuring a triplet of eighth notes. The lower staff is in bass clef and contains five measures of music, each featuring a chord. The dynamic marking 'cresc. - - - forte fuocosso' is placed between the two staves.

Example 20. Schubert, "Frühlingssehnsucht," mm. 121-123.

The musical score for Example 20 consists of two staves. The upper staff is in treble clef and contains five measures of music, each featuring a triplet of eighth notes. The lower staff is in bass clef and contains five measures of music, each featuring a chord.

Liszt alerts the listener of something new that the subsequent step in the teleological process is imminent—whereas Schubert uses the unexpectedness of the situation to shift the environment around the motives, transporting the listener to alternate landscapes while maintaining the motive's static identity.

The climactic ending of Liszt's setting is contrary to the fading away of Schubert's. Similar to his treatment of minor tonality earlier in m. 52 – opting for a clear major instead of an ambivalent major to minor progression – Liszt forgoes Schubert's minor

subdominant in favor of a maintenance of a more victorious E-flat major for two full half notes in m. 150. The G-flat that follows in m. 152 is coloristic, functioning more as chromatic upper neighbor (or as the flat sixth of an augmented sixth chord) descending to the fifth scale degree (Example 21).

Example 21. Liszt, “Frühlingssehnsucht,” mm. 149-154.

Example 22. Schubert, “Frühlingssehnsucht,” mm. 139-148.

Liszt adheres to the model referred to in Figure 1, an adherence at odds with Schubert’s explicit performance markings. While both build to the end of the vocal line, Schubert decrescendos after this to the end, cadencing with a *piano* marking. Liszt, by contrast, builds to an *animato* climax, crescendoing through the final chords of the piece (see Example 23 and the final five measures of Example 22).

Example 23. Liszt, “Frühlingssehnsucht,” mm. 155-160.

The victorious celebration of triumph at the end contrasts with Schubert’s quietly ambivalent conclusion. The E-flat minor chords, though certainly present, sound unlike Schubert’s doubtful and questioning ending because of their jubilant surroundings – a virtuosic rising chromatic scale in octaves. Liszt’s victory is Schubert’s uncertainty.

By not including two of the five strophes, Liszt eliminates 40% of the piece. Including the repeated verses would not have served Liszt’s teleology. The strophes would have needed to demonstrate a goal-oriented purpose without which they merely lengthen the work. For Adorno and Burnham, Schubert’s repetition represents a shift from one locale to another, and the shift of tonality in the final strophe at a point when the ear has become so acclimated to the previous four– even their idiosyncrasies – reinforces the static truth of the themes. Liszt, as a result of personal compositional preference, the dictates of genre, or both evinces intimations of a teleological aesthetic.

The application of a Burnham/Adornian hermeneutic method focusing on the use of repetition to a comparative study between Schubert’s composition and Liszt’s transcription of “Abschied” and “Frühlingssehnsucht” suggests a goal-oriented progression to climax in the latter’s work, contrasting with the former’s shifts of landscape. Whether resulting from a conscious obsession with a teleological agenda or simply from a transfer of material from one genre to another, the affect of a progression to climax remains a characteristic of the transcriber’s musical product. Whatever the compositional motivations behind the virtuosic works, Liszt’s transcriptions are a delight to hear, perform, and study. The neglect his masterful reworkings have received in the performer’s hall and from the scholar’s pen is a deficiency which falls to the music historian to rectify.

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Rameau's Concept of Subposition and its Place in His Music

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In his *Traité de l'harmonie* (1722), Rameau explains that there are only two chords from which all harmony arises, the (major or minor) perfect chord, and the (dominant) seventh chord, and all other chords are simply alterations or inversions of these. He uses this premise to develop the idea of chord inversions, and in this way he explains continuo figures such as 6 and 4. This concept comes from Rameau's belief, which in turn stems from Zarlino's writings, that "[i]f the two sounds of the octave serve as terminals for everything that may form a perfect harmony (the sounds exceeding the terminals of the octave being nothing but replicates of those found within its limits), then the octave should also serve as the limit for all chords."¹ This theory works well, until he is required to deal with a phenomenon common to actual compositions of his day: ninth and eleventh chords. Though these chords may be inverted so that they exist within the span of an octave, a problem arises: by adding another third to a seventh chord to create a ninth, "the fundamental of the harmony will then be confused, for its relationship with this fourth third is no longer distinguishable from its relationship with the sound included within its octave, of which this last third is only a replicate."² In other words, if the ninth is simply a replicate of the second, which would be found in a seventh chord in third inversion, distinguishing the fundamental pitch (i.e. root) becomes impossible. By ordering a seventh chord so that it is a series of stacked thirds, or by putting the seventh chord into root position, one finds easily that the second above the bass is the fundamental of the chord and that it is in inversion. On the other hand, a ninth in inversion may still contain a seventh chord in root position (C-D-E-G- B \flat , for example). Moreover, these intervals do not behave like their simple counterparts.³ The second "arises from the inversion of a fundamental chord, while the ninth on the contrary is formed by adding a sound to this fundamental chord, and cannot be inverted. It is prepared and resolved differently from the second..."⁴ Rameau seems to point to the idea that the ninth is normally treated as a suspension in which the ninth resolves down to form an octave (9-8), whereas a second normally acts as suspension in which the lower

¹Jean-Phillipe Rameau, *Traité de l'harmonie réduite à ses principes naturels* (1722), 73, in *The Complete Theoretical Writings of Jean-Philippe Rameau*, ed. Erwin R. Jacobi (American Institute of Musicology, 1967), 1:103 (henceforth, *TH*); trans. Philip Gossett in *Treatise on Harmony* (New York: Dover Publications, 1971), 88.

²*TH*, 73; Gossett, 88.

³*TH*, 78; Gossett, 92.

⁴*TH*, 78; Gossett, 92.

note resolves down to form a third (2-3). The distinction between a fourth and an eleventh is even greater: the fourth is consonant, being an inversion of the perfect fifth found in the perfect chord (in second inversion); the eleventh, on the other hand, which is formed “by adding a sound to the seventh chord, cannot be inverted and should be prepared and resolved.”⁵

For these reasons, Rameau proposes that ninths and elevenths should be treated as separate entities from their simple counterparts, especially when a chord contains all the thirds stacked up to these intervals. He declares that “[i]f a fifth sound can be added to the seventh chord at all, it can be added only below and not above.”⁶ So, a ninth chord is actually a seventh chord with a third added below, and an eleventh chord is a seventh chord with a perfect fifth added below. Rameau appropriates the term supposition to describe this.

French theorists of the 17th and early 18th centuries used the term supposition to refer to any dissonant pitch that supposes or substitutes for a consonance in a chord, and which is caused by passing tones or ornamentation.⁷ In his *Traité de l'harmonie*, however, Rameau develops a new meaning for the term: “The term [supposition] should be applied ... to those sounds which, when added to chords, alter the perfection of these chords by making them exceed the range of the octave.”⁸ In order to differentiate between the two meanings, and to describe more accurately what takes place in these chords, the term subposition will be used to refer to Rameau’s ninth and eleventh chords. Though most thoroughly discussed in the *Traité*, Rameau’s concept of subposition comes up in each of his four main treatises, developing slightly to adapt to his new method of explaining harmony presented in each. However, every explanation of the concept carries with it contradictions and raises questions of clarification as to what the term subposition actually means. A discussion of Rameau’s concept of subposition, as it occurs and develops in his treatises, along with the questions raised throughout the treatises, will serve to explain more completely what he really intended subposition to mean. A discussion of ninth and eleventh chords in Rameau’s own music will follow, in order to discover whether they are treated as chords by subposition, or something else, entirely.

Rameau introduces his concept of subposition in Book II, Chapter 10 of *Traité de l'harmonie*. The most basic precept of this idea is that the lowest pitch of a ninth or eleventh chord subposes

⁵TH, 78-79; Gossett, 93.

⁶TH, 73; Gossett, 88.

⁷Thomas Christensen, *Rameau and Musical Thought in the Enlightenment* (New York: Cambridge University Press, 1993), 65.

⁸TH, xxi; Gossett, liii.

(or is placed below) the actual chord and, as a result, the fundamental. The note of subposition is not considered part of the chord, because it lies outside the boundary of the octave, and therefore it cannot be moved from the lowest position. The seventh chord formed above this pitch may be inverted as normal. The note of subposition does not affect the fundamental harmony in any way, so “the progression of chords is not altered by it.”⁹ This is an interesting point, because here Rameau seems to be saying that the dissonance of the eleventh chord is only actually found within the seventh chord above the subposed bass; the dissonance resolves down because, as a chordal seventh or minor dissonance, that is what it should do. However, Rameau will later refer to ninths and elevenths as suspensions above the bass, which would indicate that they are not part of the harmony. It is this seeming incongruity which has led to confusion regarding the meaning of subposition. Rameau also puts forth the idea in his *Traité* that the fundamental bass in all harmony ideally moves down by fifth, creating a series of what he calls cadences, though it sometimes also moves down by third or up by step. As seen in Example 1, his concept of subposition supports this idea. The subposed note does not participate in the harmony, and the fundamental bass is actually a third or fifth above it, thereby allowing a fifth descent from one harmony to the next.

Example 1. *Traité de l'harmonie*, Book 2, Chapter 10.¹⁰

The musical score for Example 1 is presented in six staves. The top three staves (Treble 1, Treble 2, and Tenor) contain the upper voices of the chords. The fourth staff is the Bass line. The fifth staff is the Fundamental bass line, which is the lowest note of the chord. The bottom staff contains figured bass notation, which includes numbers 9, 7, 5#, 3, 7#, 8, 4, 7, and a bracketed 7. The notation shows a sequence of chords with a fundamental bass line that descends by fifth.

⁹TH, 75; Gossett, 89.

¹⁰TH, 77; Gossett, 90.

Lester points out that there are two fundamental problems with Rameau's concept as he presents it in the *Traité*. The first has to do with Example 1:

[I]f the aim of the fundamental bass is to represent root movement progressions, how is it that measures 3 and 4 of [Example 1], in which an entire chord must resolve, are akin to measure 5, in which just one note has to resolve? All three measures are fifth-progressions in Rameau's fundamental bass.¹¹

Indeed, this is a contradiction in Rameau's presentation of this concept. The chords on the downbeats of mm. 4 and 5 are both represented as eleventh chords, with the fundamental bass a fifth above the real bass. In m. 4, no problem is posed. The chord acts as an A dominant seventh chord over a subposed D, which then resolves correctly to D minor (leading tone up and seventh down). In m. 5, however, the first chord as Rameau shows it is supposedly an E major-minor seventh chord over a subposed A. What is written, however, looks more like an A dominant chord with a 4-3 suspension. The largest problem with this chord is that the bass, which should be the note of subposition, is doubled by the tenor. This is a clear contradiction wherein Rameau fits his theory into his example and indicates that he either made a careless mistake or did not fully understand his own principles. Though it is true that the relationship between theory and analysis is not well-formed in this period of history, Rameau's example here is apparently composed specifically to illustrate subposition. It is a stretch to think of the chord on the downbeat of m. 5 as an E dominant seventh chord because the A is doubled; however, if he did truly mean to imply E dominant seventh, then there is a cross relation between G# and Gb. Furthermore, Rameau contradicts himself later in his own treatise. As seen in Example 2, the chord on the downbeat of m. 10 is the same type of chord as the one on the downbeat of m. 5 in Example 1. However, here the fundamental bass is shown to be A, indicating an A dominant seventh chord with a suspension, not an E dominant seventh subposed by A.

¹¹Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge: Harvard University Press, 1992), 111-112.

Example 2. *Traité de l'harmonie*, Book 3, Chapter 30.¹²

The image displays two systems of musical notation. The first system consists of three staves: a treble clef staff with chords, a bass clef staff with figured bass (7, 9, 8/6, 9, 6, 7, 9, 8/6, 7), and a 'Fundamental bass' staff with notes (7, 7, 7, 7, 7, 7). The second system also consists of three staves: a treble clef staff with chords, a bass clef staff with figured bass (6#, 5# 6, 4 7#, 5# 6), and a 'Fundamental bass' staff with notes (7#, 7#, 7#, 4 7#, 7#, 7#).

This contradiction brings to light a second and more fundamental problem: “Are the subposed chords and the chord of resolution two separate harmonies, or do they represent a single harmony?”¹³ Except for m. 5 in Example 1 above, the former seems to be the case. Rameau represents the subposed chord and the chord of resolution with two different fundamental bass notes, indicating a dominant to tonic motion. In support of this view, Rameau states that he is “purposely stressing that all chords by supposition ... are derived from the seventh chord of a dominant. In this way, we immediately know how to prepare and resolve these chords...”¹⁴ Rameau expressly indicates that chords of subposition are separate harmonies from the chord of resolution and have a fundamental bass movement of a fifth down between the two chords. However, in m. 10 of Example 2, he attempts to illustrate this principle by showing an eleventh (figured with a 4) resolving to the third of an A dominant seventh chord over the same fundamental bass in m.10. This indicates that the fourth is a suspension rather than a seventh in a chord by subposition. When he discusses eleventh chords in Chapter 31 of Book III of the *Traité*, he again shows eleventh chords with a different fundamental bass than that of the chord of resolution (Example 3). The difference in interpretation of the dissonant fourth as one of subposition or suspension seems to have to do with the fundamental bass movement. In Example 1, the fundamental bass is said to be E, which creates a $\hat{2} - \hat{5} - \hat{1}$ fundamental bass and causes

¹²TH, 276; Gossett, 295.

¹³Lester, 112.

¹⁴TH, 275; Gossett, 294.

the chord to be one of subposition. In Example 2, however, the $\hat{2} - \hat{5} - \hat{1}$ bass movement is already in place, so that the fourth is now no longer an essential part of the chord or harmony. This would indicate that the idea of subposition is one that is dependent on the interpretation of the fundamental bass, and while Rameau never seems to realize this contradiction in his treatise, he does make an attempt to distinguish subposed chords from chords with suspensions in his later works.

Example 3. *Traité de l'harmonie*, Book 3, Chapter 31.¹⁵

The image shows a musical score for Example 3, consisting of two staves: Basso continuo and Fundamental bass. The Basso continuo staff is in treble clef and contains three measures of music with figured bass notation: 9/4, 7, 9/4, 7, and 9/4, 7. The Fundamental bass staff is in bass clef and contains three measures of music with figured bass notation: 7, 7, 7, 7, and 7, 7. The notes are represented by circles on the staff lines.

In chapter 18 of his *Nouveau Système de musique théorique* (1726), Rameau briefly discusses the concept of subposition in order to clarify and reiterate what he said in his first treatise. Here, he makes the point that the “ninth and eleventh must always be prepared except when they accompany the leading tone, they cannot be prepared.”¹⁶ This is an enigmatic statement, and a change from his earlier work, as seen in Example 1, m. 3. According to the information in the *Traité*, ninth and eleventh chords occur where the dominant should be, and Rameau specifically states that the chord of the augmented fifth, which contains a leading tone, should always be prepared.¹⁷ Unfortunately, Rameau does not give an example of what this looks like in his treatise, though one can find unprepared ninths and elevenths in other places (see Example 2). Apart from this, he does not add any new thought to the concept of subposition, nor does he seriously discuss it again until *Generation harmonique* (1737).

In order to keep with his theory of harmonic and arithmetic generation, Rameau explains in *Generation harmonique* that subposition “takes its source in one of the sounds of the arithmetic proportion, added below the harmonic proportion,” and he also

¹⁵TH, 279; Gossett, 298.

¹⁶Jean-Philippe Rameau, *Nouveau Système de musique théorique* (1726), 74, in *The Complete Theoretical Writings of Jean-Philippe Rameau*, ed. Erwin R. Jacobi (American Institute of Musicology, 1967), 2: 83; trans. B. Glenn Chandler, in “Rameau’s *Nouveau Système de Musique Théorique*: An Annotated Translation with Commentary” (Ph.D. diss., Indiana University, 1975), 356.

¹⁷TH, 275; Gossett, 294.

notes here that suspension “is but a consequence of supposition.”¹⁸ Rameau reemphasizes the appropriate place for a chord of subposition in this treatise: “It is certainly reasonable to say that this addition may not be made below a principal sound But the addition will at least be made below the fundamental sound which is the most perfect after the principal sound—that is, below a dominant.”¹⁹ Furthermore, the only reason for adding a note of subposition to a harmony is to make a good bass line or continuo (*Le goût du chant*). So, here Rameau is saying that the principal or tonic harmony can never have a note by subposition, but the dominant harmony definitely can. In this treatise, Rameau makes the statement that the note by subposition “always anticipates its own harmony, by first receiving the harmony of the dominant that may immediately precede it. ... [S]uch a supposition is made only after a principal sound, or after its harmony. Otherwise it is a suspension.”²⁰ Rameau here seems to be restricting the use of a chord of subposition even further. He states that a chord of subposition can only occur after a principal sound or harmony, that is, only after the tonic note or chord, and this is indeed the case in the example he gives (Example 3). If this does not occur, then the ninth or eleventh is simply a suspension on its own and not a product of supposition. Though not explicitly stated until this treatise, this perhaps sheds some light on the differences in fundamental bass in Examples 1 and 2, as discussed earlier. Rameau’s discussion of subposition in *Generation harmonique* really only changes in that he uses his newly formed ideas about arithmetic and harmonic generation to describe how subposition happens.

Generation harmonique marks the last real discussion of subposition in Rameau’s four main treatises. In *Démonstration du principe de l’harmonie* (1750), Rameau mentions subposition in only a few sentences, and his only remark is to say that it is the process of adding a third or fifth below a fundamental. Having thoroughly discussed the concept of subposition and its various rules, problems, and exceptions, it will now be very useful to look at examples of ninth and eleventh chords in Rameau’s own compositions to see how he treats them and whether he breaks his own rules.

¹⁸Jean-Philippe Rameau, *Génération harmonique* (1737), 158-9, in *The Complete Theoretical Writings of Jean-Philippe Rameau*, ed. Erwin R. Jacobi (American Institute of Musicology, 1967), 3: 93-4 (Henceforth, *GH*); trans. Deborah Hayes, in “Rameau’s Theory of Harmonic Generation: An Annotated Translation and Commentary of *Génération harmonique* by Jean-Philippe Rameau” (Ph.D. diss., Stanford University, 1968), 185.

¹⁹*GH*, 159; Hayes, 185.

²⁰*GH*, 159-160; Hayes, 186.

Example 4. Rameau, *Récit et Choer* from *In convertendo Dominus* (1751), mm. 1-4.²¹

Example 4 shows the *basso continuo* from *In convertendo Dominus*, with a reduction of the orchestral parts. The downbeat of m. 2 contains a dissonant fourth over the bass. This dissonant G is prepared in the previous measure as the root of a G minor chord, and the chord that follows is a G dominant seventh in first inversion. If this were a chord of subposition, the fundamental pitch should be A, and the following chord should be D major or minor on the second quarter note.

This is in fact what happens. However, the chord before the dissonance is not the principal chord, though it does contain the principal sound. So, here it is questionable as to whether Rameau would call the fundamental of this chord A or D, and this example hearkens back to the incongruity found between Examples 1 and 2 above. Ultimately, here the fundamental seems best represented by a D, with a *true* dissonant fourth over the bass, which is simply a suspension, rather than an eleventh. In m. 3 of the same example, we find a ninth chord (E_b-G-B_b-D-F) on the third quarter note. Here, the dissonance, F, would be prepared as the fifth of a B_b major chord in the realization of the figured bass, which is the tonic or principal chord. This harmony then resolves to a C minor seventh chord in first inversion. This ninth chord beautifully follows all of Rameau's rules for a chord of subposition. It is preceded by the principal sound, the dissonance is prepared and the ninth chord does not contain the leading tone, and it resolves into a chord with a fundamental a fifth away (G to C).

Example 5. Rameau, *Récit et Choer*, mm. 5-6.²²

In Example 5, there is an eleventh chord (C-(G-B_b)-D-F) on the downbeat of m. 5. This chord resolves to a C dominant seventh

²¹Jean-Philippe Rameau, *Ouvres Complètes*, Vol. IV (New York: Broude Brothers, 1968), 1.

²²*Ouvres Complètes*, Vol. IV, 2.

chord, and it is prepared by a G minor seventh harmony, which contains the principal sound. This is a great example of an eleventh chord of subposition. The C, as the note by subposition, “anticipates its own harmony, by first receiving the harmony of the dominant that may immediately precede it.”²³ Here, the fundamental on the downbeat of the measure is G, which moves up by fourth to C on the second quarter note. In the next measure, there is another eleventh chord (D-A-(C-E_b)-G). This case is very similar to one that Rameau describes in *Generation harmonique*:

[A]s soon as the leading-tone is absent from the harmony of the dominant, which is a fifth above these supposed notes in the continuo, the complete chord is rarely given, because of the exceedingly large number of minor dissonances which occur in it, greatly increasing its harshness. Thus, ... only the fundamental sound is sustained in the harmony—that is, the octave and the seventh of the fundamental sound.²⁴

This must either refer to the diminished fifth between the A and the E_b, or the minor ninth between the D and E_b, or both, because there is no leading tone in the eleventh chord of the previous measure, yet the whole chord could be allowed to sound. According to Rameau, this chord at m. 6 “must be regarded as creating a suspension, rather than a supposition.”²⁵ However, the fundamental will still be considered to be A rather than D. Perhaps the reason this cannot be a subposition also has to do with the fact that the chord preceding the eleventh chord on the downbeat of m. 6 does not contain the principal sound.

The next example shows very clearly the role the concept subposition plays as a purely theoretical tool for explaining suspensions and the idea of *le goût du chant*. This passage, which is from a piece in G major, contains many chords of subposition. The first is a ninth chord (C-E-G-B-D), on the third beat of m. 18, which is prepared and resolves correctly to A minor. The downbeat of the next measure is an eleventh chord (G-D-F_#-A-C). The chord contains the leading tone F_#, and thus the dissonance should be and is prepared. This chord also resolves correctly into a G major chord. The next dissonant chord is on the third beat of the same measure. If it is an eleventh chord, the pitches should be D-A-C-E-G, with the fundamental A, which should resolve to D on the next beat. It should also be preceded by the principal sound. Both of these could be said to be true. However, there is no figure on the fourth beat of the measure to indicate that it is a D major chord. Instead, F_# diminished is implied, which would have an implied D as the fundamental bass. Melodically, this passage is a beautiful chain of suspensions over a

²³GH, 159; Hayes, 186.

²⁴GH, 161; Hayes, 187-188.

²⁵GH, 161; Hayes, 188.

stepwise bass. Using Rameau's concept, however, the fundamental root movement is shown to be, beginning with the ninth chord, E, A, D, G, D. So, Rameau is able to demonstrate theoretically that root movement is almost always explained by fifths while, practically, creating a tasteful and interesting composition.

Example 6. Rameau, Trio from *In convertendo Dominus*, mm. 18-21.²⁶

The image shows a musical score for Example 6, consisting of two staves: 'Continuo' and 'Realization'. The Continuo staff is in bass clef and contains a sequence of notes with figured bass notation above it: 6 4 6 9 6 6 4 9 6 4 6 3 5 4 3. The Realization staff is in treble clef and shows the corresponding chordal structure for the Continuo part, with notes and rests. The Continuo part is a stepwise bass line, and the Realization part shows the chords that would be realized from this bass line.

These are but a few of the myriad examples of ninth and eleventh chords found in Rameau's own compositions. These, in particular, demonstrate the primary ways in which he uses them. Although there is some ambiguity and confusion as to what the fundamental note should be, Rameau's principles developed for the concept of subposition generally be seen in his compositions. The confusion always seems to center around eleventh chords. When eleventh chords are found within a passage (*i.e.* not at a cadence), they follow Rameau's rules perfectly. However, at cadences, the fourth seems to function more like a suspension where the fundamental bass is the same as the actual bass, as is shown in Example 2. Even so, Rameau never clearly explains the difference, if there is any, between the fourth/eleventh in these situations. Despite its problems, Rameau's concept of subposition contributed greatly to his definition of consonance and dissonance. It truly did allow him to explain all dissonance as coming or developing out of the seventh. Furthermore, it allowed him to differentiate between the fourth as a consonance and the eleventh as a dissonance, thereby supporting and reinforcing his concept of inversion and the generation of all harmony from the perfect chord. As he developed and modified his theories of harmony, the usefulness and importance of subposition for the purpose of explaining harmony became less valuable (or valid). Yet, he continued to acknowledge and modify it throughout his life, and it always seemed to play a role in his theoretical thought, as well as his practical and compositional process.

²⁶*Ouvres Complètes*, 61.

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